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**United Nations Development Programme**

**Country: Sri Lanka**

**PROJECT DOCUMENT**

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| **Project Title: Ensuring global environmental concerns and best practices mainstreamed in the post-conflict rapid development process of Sri Lanka through improved information management** |
| **UNDAF Outcome:**  4.1: Policies, programmes and capacities to ensure environmental sustainability, address climate change mitigation and adaptation and reduce disaster risks, in place at national, sub-national and community levels.  **UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:** Environment Sustainability and Disaster Resilience  **UNDP Strategic Plan Secondary Outcome:** Mechanisms for sustainable management of natural resources are created |
| **Expected CP Outcome (s)** Policies, programmes and capacities to ensure environmental sustainability, address climate change, mitigation and adaptation and reduce disaster risks in place at national, sub national and community levels (same as the UNDAF outcome)  **Expected CPAP Output (s):** 4.2: Government agencies, community groups, and private sector are equipped to promote sustainable use of natural resources, biodiversity conservation, and climate change adaptation. 4.3: Technologies and approaches used by government and private sector towards climate change mitigation improved. |
| **Executing Entity/Implementing Partner:** Ministry of Environment and Renewable Energy |
| **Implementing Entity/Responsible Partners:** United Nations Development Programme |

**Brief Description:** The goal of this project is to strengthen capacity for environmental data and information management in Sri Lanka in order to improve the reporting process to the Rio Conventions and ensure sustainable development through better design and enforcement of environmental policy. The project’s strategy emphasizes a long-term approach to institutionalizing capacities to meet MEA obligations through a set of learn-by-doing activities that lay the foundation for effective decision-making and policy-making regarding global environmental benefits. Specifically, the project will be implemented through two components, namely, the strengthening of environmental data and information systems including global reporting and mainstreaming the environment into awareness, planning, decision-making and socio-economic development. Active participation of stakeholder representatives in the full project life cycle facilitates the strategic adaptation of project activities in keeping with project objectives. Moreover, the inclusion of non-state stakeholders contributes to the adaptive collaborative management of projectimplementation and promotes long-term sustainability of project outcomes.

Programme Period: 2014 - 2017

Atlas Award ID: TBD

Project ID: TBD

PIMS # 4940

Start date: Sept 2014

End Date: Sept 2017

Management Arrangements: NIM

PAC Meeting Date: TBD

Total resources required US$ 2,191,500

Total allocated resources US$ 2,191,500

* UNDP US$ 161,500
* Other:
  + GEF US$ 800,000
  + Government (in-kind) US$ 230,000
  + Government (cash) US$ 1,000,000 ***xecuting Entity Logoalueesent as and research institutesning and awareness raising amongst stakeholders.ugh skill development a***

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| **Agreed by:** | | |
| **Ministry of Environment and Renewable Energy** | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  | [NAME]  [TITLE] | Date/Month/Year |
| **Agreed by:** | | |
| **[EXECUTING PARTNER]** | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  | [NAME]  [TITLE] | Date/Month/Year |
| **Agreed by:** | | |
| **United Nations Development Programme** | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  | [NAME]  Resident Representative UNDP Sri Lanka | Date/Month/Year |

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# Acronyms and Abbreviations

|  |  |
| --- | --- |
|  |  |
| ACM | Adaptive Collaborative Management |
| APR | Annual Progress Report |
| CBD | Convention on Biological Diversity |
| CBO | Community-Based Organization |
| CCA | Country Cooperation Assessment |
| CCCD | Cross-Cutting Capacity Development |
| CCD | Convention to Combat Desertification and Drought |
| CEPOM | Committee on Environment Policy and Management |
| CSO | Civil Society Organization |
| FCCC | Framework Convention on Climate Change |
| GEF | Global Environment Facility |
| GEF Sec | Secretariat of the Global Environment Facility |
| GIZ | German Society for International Cooperation |
| ICTA | Information Communication Technology Agency |
| M&E | Monitoring and Evaluation |
| MDGs | Millennium Development Goals |
| MEAs | Multilateral Environmental Agreements |
| MERE | Ministry of Environment and Renewable Energy |
| NCSA | National Capacity Self-Assessment |
| NDMCC | National Disaster Management Coordination Committee |
| NGO | Non-Governmental Organization |
| NPD | National Project Director |
| NPM | National Project Manager |
| NSDI | National Spatial Data Infrastructure |
| PIF | Project Identification Form |
| PIR | Project Implementation Review |
| PMU | Project Management Unit |
| UNDAF | United Nations Development Assistance Framework |
| UNDP | United Nations Development Programme |

# PART I - PROJECT

# A. Project Summary

## **A.1 Project Rationale, Objectives, Outcomes/Outputs, and Activities**

1. In 2007, Sri Lanka completed its National Capacity Self-Assessment (NCSA) in order to identify the priority cross-cutting capacity development (CCCD) needs of the country to meet and sustain obligations under the three Rio Conventions. This proposed project was developed in response to many of the top priorities identified in the NCSA, such as the need to enhance capacity to integrate (mainstream) environment concerns into sectoral and cross-sectoral policies and programmes of public agencies. Another top priority was to strengthen the capacity and system of environmental data and information management and sharing to facilitate more informed decision-making to meet Rio Convention obligations. This strengthened information system would serve to inform decision-making across sectors on environmental priorities and create synergies and partnerships that aid achievement of Rio Conventions obligations.
2. Although Sri Lanka must strengthen its policy and regulatory framework in order to effectively implement the conventions, the country has made significant progress in strengthening its environmental policy and programming framework since the completion of its NCSA. The country has adopted numerous laws and policies pertaining to environmental protection and it has taken important steps to integrate global environmental obligations within its national policies and development strategies. The National Climate Change Policy 2012 and the National Land Use Policy 2011 are two recent examples of such progress. Sri Lanka’ long-term commitment to sustainability is also demonstrated in its national development framework *Mahinda Chintana* and in its sustainable development strategy action plan *Haritha (Green) Lanka*.
3. The project is strategic in that it responds to a targeted set of underlying barriers to environmental management towards the goal of meeting and sustaining global environmental outcomes. Specifically, the project will catalyze cooperation and coordination that has previously been limited by narrow institutional mandates and obsolete methods of analysis and decision-making. This project will facilitate new partnerships between policy and decision-makers across environmental focal areas and socio-economic sectors while actively engaging other key non-governmental stakeholders. While an integrated system of environmental data and information management is not necessary innovative, such a system does not exist in Sri Lanka. Data and information exists, but within institutions with institutionalized barriers against sharing. As a result, there is significant overlap in data and information management, and because of the mandates of each agency, agencies only tend to manage data and information that they need to meet their mission objectives. This works fine for the few authorities that have the necessary financial resources, however, most other agencies cannot afford the expense of creating data and information that already exists and which could be accessed at a significantly cheaper cost.
4. Strategically, the project includes activities that will call upon all stakeholder organizations to meet and negotiate sharing protocols, based on the data and information that each needs. Memoranda of Agreement would be signed to facilitate this sharing, and if successful, this project could lead to a transformative approach to collaboration in Sri Lanka.
5. This project conforms to the Global Environment Facility (GEF) Cross-Cutting Capacity Development (CCCD) Strategy, Programme Framework CD-2, which calls for the strengthening of capacities generate, access and use of information and knowledge. In addition, the project will also contribute to CD-3, which calls for strengthening capacities to develop policy and legislative frameworks.
6. The Ministry of Environment and Renewable Energy (MERE) is the implementing agency for this project and the project will be developed in accordance with agreed policies and procedures between the Government of Sri Lanka and UNDP. With the support of UNDP, MERE will establish the necessary planning and management mechanisms and facilitate government decision-making to catalyze implementation of project activities and timely delivery of project outputs. The project was designed to be complementary to other related projects under implementation in Sri Lanka, including those supported by GEF such as the Sri Lanka Community Forestry Programme being implemented by UNDP. This project is also consistent with Sri Lanka’s current United Nations Development Assistance Framework (UNDAF) 2013-2017, and responds directly to Output 4.1: Policies, programmes and capacities to ensure environmental sustainability, address climate change mitigation and adaptation and reduce disaster risks, in place at national, sub-national and community levels. Given the number of ongoing projects in the country, careful attention will be given to coordinating project activities in such a way that activities are mutually supportive and opportunities capitalized to realize synergies and cost-effectiveness.
7. The expected outcome of this project is that best practices and innovative approaches to data and information management are available and implemented into national development policies and programmes which will ultimately aid in Rio Convention implementation. This outcome is disaggregated into two project components:
   * Component 1: Data and information management system
   * Component 2: Improved capacity to use data for planning, monitoring and decision-making
8. The project’s objective is to **improve institutional and technical capacities to meet and sustain the objectives of the three Rio Conventions and other MEAs**. Specifically, this will be carried out by targeting and training government staff at the local, regional and national levels on the specific interpretation of Rio Convention provisions as they apply to their respective roles and responsibilities to implement associated development policies.
9. The project will take an adaptive collaborative management (ACM) approach to implementation, which calls for stakeholders to take an early and proactive role in the mainstreaming exercises, as well as to help identify and solve unexpected implementation barriers and challenges. By taking an ACM approach, project activities and outputs can be more legitimately modified and adapted to maintain timely and cost-effective project performance and delivery.

## **A.2 Key Indicators, Assumptions, and Risks**

1. One potential risk is inadequate commitment by the Government and other stakeholders. Sri Lanka has many socio-economic priorities, and commitment to the global environment may decline in the face of other, short-term, socio-economic challenges. This risk is medium, although the Government has shown great interest in broadening its e-governance, and the Department of National Planning in the Ministry of Finance and Planning has already agreed to collaborate in this initiative.
2. Nonetheless, the project focuses on advocacy and awareness-raising, which are designed to promote and generate and maintain high-level support. This, along with the involvement of the National Council for Sustainable Development and the focus on generating good information, should ensure that broad commitment is maintained.
3. Related to commitment is the risk of being unable to maintain adequate co-financing and the finances. The programme depends on co-financing from several sources for sustained operations after completion. Given the budgetary and financial constraints of the project, there is a low risk that the necessary co-financing may not be forthcoming.
4. High-level support should help mitigate this risk by facilitating access to co-financing. Also, the generation of high quality data should help demonstrate the need for co-financing. In any case, co-financing has been pledged by the Ministry of Finance and Planning to set up the database, and the Information, Communication Technology Agency has also pledged support in co-financing for the systems under the e-government programme. Moreover, the project is designed to be efficient, and able to make impacts even if funds are low.
5. There is a relatively low risk of limited institutional capacities to support project implementation and programme continuity. Although Sri Lanka has made great progress to improve capacity and inter-agency coordination, CCCD interventions are institutionally complex and require effective coordination and collaboration mechanisms. There is a danger that Government capacity will not be sufficient. To temper this, the project will adopt integrated approaches and set out to strengthen institutional capacity.
6. Finally, this project design is founded on the assumption that by improving existing consultation and coordination mechanisms, and promoting information sharing agreements between academia and civil society, the decisions made in relation to the global environment will become more inclusive, legitimate, resilient and robust.
7. Project outcomes will be measured through a set of output, process, and performance indicators. Constructed using SMART[[1]](#footnote-2)design criteria, these indicators were developed to coincide with each major project activity. Output indicators include the Memoranda of Agreement among key partner institutions to share data and information relevant to the Rio Conventions and other MEAs and environmental policies per Rio Conventions. Process indicators include the convening of an working group that will facilitate better inter-agency communication, coordination, and collaboration with regard to the development of an environmental data and information management system. Performance indicators include the set of learn-by-doing review of best practices and data quality guidelines that support protection of the global environment.

# B. Country Ownership

## **B.1 Country Eligibility**

1. Sri Lanka is eligible to receive technical assistance from UNDP, and is thus eligible for support under the Global Environment Facility. Sri Lanka ratified the key UN Conventions on Biological Diversity (CBD) on 23 March 1993, Climate Change FCCC) on 21 March 1994, and the Convention to Combat Desertification and Drought (CCD) on 9 December 1998. Sri Lanka also ratified other important protocols under the Rio Conventions in later years, namely:
   * The Cartagena Protocol on Biological Safety on 11 September 2003 to protect biodiversity from the potential risks posed by genetically modified organisms that are the product of biotechnology.
   * The Nagoya-Kuala Lumpur Supplementary Protocol on Liability and Redress on 30 January 2012 on remedial measures arising from damages caused by the transboundary movement of living modified organisms.
   * The Kyoto Protocol on 3 September 2002 committing to stabilize greenhouse gas emissions for the period 2008-2012 at the 1990 level.
2. In addition to the three Rio Conventions listed above, Sri Lanka has also demonstrated its commitment to global environmental protection through its ratification or accession to 35 other multilateral environmental agreements (MEAs) , many of which pre-date the Rio Conventions, including:
   * International Plant Protection Convention,
   * Ramsar Convention on Wetlands of International Importance,
   * Convention in International Trade in Endangered Species,
   * Vienna Convention for the Protection of the Ozone Layer, and
   * Stockholm Convention on Persistent Organic Pollutants (Ratified December 2005).
3. *Fit with the GEF-5 CCCD Strategy*: The GEF strategy for Cross-Cutting Capacity Development projects serves to provide resources for reducing, if not eliminating, the institutional bottlenecks and barriers to the synergistic implementation of the Rio Conventions. This project is aligned with CCCD Programme Framework 2 that calls for countries to generate, access, and use information and knowledge. Through a learning-by-doing process, this project will ensure that tools, mechanisms and capacity exist in order for a range of stakeholders to have access to better data and information. The project will help institutionalize these capacities by harmonizing existing information systems, integrating internationally accepted measurement standards and methodologies for consistent reporting on the global environment (sub-programme 2.1). This project will also produce benefits under CCCD Programme Framework 3 that calls for the strengthening of capacities to develop policy and legislative frameworks. In that line, the project seeks to strengthen institutional linkages and harmonize Sri Lanka’s natural resource management policies in order to improve the efficiency and effectiveness of MEA implementation at the national level.
4. The project aims to address important capacity needs and so enhance Sri Lanka’s ability to meet its obligations under the Conventions. It will create synergies across the three Rio Conventions, while at the same time catalyzing the mainstreaming of the application of MEAs into national policy, decision-making, and planning frameworks. Sri Lanka is fully committed to meeting its obligations under the Rio Conventions and the proposed project is intended to be an important step towards developing the capacities for an effective national environmental management framework. Section C.1.a discusses in more detail how the project components will contribute to specific articles under the three Rio Conventions.

## **B.2 Country Driven-ness**

1. Sri Lanka’s UNDAF for 2013-2017 places a greater deal of emphasis on environmental sustainability than preceding UNDAFs. One of the four UNDAF pillars is on environmental sustainability, climate change and disaster risk reduction. Outcome 4.1 calls for policies, programmes and capacities to ensure environmental sustainability address climate change, mitigation and adaptation and reduce disaster risks in place at national, sub-national and community levels. In this context the proposed information systems, improved monitoring and evaluation capacity and the processed information would directly contribute towards the outcome.
2. UNDP Country Programme Action Plan for the same period (2013-2017) also dedicates one pillar of its two pillars to “Environment Sustainability and Improved Resilience” calling for “Mechanisms in place for sustainable natural resource management and efficient collection and use of environmental data for planning and policy development.”
3. Sri Lanka has also set multiple targets related to environmental sustainability in its Millennium Development Goals. These goals seek to address a broad range of environmental issues including forest cover, CO2 emissions, and the conservation of biodiversity. In keeping with the government’s commitment to the international environmental movement which produced Agenda 21, its follow-up under the World Summit on Sustainable Development, as well as the Millennium Development Goals, among others, Sri Lanka developed its Environmental Policy in 2003. The objectives of the Environmental Policy are:
4. Promote sound management of Sri Lanka’s environment balancing social and economic development needs and reducing irreversible damage
5. Involve all stakeholders including civil society, non-governmental organizations at central and local levels
6. Ensure environmental accountability
7. Sri Lanka’s social and economic development priorities for the period of 2010-2016 elaborated under the national development framework, *Mahinda Chintana –Vision for the Future* described a number of goals corresponding to government priorities in forestry, disaster risk reduction, soil and water conservation and land use. This development framework elaborates the need for more rational and sustainable use of natural resources in line with national priorities. Some of the key goals set out in the national development framework are:
   * Increase forest cover from 29% to 35% by 2020
   * Soil quality improvement, erosion control, river bank stabilization, industrial pollution control
   * Balance use of synthetic chemicals and organic approaches
   * Reducing water flow to ocean from 28,000 million cubic meters to 21,500 million cubic meters by 2020
   * Critical river basin development (15 out of 103 with >1,000 km2 catchment)
   * Coastal resources, oil and mineral exploration, mangrove restoration.
   * Sustainable tourism arrivals up one million in 2012 to 2.5 million in 2016 with jobs up from 250,000 to 600,000
8. Additionally, the government has committed to update and implement the *Haritha (Green) Lanka Strategy and Action Plan (2009)* to suit the post-conflict rapid growth scenario. Updating the *Haritha Lanka Strategy* already started as part of Sri Lanka’s preparation for Rio+20, and the aim is to make sure it covers new sub-sectors (notably on trade and industry, in response to recent national and global developments) and to ensure it is more operational (by having a results-based management structure – with timelines, targets and a monitoring mechanism). The current updating and implementation of this plan presents an excellent opportunity for the proposed project to facilitate mainstreaming global environment conventions issues into a key development process.

### B.2.a National Capacity Self-Assessment

1. The initial discussions for a coordinated and harmonized approach to implementing the three Rio Conventions date back to June 2003. The National Capacity Self-Assessment was developed and signed in 2004. The NCSA report was completed in 2006 and the printed reports were available for stakeholders by end of 2007. The project was based in the Environmental Economics and Global Affairs Division of the then Ministry of Environment and Natural Resources. The project management unit functioned under the guidance of the National Steering Committee chaired by the Secretary, Ministry of Environment and Natural Resources. Three thematic working groups were formed to provide expert input into the sector reports on the three Conventions. In addition, a capacity development expert and a legal and policy expert worked across the three thematic areas.
2. The key findings of the NCSA were presented in thematic reports for biodiversity, climate change and land degradation. In addition, there were other reports pertaining to private sector engagement, legal and policy issues (for the three Rio Conventions), information management and exchange, capacity building for other allied issues (such as access to genetic resources and benefit sharing). The main output of the NCSA process was the NCSA Action Plan that contains summaries of the three thematic reports including current status of implementation, challenges, capacity needs, gaps and recommendations to improve management of environmental resources while supporting national development priorities. The plan identified thematic capacity needs and cross-cutting capacity needs to develop in-country ability to strategize the implementation, reporting and monitoring progress of national and international targets related to the conventions. Of the 13 identified cross-cutting capacity needs, this project contributes directly to six of those needs:
   * Enhanced capacity for communication, education and public awareness on conservation and sustainable use of resources to mobilize commitment and participation of all stakeholders;
   * Enhanced capacity to integrate (mainstream) environment concerns into sectoral and cross-sectoral policies and programmes of public agencies;
   * Measures to engage the business sector effectively in the conservation and sustainable use of natural resources;
   * Strengthened system and capacity for information management and information sharing, as relevant for the three Rio Conventions;
   * Harmonized authority and responsibility for policy determination and implementation between the central and provincial authorities;
   * An institutional structure for effective planning and implementation of work programmes.
3. Implementation of all three conventions was found to be sub-optimal for a number of institutional, capacity, and financial issues. Issues common to all three conventions are summarized below:
4. Inadequate policy and regulatory environment provided for effective implementation of the conventions. This remains true for all three conventions even in 2014, although some key national policies have been produced in the last few years (e.g., the National Climate Change Policy 2012 and the National Land Use Policy 2011)
5. Financial and technical inadequacies that prevent the full implementation of developed action plans in areas of Biodiversity, Land Degradation and also some areas of Climate Change. This especially pertains to access to genetic resources, biosafety, benefit sharing, invasive species, accessing clean development mechanism, greenhouse inventories, early warning for climatic events that lead to increased land degradation
6. Overlapping and uncoordinated institutional environment. A large number of institutions (ministries, departments and agencies) are mandated different responsibilities in areas covered by the Conventions. Cooperation and coordination between these agencies are weak due to the non-existence of a regular mechanism or platform for such cooperation; and the highly isolated nature planning and execution in each ministry.
7. Lack of collecting, analyzing and exchanging of information and technical data important for effective implementation of and reporting to each convention.
8. Inability to mainstream convention priorities in to national development policies at national, district and provincial levels. This includes inability to secure sufficient budgetary allocations to carry out important programmes in the thematic areas that leaves state institutions constrained to carry out key recommendations
9. Lack of public and policy-level awareness of the conventions and the national-level action plans designed to support these conventions. This includes lack of formal training/awareness raising opportunities at secondary and tertiary education levels in state or private sector institutions.

### B.2.b Sustainable Development Context

1. Sri Lanka has a mainland area of 65,610 km² and a coastline of around 1,585 km. The south central part of the country is mountainous and gives rise to a number of perennial rivers. There are altogether 103 rivers, mostly originating from the central highlands. The coastal area comprises of beaches, sand dunes, lagoons, estuaries, mangroves, marshes and deltas. There are a number of small islets off the north-north-western coast, only six of them over 1,000 ha, and many of them are habituated.
2. On the basis of rainfall distribution, the country is classified into three climatic zones: wet, dry and intermediate. The wet zone covers the south-western region including the central hill country and receives relatively high mean annual rainfall over 2,500 mm without pronounced dry periods. The dry zone covers predominantly the north central, northern and eastern part of the country, receives a mean annual rainfall of less than 1,750 mm with a distinct dry season from May to September. The intermediate zone receives a mean annual rainfall between 1,750 to 2,500 mm with a short and less prominent dry season. The island has 46 different agro-ecological regions differentiated by monthly rainfall expectancy and distribution, soil type, elevation, land use and vegetation. Average temperature for the country is 27°C. However, there is a wide variation of minimum and maximum ranges across the differing topographic and climatic zones.
3. In terms of water resources, the wet zone has a shallow water table and plenty of rainfall. In the dry and intermediate zones people depend on deep groundwater sources for agriculture and industry. Cultivation in the dry zone is also supported by some 30,000 rainwater harvesting ponds and reservoirs created by ancient kings, and rehabilitated through the 19th and 20th centuries for seasonal cultivation of rice and other crops such as maize, mung beans, and vegetables.
4. The population estimate for 2012 is 20.2 million with a growth rate of 0.7 %. In terms of population spread, the wet zone is most densely populated with the western province having the highest population density and almost 30% of the total population living there. As yet, the population is heavily rural (over 70% live in rural areas and 6% in plantation areas) with very little urban migration. Sri Lanka has a high population density and an agricultural and service-oriented economy that is highly dependent on natural resources, including the globally significant resources. For this reason, natural resource degradation, including climate change, land degradation and biodiversity loss, immediately impacts the population, and has been shown to have a far greater impact on poor and marginalized people. The impacts of poor resource management is evident in declining soil fertility, high rate of land degradation and habitat fragmentation, increasing impact of climate related disasters and large scale resource extraction and natural habitat destruction from development projects.
5. Sri Lanka is a lower middle income country and over the last 30 years, has maintained relatively strong economic growth rates at about 5% per year (World Bank, 2012). In 2012, Sri Lanka had a Human Development Index score of 0.715 placing it at 92 of 187 countries and territories (UNDP, 2012). The Sri Lankan economy grew strongly during 2011 (about 8%) , largely due to the post-conflict rebound that helped all sectors on the supply and the demand side: agricultural land in conflict-affected areas could once again be cultivated; double shifts in manufacturing became possible as workers no longer had to worry about security restrictions; domestic consumers’ and investors’ confidence was revived; and services related to tourism picked up as tourist arrivals surged at the end of the war.
6. As Sri Lanka’s economy grew, unemployment and poverty rates fell. As of the second quarter of 2011, unemployment was only 4.2%, though higher among youth and women. Poverty rates have fallen from 15% of the population in 2006/7 to 9% in 2009/10. The most dramatic declines have been in the estate (tea) sector (from 32% to 11%) following a major wage increase at the beginning of 2010.
7. Although poverty rates have declined overall, pockets of poverty and social exclusion still exist. These are most prevalent in underdeveloped districts such as Moneragala and many of the post-conflict districts in the Northern and Eastern Provinces of the country where a long deprivation and exclusion to benefit from a steady economic growth and development resulted in greater social vulnerabilities.
8. Sri Lanka’s Gender Inequality Index score of 0.402 is better than average for an Asian country, however gender inequality is still a serious concern (UNDP, 2012). Around 22% of all households in Sri Lanka are female-headed. Many women have been thrust into the role of breadwinner with little knowledge of income-earning methods and few coping skills. Social isolation and poverty are inevitable for this group, many of whom are widowed at a young age mainly due to the conflict. Just as rural poverty is a phenomenon in a middle income country, gender statistics disaggregated by location also show disparity. It appears that ‘rich’ females from urban areas are able to access education, employment and health care more readily than their rural counterparts (UNICEF, 2009). Female literacy in urban areas is 91%, while the rural rate is 78%. In rural areas there could be as much as 65% rate of anemia among women (UNICEF, 2009). While more women enter university than men, they tend to find employment at the bottom of the employment pyramid.
9. Female participation in the labor market falls far behind that of males with only 34.7% for women compared with men’s 76.3% (UNDP, 2012). When they do find work, it is usually in low-status, low-skilled and low-paying jobs in peasant and plantation agriculture. In addition to this, the female unemployment rate, at 22%, is double that of men in Sri Lanka. Besides garment workers and migrant workers[[2]](#footnote-3), the largest proportion of women in the informal sector is engaged in cultivation.
10. About 75% of the population live in rural areas, and whether rich or poor, depend on the natural resources available in these areas for water, fuel wood and supplementary foods. Women traditionally manage household water, family gardens and livestock and are in the frontline of managing impacts of reduced water availability; floods, landslides and drought; pests and disease outbreaks and reduced soil fertility due to salinization and erosion (GEF SGP).
11. Sri Lanka faces a number of environmental issues. A high population density, intensive agriculture and archaic land legislation have contributed to some of the island’s main environmental problems. Habitat fragmentation, heavy soil erosion and sedimentation of rivers and reservoirs, encroachment in catchments and reservations, high use of agro-chemicals, coastal erosion, air and water pollution, solid waste management and hazardous chemical disposal are some of the more urgent environmental issues. Sri Lanka is affected by a number of climatic hazards and extreme events, and these are projected to worsen with climate change. The most common are floods -both river (pluvial) floods and flash floods- and drought. Landslides occur in the central highlands triggered by heavy rainfall. Occasional cyclones affect the Eastern, North Central and Northern Provinces.
12. Sri Lanka’s total energy use in 2010 was around 8,804 million toe (tonnes of oil equivalent) and nearly half of that energy was supplied from biomass, and over a third from crude oil and petroleum. Renewable energy sources accounted for less than 1% of energy supply and use. However, renewables contribute over 10% of energy supply in the electricity sector. In the country’s Second National Communication to the FCCC, greenhouse gas emissions were seen to have increased twofold from the previous assessment. Emissions for the base year of 1994 are at 5,440 Gigagrams while the inventory for 2000 shows 10,430 Gigagrams. The greatest contributor to greenhouse gas emissions is road transport, followed by power generation, industry and agriculture.
13. Sri Lanka is recovering from three decades of civil conflict. The ending of the armed conflict in 2009 ushered in a new era of development and the country is now in the lower-middle-income category, surpassing its South Asian neighbors in human and social development. Sri Lanka has performed well in meeting its commitments to the MDGs as well. Some of the goals (poverty, primary education and health) were met ahead of time. Sri Lanka’s national development goals focus on accelerated rural development, infrastructure development to attract investment and strengthening its middle-income status. The government is investing heavily in rural extension programmes for food and income security, infrastructure to connect urban and rural areas and in sectors that have growth potential-tourism, shipping, export agriculture and fisheries.

### B.2.c Global Environmental Values

1. Varied climatic conditions and topography of Sri Lanka has given rise to the unique biological diversity of the country. It is significant that more than 35% of the flora is endemic to the country, while more than 65% of those found in the wet zone are endemic. Standing out among the fauna are 59 endemic species of land/fresh water crabs, while more than 50% of land snails, amphibians, and reptiles are endemic. The majority of the endemic species are found in the wet zone. Sri Lanka, along with the Western Ghats of India has been classed as one of the 35 “Biodiversity Hotspots”. Sri Lanka recognizes the uniqueness of its biological diversity, but also expects urgent action for reversal of the current deteriorating trend.
2. The high biodiversity of Sri Lanka has been influenced by a complex geological history, altitudinal variation, climate determined mainly by the distribution of rainfall both spatially and temporally, and the island’s placement in the Indian Ocean. The legally designated Protected Areas in Sri Lanka (namely Strict Nature Reserves, Forest Reserves, National Parks, Nature Reserves, Jungle Corridors, Refuge, Marine Reserves, Buffer Zones and Sanctuaries) account for about 28% of the total land area. Most of the country’s wildlife is also found to a large extent inside Protected Areas.
3. Among Sri Lanka’s rich and globally significant biodiversity, there are 677 species of indigenous vertebrate (excluding marine forms), and a further 262 species of migrant birds. Endemism among vertebrates is about 43%, with highest endemism among amphibians, freshwater fishes and reptiles. Similarly the island is home to over 3000 angiosperms, of which a quarter comprises endemic species. Most invertebrate taxa in the island have been incompletely surveyed, but a rich diversity is apparent. Species diversity is also high in coastal and marine systems that sustain the food and ornamental fishery.
4. Sri Lanka has the highest species diversity per unit land area of all Asian countries in terms of flowering plants and all vertebrate groups, excluding birds. In the terrestrial ecosystems of Sri Lanka, the wet zone forests in the southwest are especially important as they sustain 75% of the endemic species of flora and fauna. Based on the diversity of plants distributed in the wild, 15 floristic regions have been designated in the country. Sri Lanka also has a strong protected areas network for biodiversity conservation. This pertains to eco-systems, landscapes and species conservation. Sri Lanka has six Ramsar wetlands of international importance and two natural world heritage sites- the Central Highlands and the Sinharaja Rainforest.

### B.2.d Policy and Legislative Context

1. Sri Lanka adopted a National Environmental Policy in 2003 that aims to promote the sound management of Sri Lanka's environment balancing the needs for social and economic development and environmental integrity. It also aims to manage the environment by linking together the activities, interests and perspectives of stakeholders and to ensure environmental accountability. Since then however, there have been a number of related environmental policies that were approved by the government. The National Environmental Outlook (2009) pointed to the need to update the 2003 policy taking in to account the new development context of the country.
2. There are policies that govern many important environmental issues in the country. These include National Forestry Policy (1995), National Air Quality Management Policy (2000), National Policy on Wildlife Management (2002), National Watershed Management Policy (2004). There are policies on Cleaner Production, on Elephant Conservation, on Sand as a Construction Material, on Biosafety, on Solid Waste Management and on Wetlands.
3. Sri Lanka’s main policy framework for biodiversity conservation is set out in the framework for action (BCAP 1998). There are also a number of action plans and strategies associated with the above mentioned policies that have been developed by the Ministry of Environment and Renewable Energy or by line agencies. This includes the National Environmental Action Plan, the National Sustainable Development Strategy, the Coast Conservation Master Plan, the National Action Plan on Invasive Species, the National Wetland Conservation Plan, and the National Biosafety Action Plan.
4. Three key policies govern CCD areas of land use and land degradation. These are the National Land Use Policy, Forestry Sector Master Plan, and the National Agricultural Policy. In Sri Lanka nearly 80% of land is still held by various government agencies. Land is a complex issue that has wide social, political and economic implications, especially in the post-conflict context. Land use planning and land management are still largely in the control of the central government and not provincial authorities. The government has lately accelerated the implementation of land alienation programmes, allowing more private claims and formalizing land tenure.
5. The government approved the National Climate Change Policy in 2010. While the policy sets out national priorities in climate change mitigation, adaptation and technology transfer, the responsibility of implementing policy recommendations lies with a large number of different ministries and agencies. For example, many of the mitigation actions pertain to energy use, the primary responsibilities lying with Ministry of Power and Energy and Ministry of Transport. Adaptation priorities are in agriculture, food security and water resources, assigning responsibility for implementation to respective focal agencies.
6. Environmental protection is enshrined in Constitution of the Democratic Socialist Republic of Sri Lanka that decrees; “The state shall protect, preserve and improve the environment for the benefit of the community”. The overall legal framework for environmental management is provided in the National Environmental Act No. 47 of 1980. It was under this law that the main environmental regulatory body, the Central Environmental Authority was formed and national EIA regulations were formulated in 1988. However there are around 80 different laws that deal with aspects of environment and contribute to environmental management. Some of the most pertinent legal enactments include the Forest Ordinance and the Fauna and Flora Protection Ordinance that are enforced by the Forest Department and the Department of Wildlife Conservation. In addition, many other pieces of legislation also deal with environmental management including the Fisheries Act, the Coast Conservation Act, the Urban Development Act, the Marine Pollution Prevention Act, Motor Traffic Act, Flood Protection Ordinance, the Soil Conservation Act, Land Development Ordinance, Water Resources Board Act, Mines and Minerals Act, Mahaweli Authority Act and Agrarian Services Act.

### B.2.e Institutional Context

1. The Ministry of Environment and Renewable Energy is the focal ministry for environmental management in Sri Lanka. However, a number of other ministries have mandates related to environmental management, some more directly than others (see Table 1 below). The Central Environmental Authority, the Geological Survey and Mines Bureau, the Forest Department, the Sustainable Energy Authority and State Timber Corporation are agencies governed by MERE. Meanwhile other environmental agencies such as Coastal Conservation Department, the Marine Pollution Prevention Authority, the Department of Wildlife Conservation and the mandate for water management lie with other ministries of the Cabinet. The Pesticide Registrar is with the Ministry of Agriculture while the Disaster Management Centre is in the Ministry of Disaster Management. The subject of waste management (solid, hazardous) is handled by local authorities allied to Provincial Councils, and therefore governed by the Ministry of Local Government and Provincial Councils.
2. Environmental management is a devolved subject under the 13th Amendment to the Constitution (1989) that provided the legal basis for decentralized management of natural resources. The nine Provincial Governments have the right to establish their own ministries and regulatory bodies for environmental protection. To date, only one province (North Western Provincial Council) has established its own environmental regulatory body. The protected area network, however, continues to be under the control of central agencies such as the Forest Department and the Department of Wildlife Conservation.
3. To manage environmental priorities against development needs the Government convened a National Council for Sustainable Development chaired by the incumbent President of Sri Lanka in 2009. This Council meets twice a year, but being a high-level body, it is limited in ensuring cross-sectoral implementation coordination. The Secretariat for the Council is MERE. The Council brings together key ministries and agencies in an effort to advise and strategize the wise use of resources to meet development demands. MERE established coordinating mechanisms or CEPOMs (Committees on Environment Policy and Management) in key sectors that aim to integrate environmental policies in to other ministries, but this mechanism is now inoperative.
4. In 2012, the Central Environmental Authority established an environmental database with data received from Wildlife, Forest Conservation, Census and Statistics, Survey and Archaeological Departments, National Building Research Organization and various other institutions. This database is an important step towards resource-based planning, but improved coordination and training on the tool are needed to produce environmental benefits.
5. In addition, Sri Lanka has instituted a number of mechanisms to ensure implementation of the three Rio Conventions. These are committees and secretariats functioning under the Ministry of Environment and Renewable Energy, and include:
   * **Biodiversity**: Biodiversity Secretariat established in 1999; National Expert Committee on Biodiversity; National Species Conservation Advisory group; Committee on Environmental Policy Management for Biodiversity and Sub-Committee on Invasive Alien Species
   * **Climate Change**: Climate Change Secretariat established in 2006, Climate Change Coordinating Committee; Climate Change Adaptation Advisory Group and the Expert Committee for the Clean Development Mechanism
   * **Land Degradation**: Division of Natural Resources is primarily responsible for the implementation of the CCD; National Expert Committee on Land Degradation and Drought appointed in 2000
6. There are a number of non-governmental organizations (NGOs) in the environmental sphere. International NGOs such as IUCN, CARE and OXFAM work in areas that are closely linked to biodiversity, land degradation, and climate change. A number of local NGOs (such as Centre for Environmental Justice, Environmental Foundation Limited, the Green Movement) engage in public awareness, environmental lobbying and legal aid for environmental protection. There are number of (over 300) regional and local-level NGOs that have benefitted from GEF’s Small Grants Programme working in the three Rio Convention focal areas. Sri Lankan universities undertake research and policy support activities for government ministries, agencies and NGOs.
7. The Ministry of Environment and Renewable Energy faces constraints in technical capacity, financial capacity and capacity to influence ministries with nationally important mandates and large budgets such as Power and Energy, Economic Development, Irrigation and Water Management and Transport to adopt environment-friendly policies. There have some notable successes in terms of sectoral/ cross-sectoral policy development. However, implementation of these policies is rarely the priority for the line Ministry.
8. Coordination of, and effective implementation of environment-related activities remain a challenging mission for the Ministry of Environment and Renewable Energy. In spite of a number of mechanisms instituted to overcome coordination barriers, such as the Committee on Environment Policy and Management and the Council for Sustainable Development, coordination remains weak and ineffectual as a result of a complex legislative and institutional field related to environmental governance. Most environmental initiatives are driven by large steering committees representing all stakeholder sectors often leading to delays in decision-making. Government development decision-making rests largely with powerful ministries such as Finance and Economic Development. The Department of National Planning vets development projects from government ministries and donors to ensure that projects contribute to overall national development objectives.

Table 1: Ministries with mandates that impact environmental management as of January 2014**[[3]](#footnote-4)**

| **Ministry** | **Mandate** |
| --- | --- |
| 1. Environment and Renewable Energy | Developing and implementing environmental policies and legislation for the preservation of the environment. Formulation of effective programmes and projects on environmental conservation, forestry, protection of biodiversity, urban waste management, pollution management and supervision of the statuary authorities under its purview. Environmental regulation through the Central Environmental Authority and forestry management through Department of Forests |
| 1. Irrigation and Water Resources Management | Setting policy, programmes and approving new projects on irrigation, new reservoirs, and water resources management. The Ministry oversees the decentralized structures for irrigation management in Sri Lanka and manages the Department of Irrigation, Mahaweli Authority of Sri Lanka, Central Engineering Consultancy Bureau and Water Resources Board. |
| 1. Livestock and Rural Community Development | Promoting policies, programmes and projects regarding livestock and rural community development. Development of livestock industry in Sri Lanka with special emphasis on milk production, veterinary services, socio-economic development of remote rural areas in Sri Lanka. The Ministry conducts R&D related to livestock productivity, improved breeding methods, fodder requirement and also runs a number of farms for demonstration, training, and production. |
| 1. Water Supply and Drainage | Promoting policies, programmes and projects on drinking water supply and drainage. The Ministry oversees the National Water Supply and Drainage Board, which is the main supplier of pipe-borne drinking water in the country. The Ministry is responsible for all the public services that come under the purview of the Board. |
| 1. Local Government and Provincial Councils | Promoting policies, programmes and projects on Provincial Councils, Local Government and all subjects that come under the purview of the devolved governance structures. The Ministry is responsible for all matters relating to the Provincial Councils and government functions relating to the local authorities including municipal, urban and village councils. |
| 1. Industry and Commerce | Promoting policies, programmes and projects on industry and commerce and the direction of such policies to achieve national objectives in industrial productivity in coordination with national planning authorities. The Ministry is responsible for copyright functions relating to the administration of the International Convention on Intellectual Property and Copyright of the World Intellectual Property Office. |
| 1. Technology, Research and Atomic Energy | Promoting policies, programmes, and projects on technology and atomic energy promotion and promoting scientific innovation and research in Sri Lanka. This includes scientific and industrial research, establishment and control of standards in industry, promoting research institutes, controlling uses of atomic energy, and promoting modern technology in government organizations and departments. |
| 1. Economic Development | Promoting policies, programmes and projects regarding the subjects of poverty alleviation, rural development, tourism and investments, and the functions of the statutory authorities under it, such as Board of Investment, Department of Zoological Gardens, Department of Agrarian Development, Department of the Commissioner for Samurdhi, and the Department for Up Country Peasantry Rehabilitation. |
| 1. Power and Energy | Promoting policies, programmes and projects on power and energy and the provision of all public services that come under the purview of the statutory authorities under it such as the Ceylon Electricity Board, the Sustainable Energy Authority, the Lanka Coal Company and the Lanka Electricity Company. |
| 1. Fisheries and Aquatic Resources Development | Promoting policies, programmes and projects on fisheries and aquatic resources development. Supervision of the Department of Fisheries and Aquatic Resources, the National Aquaculture Development Authority, Ceylon Fisheries Corporation, the National Aquatic Resources Research and Development Agency, and other listed statutory bodies. |
| 1. Lands and Land Development | Promoting policies, programmes and projects on land, land development and provision of all public services that come under its purview such as alienation of land and development of settlements, administration of state lands, land use planning, registration of land titles, acquisition of land, land surveying and mapping, provision of land related information. The agencies under its purview are, Department of Land Commissioner General, Department of Land Settlement, Department of Surveyor General, Institute of Survey and Mapping, Land Survey Councils and Department of Land Use Policy Planning. |
| 1. Agriculture | Promoting policies, programmes and projects on agriculture, agriculture technology, seed certification, pesticide control, agricultural production improvement, diversification, development of hi-tech agriculture and agricultural education. The agencies under its purview are the Department of Agriculture, the National Agricultural Diversification and Settlement Authority, the Agrarian Research and Training Institute, the Council for Agricultural Research Policy, and the Institute for Post-Harvest Technology. |
| 1. Transport | Promoting policies, programmes and projects on passenger transport in Sri Lanka, including bus, rail and ferry services; safety of passenger transport, construction of new railways, registration of motor vehicles, issuance of driving licenses, and railway freight systems. Under its purview are the Department of Sri Lanka Railways, Lakdiva Engineering Company, Sri Lanka Central Transport Board and National Transport Medical Institute. |
| 1. Disaster Management | Promoting policies, programmes and projects on disaster management including formulation of a National Disaster Management Plan, a National Emergency Operations Plan based on the national policy, coordinating foreign donor-funded projects on disaster management, coordinating risk-awareness and risk-reduction campaigns, relief during periods of natural disasters such as flood, drought, epidemics and the implementation of rescue operations. Created National Disaster Management Coordination Committee (NDMCC) to aid in coordination. Maintaining early warning systems with the Meteorological Department and the National Building Research Organization (landslide risk monitoring) |
| 1. Botanical Gardens and Public Recreation | Promoting policies, programmes and projects on maintaining parks, botanical gardens and recreation spaces in Sri Lanka. The Ministry has been newly created and oversees the functions of all of the botanical gardens in Sri Lanka that are important in ex-situ conservation of biodiversity. |
| 1. Wildlife Resources Conservation | Promoting policies, programmes and projects on wildlife conservation including maintenance of national parks, sanctuaries and strict natural reserves that come under the purview of the Department of Wildlife Conservation, promoting wildlife eco-tourism in protected areas, and formulating programmes to address human-elephant conflict in the country. |
| 1. Minister of Public Administration and Home Affairs | Promoting policies, programmes on public administration, home affairs and the direction of the implementation of these policies in an efficient and people-friendly manner. The Statutory bodies under the Ministry include the Department of Pensions, Department of Registrar General, all District Secretariats and Divisional Secretariats and the Sri Lanka Institute of Development Administration |

1. The Government is currently investing in a data management and monitoring system to promote e-governance. In 2010, the Ministry of Lands obtained approval of the Cabinet of Ministers to establish a National Spatial Data Infrastructure (NSDI). This programme is being executed through a National Steering Committee chaired by the Secretary of Lands. The Cabinet also approved that a pilot project for Environment and Disaster Management be implemented through the NSDI to test out the policy, legal, data and information needs of the larger platform. The informationplatform is being designed by the Information Communication and Technology Agency (ICTA)[[4]](#footnote-5) under the Presidential Secretariat. To implement the pilot NSDI project (for Environment and Disaster Management ), ICTA and Ministry of Disaster Management are setting up a combined project unit and will begin planning work (with World Bank support in 2014). While the Government has also indicated willingness to provide funds to establish and maintain computerized databases, this investment will not cover needs associated with the global environmental conventions as it will only focus on local sustainable development needs.
2. There are a number of databases available at different levels on different subjects such as disaster events[[5]](#footnote-6), the National Red Data List, Forest Inventory, Coastal habitats and coastline mapping, meteorological data, land use data, and topographical data. A number of additional data systems are in the process of being developed. In the baseline, information related to climate, river flow, biodiversity and many other disciplines are scattered due to lack of coordination, motivation and poor understanding of the power of shared use among agencies, research entities and individuals. These systems linked together through the proposed mechanism will help to reduce the redundancy, optimal use of the data, easy access of information and support the implementation of three Rio Conventions. The Department of Census and Statistics is responsible for collecting, analyzing and publishing data and information to support national needs. The Department is also the MDG focal point and produces the National Human Development Report with UNDP support. There is a statistician from the Department working with the Planning Division of the MERE to improve environmental information and data quality and flow.

### B.2.f Barriers to Achieving Global Environmental Objectives

1. The NCSA Final Report highlights a few common and important barriers to achieving progress in global environmental objectives in the thematic areas biodiversity, climate change and land degradation. As suggested above, policy setting and institutional coordination remains a distinct barrier in a complex legal and institutional framework for environmental governance. In 1998, the Ministry of Environment established nine Committees on Environmental Policy and Management, and later in 2003, the Environmental Action Plan recommended the re-arrangement of the CEPOMs according to sectors.[[6]](#footnote-7) This reconstitution never took place and the coordinating mechanism is now inoperative. The absence of strong administrative and legal mandate for the CEPOMs, frequent changes of the agencies, and distribution of subjects among ministries have hampered the effective functioning of the CEPOMs (UNEP, 2009).
2. Without the CEPOM structure effectively functioning, there is considerable pressure on time available for National Focal Points for the conventions in the Ministry of Environment, to coordinate different aspects of the conventions. As a result, Focal Points are challenged in their ability to monitor the fulfillment of obligations and to communicate and coordinate with different stakeholders, to prepare national reports to the Rio Conventions, and to effectively participate in the related Conferences of the Parties.
3. In addition, environmental management is not effectively mainstreamed in to regional, provincial and district development planning processes. This leads to a significant barrier to achieving global environmental objectives. At an institutional level, provincial councils often do not prioritize environmental management or allocate sufficient financial resources to the technical agencies to implement provisions rela**t**ed to environmental management. The Councils are elected bodies and have defined mandate to manage pollution, solid waste disposal, disaster risk reduction and urban or rural land use planning. However, due to the highly centralized nature of natural resources management (forests, wildlife, water, land) provincial councils have a limited role in defining local policies or instituting local-level policies and strategies on biodiversity or land/water management.
4. At district level, the administration is an extension of the central government and has wider implications for resource management. The District Secretary calls a District Development Committee every month where many technical agencies are present. However, environmental agendas are often subsumed by the high priority, large funding, and tight deadlines given to development projects such as rural roads, bridges, culverts, rural electrification, irrigation schemes, markets and water supply projects. At an individual level there is an insufficiency of well-trained staff in key planning units and at the provincial and district levels that have the skills needed to understand and incorporate environmental priorities within the design of sectoral and local development plans.
5. Another key barrier common to all three thematic assessments in the NCSA is the absence of budgetary allocation in relevant technical agencies to implement key strategies and action plans designed for the Rio Conventions. These include the Actions Plans for Biodiversity and Land Degradation, as well as the recommendations of the National Communications on Climate Change and the later-developed National Climate Change Adaptation Strategy. Multiple issues and barriers were identified in the thematic reports. At systemic level; there is a discounting of real costs of resource use and extraction for economic development due to insufficient information on natural resources and biodiversity values, their occurrence, spatial distribution, threats and limits. Due to this gap in awareness and appreciation of the limits of natural resources extraction, insufficient budgets are allocated for resource conservation (as is the case with the implementation of the Soil Conservation Act) and low priority is given to environmental considerations in development planning. At individual level, the NCSA found that the Ministry of Environment, and most technical agencies are focused on their narrow field of expertise and do not possess the capacity to formulate strong proposals to the Ministry of Finance or to donors based on Action Plans or Communications. The NCSA points to a lack of public concern and appreciation of land and biodiversity, leading to the assumption that they are unlimited and ‘free’ resources. This was seen as a barrier to mobilizing public spending on environmental conservation.
6. Poor information management is seen as a significant barrier to achieving progress in global environmental objectives in Sri Lanka. Information relating to the Rio Conventions is managed within distinct agencies and technical departments, and there is no national policy on data management and information sharing across all three conventions. The absence of a policy has meant that pre-requisites for data sharing have not been completed by data custodian institutions. For example, many of these institutions do not have data inventories or have categorized data in to levels of access. Data collection is done to meet needs of different custodial agencies and these agencies all follow their own guidelines on data sharing, without much transparency on the process. For example, meteorological data is collected by the state agency and shared at a high cost, spatial data concerning land use is shared via maps available to the public, while specific data regarding forestry, irrigation are not shared with the public. There are other systemic gaps related to the quality of data and data collection methods that are not harmonized across different state agencies. This makes it difficult for the public, researchers or others to compare different data sets analyzing the same problem.
7. At the institutional level, access to and interpretation of existing databases and information portals, is challenging due to a number of reasons. Restricted access to some of the important databases, even to government institutions and local government structures, is a main barrier. Databases developed through different projects are weakly managed. They are not regularly updated so they lose relevance and usefulness after a few years. This is the case of the Statistical Compendium for Biodiversity in the Ministry of Environment, the database on wetlands, the database on coastal habitats, the meta-database on coral reefs and coastal biodiversity, the DesInventar Database of the Ministry of Disaster Management (on climate-related disasters) and the database on groundwater quality and quantity of the Water Resources Board. Other barriers include the lack of clear guidelines or legal and regulatory mechanisms governing access to information.
8. Most custodial institutions lack human resources, information technology facilities, and funds to establish and maintain computerized databases. At the individual level, appointed database managers do not have adequate experience and expertise on data collection and dissemination. Additionally, there is a clear lack of awareness on the legal aspects (intellectual property, national security, copyright) of data sharing.
9. Due to the lack of a data sharing mechanism, currently data sharing is governed by personal relationships and informal agreements between key staff of custodial agencies. This weakness in sharing results among government agencies has led to duplicated data sets and mapping exercises, financed by the same resource-constrained central government. Infrastructure is not available for most government institutions and environmental NGOs to access and analyze data for effective decision-making. This is exacerbated by the lack of a mechanism that takes technical information related to the Rio Conventions and makes it available to the public. Despite the many environmental NGOs at national and regional level, public participation in environmental and natural resources decision-making mechanisms remains low for a country with high level of literacy and social development.
10. Low priority and financial/ human resource allocation for research across most technical agencies that deal directly with natural resources such as forests, water, land, coastal, agriculture, minerals and wildlife is another barrier for implementation of Rio Conventions. Research findings are not effectively communicated and shared due to the weak inter-ministerial coordination.
11. In addition, there are distinct data gaps that prevent MERE and other technical agencies from setting clear baselines and targets for environmental conservation goals. During PPG consultations, experts on the Rio Convention areas conferred on data gaps, agreeing that most biodiversity related data, water resources data and land use information was not available at the resolution and frequency needed for effective governance of resources. Data gaps prevent effective monitoring of environmental trends and evidence-based development planning that has, in turn, contributed to the systemic and institutional barriers described above.
12. The baseline scenario is a rapid, development process fuelled by post-conflict investor confidence in a biodiversity hotspot without a national environment monitoring system. In particular, local government agencies are being given the planning skills and finances and human resources to facilitate rapid economic growth at local levels. But these officials are not being trained to account for environmental values and considerations in this process. Despite the government’s clear commitment and policy towards safeguarding environmental assets, including global environmental benefits, the implementation of these policies remains insufficient in the baseline.
13. The main barriers described in this section are summarized below:

*Systemic*

* + Sufficient legal framework, but inadequate coordinating mechanisms, enabling policies and policy instruments currently in force to implement Rio Conventions
  + Weak understanding of environmental costs in development planning lead to undervaluing globally important environmental assets
  + Mainstreaming environmental and resource conservation into national and sub-national development planning is overshadowed by drive for post-conflict economic development

*Institutional*

* + Inadequate financial resources for the national implementation of MEAs through relevant technical agencies
  + Accessing information in custodial agencies is difficult as there are no clear guidelines, laws and regulations at systemic and institutional level on access to such information;
  + A culture of data sharing and the advantage of improved access to information is not yet fully realized. The access to systems and data by community-based organizations (CBOs), civil society organizations (CSOs), scientists and public is not optimal.
  + Inadequate mechanisms for inter-agency collaboration in environmental data generation and sharing (access)
  + Inadequate financing allocated through the treasury for activities related to the conventions, especially to implement key legislation for protection of natural resources
  + Inadequate system for environmental monitoring at national and decentralized levels against established national targets and global environmental commitments

*Individual*

* + Decision-makers and planners at national and sub-national level do not have the awareness, information and tools required for good environmental governance.
  + At the individual level, database managers are not trained on data collection, management and dissemination in customized formats, and on legal aspects (copyright) of information dissemination;
  + Scientific staff in custodial agencies are not trained to meet data gaps that arise in decision-making, or sharing information for improved implementation and monitoring of Rio Conventions
  + Poor awareness of state officials, specialists, and public at large about national responsibilities associated with the Rio Conventions and their benefits

# C. Programme and Policy Conformity

## **C.1** **GEF Programme Designation and Conformity**

1. This project conforms to the GEF-5 Cross-Cutting Capacity Development Strategy, Programme Framework 2, which calls for the strengthening of capacities to generate, access and use information and knowledge. The project will also provide ancillary benefits that are aligned with Programme Framework 3 that calls for the strengthening of capacities to develop policy and legislative frameworks.
2. More precisely, the CD-2 Framework provides the vision for the Sri Lankan project to harmonize existing information systems, integrating internationally accepted measurement standards and methodologies, as well as consistent reporting on the global environment. The CD-3 Framework provides the vision for more harmonized systems to manage natural resources and promote inter-ministerial coordination. Learn-by-doing activities under this Framework would strengthen the institutionalization of these systems through lessons learned and best practices from projects and interventions.
3. The project is strategically designed to respond to the national need for effective environmental information management and evidence-based development planning while conforming to GEF-5 CCCD Strategy. Through its interventions in information management policy and systems, the project would help Sri Lanka create valid baselines against which to measure achievements towards global environmental objectives, especially in relation to the Rio Conventions. Data management would also support monitoring and evaluating environmental trends at national and local level, enable local and regional sustainable development target setting, and support improved reporting to the Rio Conventions in national communications and action plans.
4. The expected outcome of this project is that best practices and innovative approaches to data and information management are available and implemented into national development policies and programmes which will ultimately aid in Rio Convention implementation. This outcome is disaggregated into two project components:
   * Component 1: Data and information management system
   * Component 2: Improved capacity to use data for planning, monitoring and decision-making
5. Both project components are designed to address the key capacity gaps identified in the NCSA and the PPG consultations as holistically and collaboratively as possible. The project will not initiate or invest in new structures that overlap with, or duplicate the functions of existing data management structures, but instead the project recommends working with existing data custodians and strengthening state-funded initiatives for data management. Due to the complexity of local governance in Sri Lanka, the project will not work with the full range of regional planning structures. Instead, it will work in three provinces to demonstrate learn-by-doing implementation of recommended data supported planning processes. The project will NOT work with all the ministries of the cabinet because the scope is too wide, and will instead identify key ministries and allied technical agencies (data custodians) to implement project activities.
6. GEF Cross-Cutting Capacity Development is a programme that does not lend itself readily to programme indicators, such as reduction of greenhouse gas emissions over a baseline average for the years 1990 to 1995, or percentage increase of protected areas containing endangered endemic species. Instead, CCCD projects are measured by output, process, and performance indicators that are proxies to the framework indicators of improved capacities for the global environment. To this end, CCCD projects look to strengthen cross-cutting capacities in the five major areas of stakeholder engagement, information and knowledge, policy and legislation development, management and implementation, and monitoring and evaluation. See Annex 3 below.
7. This project will implement capacity development activities through an ACM approach to engage stakeholders as collaborators in the design and implementation of project activities that take into account unintended consequences arising from policy interventions.
8. The project is also consistent with the programmatic objectives of the three GEF thematic focal areas of biodiversity, climate change and land degradation, the achievement and sustainability of which is dependent on the critical development of capacities (individual, organizational and systemic). Through the successful implementation of this project, environmental information and data will support sustainable development planning at national and regional levels. This project effectively fulfills obligations under the Rio Conventions and supports the establishment of sound baselines and targets that complement reporting requirements for the conventions. Table 2 summarizes the project's conformity with the 11 operational principles of capacity development identified in the GEF Strategic Approach to Capacity Building.

Table 2: Conformity with GEF capacity development operational principles

| **Capacity Development Operational Principle** | **Project Conformity** |
| --- | --- |
| 1. **Ensure national ownership and leadership** | The need for this intervention is highlighted in all three thematic reports of the NCSA as well as the final report. The development of this project benefitted from consultations with key ministries, agencies, Department of National Planning, ICTA, and a large cross-section of expert stakeholders, which included NGO representatives, senior representatives of MERE, academics and others. |
| 1. **Ensure multi-stakeholder consultations and decision-making** | The project will use a number of multi-stakeholder platforms and obtain the service of an expert committee to support key activities such as information sharing policy design, indicator and minimum data requirements for monitoring of Conventions. Public and sub-national consultations are envisaged to support information needs analysis. Project implementation will take an adaptive collaborative management approach, which includes stakeholder representatives in the project decision-making structures. |
| 1. **Base capacity building efforts in self-needs assessment** | The need for quality assured environmental data for effective evidence-based development planning was identified as a top cross-cutting capacity priority in the Sri Lankan NCSA process. The NCSA reports identify existing capacity gaps including lack of policy direction, effective coordination, trained personnel, centralized databases and public/official awareness levels on accessing and using data |
| 1. **Adopt a holistic approach to capacity building** | The project's strategy will focus on at least 15 line agencies that are custodian and users of environmental data, including National Planning and Census and Statistics. A systematic and in-depth analysis of their training needs, data processing and data management systems will be carried out to prior to developing the capacity development plan. |
| 1. **Integrate capacity building in wider sustainable development efforts** | By integrating access to environmental data and Rio Conventions into sub-national development processes, socio-economic plans, this project will direct capacity building activities (e.g., training and learn-by-doing mainstreaming exercises) towards strengthening plans and programmes that set out to meet sustainable development goals so that they deliver both national and global environmental benefits. |
| 1. **Promote partnerships** | By its very nature, this project requires collaboration and coordination among selected key ministries in Sri Lanka’s government. Equally important will be partnerships that are developed and strengthened with non-state organizations such as academic and research institutes, NGOs, CSOs and the private sector as the project engages them in the development and testing of a widely acceptable environmental information sharing programme. |
| 1. **Accommodate the dynamic nature of capacity building** | The project's implementation arrangements include the creation of a Project Board that will convene regularly (once every four months and as needed should the need arise) to oversee the performance of capacity development activities, manage risks, and to approve appropriate modifications to the project activities. |
| 1. **Adopt a learn-by-doing approach** | The project's approach to data management activities and data-supported development planning activities are via a learning-by-doing approach. Government representatives and other stakeholders will be involved in the collaborative review, analysis for formulation of recommendations for the various analyses of development data needs, capacity gaps, indicators, information sharing policy. The learning-by-doing will also be instituted through the implementation of data collection and quality assurance; as well as data-supported regional planning. |
| 1. **Combine programmatic and project-based approaches** | This project is a recommended action of the NCSA, the process of which was highly consultative. Since the NCSA, Sri Lanka has developed a number of policies, strategies and action plans on environment and sustainable development. Sri Lanka’s national development framework also gives priority to environmental sustainability, however the mechanisms for achieving this is unclear. The project is expected to bridge one of the main barriers to operationalizing sustainable development agenda in Sri Lanka by using the Rio Convention provisions as the analytic framework for information needs and management. The data needs analysis takes in to account the monitoring of sustainable development targets and goals set out by the country, which will provide a programmatic framework for the holistic pursuit of Rio Convention outcomes and sustainable development through project activities. |
| 1. **Combine process as well as product-based approaches** | The project’s execution will be collaboratively managed through the working group and expert committee, ensuring that all stakeholder groups are represented at all stages in the decision-making process. This process effectively began with the NCSA, which identified this project's objective as early as 2006. The project will engage as many government and non-governmental actors that have a role in data and information management. The project will engage experts and academia in assessments, as peer and expert reviewers of the data needs and quality control analyses and the recommended capacity building actions, ensuring continuous engagement in the process and eventual ownership of the generated products and capacities. |
| 1. **Promote regional approaches** | The project will test recommendations for data analyses and data-supported development planning at the regional level. This will allow for the ground-truthing of the recommendations, and inform modifications to the data sharing mechanisms and information access policies. |

### C.1.a Guidance from the Rio Conventions

1. Sri Lanka is fully committed to meeting its obligations under the Rio Conventions and the proposed project is intended to be an important step towards developing the capacities for an effective national environmental data management system. Table 3 identifies key articles that call for Parties to develop their national capacities as part of the Rio Conventions. Specifically, the project will strengthen Sri Lanka’s monitoring and evaluation systems for the global environment by targeting capacity development towards accessing and using new data and knowledge to make more informed decisions. These capacities will require strengthening stakeholder engagement (as legitimate owners of comparative expertise, experience and knowledge); strengthening organizational capacities (as key operational entities and processes that guide transparent and valid use of knowledge for predictable outputs); environmental governance (as targeted rules and decision-making procedures that will ensure responsible and accountable actions); information management and knowledge (which is its actual creation, access, and use to catalyze a more holistic analysis and strategizing of local actions to meet global environmental objectives); and monitoring and evaluation (which is the strengthening feedback and adaptive systems for planning resiliency and managing the global environment through sustainable national actions).
2. This project demonstrates the matrix approach of cross-cutting capacity development, wherein the targeted set of activities focus on strengthening monitoring and evaluation activities, and yet the four other types of capacities will also be strengthened (though sub-ordinated to monitoring and evaluation) in order to ensure the legitimacy, relevancy, and institutional sustainability of project outcomes.

Table 3: Capacity Development Requirements of the Rio Conventions

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Type of Capacity** | **Convention Requirements** | **FCCC** | **CBD** | **CCD** |
| ***Stakeholder Engagement*** | Capacities of relevant individuals and organizations (resource users, owners, consumers, community and political leaders, private and public sector managers and experts) to engage proactively and constructively with one another to manage a global environmental issue. | Article 4  Article 6 | Article 10  Article 13 | Article 5  Article 9  Article 10  Article 19 |
| ***Organizational Capacities*** | Capacities of individuals and organizations to plan and develop effective environmental policy and legislation, related strategies, and plans based on informed decision-making processes for global environmental management. | Article 4  Article 6 | Article 8  Article 9  Article 16  Article 17 | Article 4  Article 5  Article 13  Article 17  Article 18  Article 19 |
| ***Environmental Governance*** | Capacities of individuals and organizations to enact environmental policies or regulatory decisions, as well as plan and execute relevant sustainable global environmental management actions and solutions. | Article 4 | Article 6  Article 14  Article 19  Article 22 | Article 4  Article 5  Article 8  Article 9  Article 10 |
| ***Information Management and Knowledge*** | Capacities of individuals and organizations to research, acquire, communicate, educate and make use of pertinent information to be able to diagnose and understand global environmental problems and potential solutions. | Article 4  Article 5 | Article 12  Article 14  Article 17  Article 26 | Article 9  Article 10  Article 16 |
| ***Monitoring and Evaluation*** | Capacities in individuals and organizations to effectively monitor and evaluate project and/or programme achievements against expected results and to provide feedback for learning, adaptive management and suggesting adjustments to the course of action if necessary to conserve and preserve the global environment. | Article 6 | Article 7 |  |

1. This project responds to a variety of needs identified by various articles of the Rio Conventions such improved communication and exchange of information, research and monitoring, and implementation support. Table 4 illustrates more specifically how the project components will contribute to specific articles under each Rio Convention.

Table 4: Project Components and Rio Conventions

| **Project Components** | **FCCC** | **CBD** | **CCD** |
| --- | --- | --- | --- |
| Outcome 1: An improved national system to manage (i.e., collect, store and access) data and information - that supports monitoring and implementations of Rio Conventions. | Article 5 (a), Research and systematic observation  Article 12, Communication of information related to implementation | Article 7, Identification and Monitoring.  Article 12 (b), Research and training.  Article 17, Exchange of information.  Article 26, Reports. | Article 9, Basic approach  Article 10, National action programmes,  Article 16, Information collection, analysis and exchange  Article 26, Communication of information |
| Outcome 2: Planners, policy-makers and decision-makers effectively addressing national and global environmental issues | Article 4 (1e, 1f) Commitments. | Article 8 (c, d, e), In-situ conservation.  Article 10 (a, e), Sustainable use of components of biodiversity.  Article 11, Incentive measures.  Article 20, Financial resources. | Article 4, General provisions.  Article 9, Basic Approach.  Article 13, Support for the elaboration and implementation of action programmes.  Article 14, Coordination of the elaboration and implementation of action programmes. |

## **C.2** **Project Design: GEF Alternative**

### C.2.a Project Alternative

1. This project takes an incremental approach from a GEF construct towards strengthening Sri Lanka’s environmental governance to meet Rio Convention objectives, focusing on building a set of underlying institutional and technical capacities. In the absence of this project, Sri Lanka would continue to push forward with socio-economic development while expressing its commitment to safeguarding environmental assets, including those of global environmental benefit. However, in the baseline, multiple barriers exist that undermine the policies in place for environmental protection. These barriers include insufficient capacity for data and information management; poor awareness of environmental issues and their economic values, particularly amongst senior-level decision makers; insufficient technical capacity of planners at all levels to utilize existing knowledge and information on the environment for mainstreaming into planning processes; and a lack of coordination, understanding, and motivation for information sharing amongst agencies, research institutions and individuals.
2. In the baseline, the Government is investing in a data management and monitoring system, notably by providing information technology facilities and embarking on an e-governance strategy to introduce new concepts. The Government has indicated a willingness to provide funds to establish and maintain computerized databases. However, despite the large amount of funding invested, this will not cover needs associated with the global environmental conventions. Instead, it will focus on local environment and sustainable development needs.
3. In the baseline scenario the government is investing heavily in decentralized planning capacity at village and district level through rural development projects and programmes. This project offers an alternative to current development efforts in that capacity development activities will focus on a comprehensive strengthening and institutionalization of technical capacities to mainstream the Rio Conventions into national development planning processes. This project would target key barriers to data and information management and the mainstreaming of global environmental values into the country’s planning, decision-making, and socio-economic development.
4. This project takes a learn-by-doing approach to help institutionalize capacities for improved environmental governance. Building upon recent and updated needs assessments and the training on best practices and innovations, targeted training programmes will serve to educate and engage relevant decision-makers and planners, as well as other stakeholders, in the critical analysis of Sri Lanka’s environmental governance. Through this process, they will collaborate and negotiate better approaches to deliver global environmental benefits through improved interpretation, planning, and decision-making on environmental and sectoral policies, plans and programmes using the lens of the three Rio Conventions. These capacities will be institutionalized through the implementation of select recommendations that will serve to demonstrate the value of this approach through improved/reinforced compliance with Rio Conventions obligations.
5. To the extent possible, activities under this project will be distinguished as delivering either global environmental benefits or sustainable development benefits that Sri Lanka should undertake in its own national self-interest. The very nature of mainstreaming blurs this distinction, and as a result the allocation of the GEF increment and co-financing to each activity is therefore a best estimate of how much of the GEF increment is needed to complement the baseline and co-financing that was leveraged to implement the project.
6. This project responds to multiple cross-cutting capacity development priorities identified in Sri Lanka’s NCSA, and directly addresses the need for “capacity for information management and sharing”. In doing so, this project will help to catalyze more effective engagement in the governance of the global environment through environmentally sound and sustainable development. The project is strategic in that it responds to a targeted set of underlying and critical institutional and technical barriers to environmental governance to meet and sustain global environmental outcomes. Specifically, the project will facilitate the proactive and constructive engagement of relevant decision-makers and planners, among other stakeholders, across environmental focal areas and socio-economic sectors.
7. This project is innovative and transformative in that it takes a life cycle approach to environmental governance, focusing on eliminating the institutional barriers of stakeholder engagement as evidenced by the weak access to best practices, innovations, and skills. Capacity development activities will focus on institutionalizing a process by which technical capacities are summarily accessed to inform planning and decision-making, and not limited to project-based activities. While consultants may be recruited to support the development of new and improved data and information management systems that better integrate and reflect Rio Convention obligations, these skills will be incrementally imparted on government technical staff who are more likely to remain government career staff, even if they move to other departments and ministries within the government.
8. While Sri Lanka has expressed commitment sustainable environmental management through documents such as the National Action Plan for Haritha Lanka Programme, the value of this project lies in catalyzing concrete steps towards the country’s self-sufficiency and environmental sustainability. This assumes that the capacities developed will be institutionalized, thereby resulting in an incrementally reduced dependency on external funding. The inherent nature of the project’s cross-cutting approach also dictates important partnerships among several key national institutions that play a role in the implementation of the Rio Conventions as well as other MEAs. Key partners include the Department of National Planning in the Ministry of Finance and the Information Communication and Technology Agency.

### C.2.b Project Goal and Objective

1. The goal of this project is **to strengthen data and information management and other support systems that contribute to policy development and improved implementation of the three Rio Conventions**. To this end, the project will focus on improved access to environmental data and information as a basis for strengthened national and sub-national developmental planning, building on the high level of political patronage for a greener and improved environment in Sri Lanka. The project’s objective is **to enhance the institutional and technical capacity of relevant stakeholders to support policy analysis, development planning and monitoring related to post-conflict development and implementation of the Rio Conventions and other MEAs**.

**Project Goal**

Strengthen information management and other support systems that contribute to policy development and improved implementation of the three Rio Conventions

**Objective**

To enhance the institutional and technical capacity of relevant stakeholders to support policy analysis, development planning and monitoring related to post-conflict development and implementation of the Rio Conventions and other MEAs

**Component 2: Improved capacity to use data and information for planning, monitoring and decision-making**

Conduct training, capacity building and learn-by-doing utilization of environmental data and information in planning processes

Update environmental monitoring and reporting processes to deliver increased and sustainable global environmental benefits

**Key Outputs and Activities**

* Stakeholders (CBOs, CSOs, private sector and government agencies) with capacity to access, use and interpret the information
* Increased awareness in government planning and budgeting departments
* Increased capacity in planning departments at national, provincial and district levels
* Updated multi-year action plans for environment for environment and disaster risk management
* Resource mobilization strategy

**Component 1: Data and Information Management**

Strengthen existing environmental information and data generation, management and sharing structures

Support existing structures and mechanisms to make more effective and integrated decisions on the global environment and national priorities

**Key Outputs and Activities**

* Strengthened policy and regulatory framework for information sharing in support of Rio Conventions
* Identified set of indicators for environmental monitoring and natural resources management supporting both global and national needs.
* Established data collection systems in different agencies to cover needs of Rio Conventions and support environmental quality monitoring against national indicators
* Accessible and user-friendly national data clearinghouse established

Figure 1: Overview of project components

### C.2.c Project Outcomes

1. At the end of the project, activities will have resulted in a set of improved capacities to meet and sustain Rio Convention objectives. This project will have strengthened and helped institutionalize commitments under the Rio Conventions by improving environmental information management, updating baselines and targets of key planning instruments, and developing capacity in government and civil society to use environmental data and information for resource management and environmental status monitoring. The project addresses key gaps in environmental management in Sri Lanka as identified by the NCSA and outlined above. By improving collection, access to and use of environmental information and data in Sri Lanka, the project will support improved decision-making and coordination for biodiversity conservation, climate change adaptation and mitigation planning, and sustainable land management.
2. The proposed project, by contributing to informed decision-making on sustainable use of natural resources at national and local levels, will have a positive impact on poverty and on marginalized people. In addition, by improving data/information management, and strengthening capacity for evidence-based decision-making, the project will have a positive impact on the overall development process. Information generated will support the existing information base on the temporal and spatial distribution of natural disasters, of unique habitats and species, forestry, minerals and costal habitats other important resources; and promote ecosystem based disaster risk reduction and livelihood support- thereby reducing the vulnerabilities in the population particularly among, poor, women, children and differently able.
3. Women are particularly vulnerable to resource degradation, in particular women with young children and female headed households. The project, by contributing to a sustainable use of natural resources, should therefore have a positive impact on gender equality. Where possible, the project will also introduce gender disaggregated data and information management mechanisms, in order to facilitate measures to improve gender balance in the future.

### C.2.d Project Components, Outputs, and Activities

1. This project will be implemented in two linked components:
   1. Data and Information Management
   2. Improved capacity to use data and information for planning, monitoring and decision-making
2. Activities are framework activities, accompanied by a set of key indicators that serve to measure progress towards delivering outputs and realizing outcomes. During early implementation of the project, activities will be deconstructed and coordinated with activities being implemented by other development partners. Although project implementation technically begins with the signing of the project document, project activities will begin in earnest once the Project Coordinator has been recruited. The logical framework of Annex 4 is a management tool that organizes the project activities and measurable indicators to facilitate effective implementation.

**Component 1: Strengthened Data and Information Management System**

Outcome 1: Implementation of the Rio Conventions are better monitored and implemented

1. This component will address the overall policy and regulatory framework for improved systems to manage (i.e., collect, store, and access) environmental data and information. These systems will address information needs related to the implementation of the Rio Conventions as well as other MEAs. Overall, the data management and data sharing systems will cover all key environment parameters, and GEF funds will focus on global environment issues. This component will ensure an enabling policy environment and support for data custodian agencies to manage and upgrade exisitng databases. This will include identifying data needs, determining organizational responsibilities, and establishing ground rules for the sharing of data and reporting national level indicators to information policy decisions. The information system, otherwise known as a clearinghouse, will be designed to be user-friendly and accessible to all stakeholders.
2. This component will also address technical capacities of data custodians and those who create data and information in Sri Lanka. An expected outcome is the development of a negotiated set of indicators for environment and natural resources management, including all issues related to the global environment. This will ensure that henceforth progress on environmental issues can be effectively monitored – in line with the maxim: what gets measured, gets done.
3. The government will contribute greatly to this component through the investments in the National Spatial Data Infratsrucuture Programme, by providing the significant investment in the data management hardware. GEF additional financing will be focussed on adding global environmental monitoring/information management to the baseline structure that focuses mainly on spatial disaster risk and impact on natural resources.

Output 1.1: Strengthened policy and regulatory framework for information sharing in support of Rio Conventions

1. This output focuses on establish the necessary ground rules for effective environmental information management. The output will generate a coordination mechanism, policy analyses and dialogues, and review and recommend changes to the existing frameworks and institutional protocols that govern data sharing. The output will create an enabling environment and policy provisions necessary for the effective implementation of Rio Conventions and national environmental plans/targets. The output will provide the necessary foundation on which activities of other outputs will be constructed.

**Activities:**

1.1.1 Undertake a policy analysis through stakeholder consultations and policy dialogues, in particular representatives of key national development agencies and ministries. Taking into account the recommendations of the Cabinet Paper presented by the Ministry of Lands and Land Development, among others, the policy analysis should discuss the key mainstreaming elements that would enable generated environmental information to be widely used in development decision-making. The analysis should consider sectoral decision-making processes of the 16 key public institutions, among other relevant stakeholder organizations, and will make recommendations for greater integration of environmental information in sectoral planning processes. It should also seek to maximize synergies and parallel programmes of national agencies, among others, on data management, taking particular account of the pilot NSDI project, NBSAP and preparation for the Third National Communication.

Target indicator: Working group formed by month 2. This working group on policy support under the Additional Secretary, MERE and co-chaired by the Ministry of Disaster Management and the Information Communication Technology Agency (ICTA). This working group will provide technical and policy guidance on the formulation of the policy and regulatory recommendations proposed for effective information management

Target indicator: A workshop is convened to discussed and validate the draft analytical report by month 4

Target indicator: Analytical report is peer-reviewed, receiving a high quality rating, and completed by month 6.

Target indicator: Working group is institutionalized with the ministry’s core business plan by month 33.

1.1.2 Taking into account the policy analysis of 1.1.1, draft an information sharing policy for environmental sector. The policy should explicitly address measuring indicators and trends to assess the extent to which Rio Conventions targets and milestones are being as well as supporting more informed decision-making by national planning agencies and other stakeholders.

Target indicator: Draft policy prepared and endorsed by working group by month 9.

Target indicator: Policy is approved by Cabinet by month 12

Target indicator: Memorandum of agreement among partner agencies and other stakeholder organizations to pilot the sharing of data and information during the project is signed by month 3. A new Memorandum of Agreement is signed among partner agencies and other stakeholder organizations to share data and information per policy reforms signed by month 30. This MoA serves to strengthen the institutional sustainability of data and information sharing.

1.1.3 Provide training and awareness-raising through a series of workshops to understand the information sharing policy prepared under outputs 1.1.1 and 1.1.2. Target participants will include representatives of the Council for Sustainable Development, Committee on Environment Policy and Management, and National Disaster Management Coordination Committee, among other stakeholder representatives.

Target indicator: Training and awareness-raising material are collated by month 8

Target indicator: Undertake workshops at the national and sub-national levels, the first to be held no later than month 10 and only after the draft policy (1.1.2) and good practices have been completed. Convene two (2) workshops in year two and two (2) workshops in year three, with a total of at least 150 unique participants.

Output 1.2: Identified set of indicators for environmental monitoring and natural resource management supporting both global and national needs

1. The activities in this output will contribute to an agreed set of environmental indicators that support information needs for national development and for implementing Rio Convention recommendations. The output will be delivered through a team of experts drawn from key technical agencies for environmental and disaster management data in the country. The expert group will have a wide knowledge base in the three Rio Conventions and support implementation by designing, directing and guiding activities.

**Activities:**

1.2.1 Expert working group convened with representation from the Rio Convention Focal Points and key regulatory agencies. This working group is comprised of technical experts and other specialists who will discuss and agree on the specific data, information and knowledge needs to operationalize the information sharing policy and associated regulatory and legislative requirements developed and identified under output 1.1.

Target indicator: Expert committee composition agreed by the Project Board in its first meeting by month 4

Target indicator: Expert committee meets every three (3) months for the first 12 months, and every quarter for the rest of the project

1.2.2 Taking into account and complementing the analysis of 1.1.1, conduct an assessment of the data and information needed, including methodology, standards, and knowledge tools, in order to effect robust monitoring and sound and sustainable decision-making to meet obligations under the three Rio Conventions. This analysis will include an in-depth baseline assessment of the availability of environmental information, data formats and accessibility.

Target indicator: An in-depth baseline assessment carried out and substantively reviewed by at all members of the national expert committee, and completed by month 10. Update this assessment by months 22 and again by month 32.

1.2.3 In conjunction with activity 1.2.1, organize and convene workshops at national and regional levels to identify indicators for the ten (10) thematic areas[[7]](#footnote-8) that are reflected in the National Haritha Lanka Plan for Sustainable Development, which addresses the implementation of the three Rio Conventions and other MEAs.

Target indicator: Conduct local and regional consultations on recommended indicators to inform output 1.2.4 and the national workshops by month 10

Target indicator: Three (3) national workshops organized and convened with government representatives from each province having participated in at least one workshop. Each workshop should be attended by at least 50 local/regional representatives and all three workshops will be completed by month 14

Target indicator: Recommended indicators are peer-reviewed and endorsed by the national expert committee and working group by month 19

1.2.4 Taking into account the assessment and recommendations of 1.2.2 and 1.2.3, identify and develop new and improved indicators to monitor environmental targets and milestones relevant to the three Rio Conventions.

Target indicator: At least two sets of high-level and technical meetings are conducted with key representatives of key institutions and other stakeholders by month 16

Target indicator: Minimum data requirements to monitor key environmental and disaster risk indicators identified in national action plans are agreed upon by the national expert committee by month 18

Target indicator: Recommendations are approved by key decision-makers by month 24

1.2.5 Establish meta-databases for spatial, demographic and economic indicators in the three key thematic areas of the Rio Conventions.

Target indicator: At least three meta-databases developed and published for the focal areas of CBD, CCD and FCCC by month 28

Output 1.3: Improved data management to satisfy Rio Convention monitoring requirements

1. Whereas output 1.2 will identify and develop indicators, this output focuses on the development of the best practice methodologies and institutional processes to collect and manage data and information. Activities will include learn-by-doing training and building on output 1.1, improved institutional capacities of key stakeholder institutions and organization to ensure the highest quality of scientific rigor and relevance to improved planning and oversight to meet Rio Convention obligations while meeting national socio-economic priorities.

1.3.1: Form an expert sub-committee under the national expert working committee of 1.2.1 that focuses on data collection standards and quality assurance. This sub-committee will be co-chaired by the Ministry of Environment and the Information Communication Technology Agency. Technical guidance would be supplied by the Department of Census and Statistics.

Target indicator: Expert a sub-committee with at least 10 members including representation from Department of Census and Statistics and ICTA meets quarterly throughout project implementation, beginning by month 13 through to month 33

1.3.2: Assess current data collection and generation methods of the key agencies to better understand the baseline assumptions, level of accuracy, frequency of collection and spatial distribution of data collection locations. This activity should be carried out in conjunction with the data and information needs of activities 1.2.2 and 1.2.3.

Target indicator: Report on data collection methods, quality assurance procedures, gaps related to assumptions, data collection frequency, level of accuracy required is drafted by month 15

Target indicator: Report is peer-reviewed, receiving a high quality rating, and completed by month 17

1.3.3 Based on 1.3.2, structure a set of analytical methodologies and data flow processes to inform environmental sound and sustainable development planning, with particular indicators for measuring global environmental targets at both the national and sub-national levels.

Target indicator: Peer-reviewed set of methodologies and data flow are endorsed by the national expert committee by month 20, and approved by a consensus of senior decision-makers in the key stakeholder institutions by month 22

Target indicator: Recommendations are approved by key decision-makers, in particular the Department of Census and Statistics, Information Communication Technology Agency, Ministry of Public Administration, and Department of National Planning by month 24

1.3.4: Carry out learn-by-doing exercises to formulate and apply data collection best practices and data quality guidelines for key agencies. This activity will be supported by the Pilot NSDI project for Environment and Disaster Risk Management sectors. The pilot project will provide the platform for the learn-by-doing exercises for data quality improvement. Data quality guidelines will be improved based on the results of this experiment and shared with key government data managing agencies.

Target indicator: Learn-by-doing training workshops (at least ten), the first held no earlier than month 20 and the final workshop held no later than month 32

Target indicator: At least 250 officials drawn from national, provincial and district level offices of the 16 key technical agencies and other key stakeholder representatives training.

Output 1.4: Strengthened national data clearing-house

1. Building on the baseline NSDI project, this output will strengthen a strong national data and information platform and provide a viable financial plan for its sustainability. This will include building trust and cooperative agreements among key government agencies. Due to the absence of an enabling policy environment, regulatory mechanism and data access protocols there is little trust and cooperation among government agencies currently, especially when it comes to sharing technical and scientific information. The output will review regulatory procedures, recommend changes to the current regulatory framework, review protocols for data sharing in the key custodial agencies and provide the software and framework for a centralized database to support the government’s data sharing infrastructure at ICTA.

1.4.1: This activity will take into account the information sharing policy and agreement of 1.1.2, as well as the technical needs agreed under 1.2.2 and the data flow processes of 1.3.3. In particular, this activity will assess and recommend regulatory reforms to facilitate and catalyze streamlined institutional processes for effective data and information management needed under the Rio Conventions. This report will be commissioned by the working group and presented to the Department of National Planning.

Target indicator: Recommendations for improved regulatory framework, data sharing, and access presented to the Project Board and Department of National Planning by month 12

1.4.2: Develop protocols for data access and data sharing for the agencies participating in Component 2, describing different levels of access for different user groups and feasible cost-recovery mechanisms as required. This activity will include assessing the financial sustainability of data sharing, protocols and procedures for data costing and cost recovery for data managing agencies.

Target indicator: Data access and costing protocols developed for 16 custodial agencies throughout the project period: four agencies by month 13, 10 agencies by month 19, and 16 agencies by month 25

1.4.3: Using ICTA’s Pilot NSDI Project on Environment and Disaster Management as a baseline project, develop and pilot data sharing platforms at national and sub-national level (in three provinces) for the three Rio Conventions and environmental/disaster risk management reporting needs.

Target indicator: Existing environmental and disaster management data inclusion into the Spatial Data Infrastructure project supported and completed by month 16

Target indicator: Provincial level data sharing platforms with improved data piloted in three selected provinces by month 25

1.4.4: Develop data brokering service (hardware and software platforms) that will facilitate improved analysis and access to metadata and detailed data sets of the different data custodians.

Target indicator: Data brokering service developed and piloted by month 24

Component 2: Improved planning and decision-making capacities for the global environment

Outcome 2: Planners, policy-makers and decision-makers effectively addressing national and global environmental issues.

1. Component 2 will address national and sub-national technical capacities to use environmental information for more effective planning. The result is increased capacity in planning departments at national, provincial and district levels to integrate global and local environmental needs into development planning and monitoring. This will build on existing interventions to improve the national and sub-national level planning capacity to ensure they are complemented by environmental tools. For example, this improved knowledge and enabling enviornment is expected to provide information on environmental services and what-if-senarios related to development plans and projects.
2. In addition to ensuring the supply of quality-assured and relevant environmental information and data (Component 1), the project will also focus on generating *demand* for such data/information, and ensure its practical application in policy, programmes, and research. This component will ensure that stakeholders have sufficient capacity to identify data needs for decision-making, bridging the knowledge gap on data sourcing and accessing and using the generated information for evidence-based anaylsis and decision-making. With improved access to information and ability to intepret the information, the capacity of CBOs and CSOs capacity to undertake advocacy and litigation based on scientifically derived information will be significantly enhanced. Also, increased involvement of CBOs and CSOs in local governance systems due to their added value as vigilent groups is expected.
3. The effective delivery of this component involves four interconnected outputs with activities that include awareness and education campaigns, training programmes, data analyses and planning support at decentralized levels and updated environmental information on Rio Conventions implementation. The component will ensure wise use of natural resources, and effective prioritisation of conservation needs at both national and decentralized levels. This in turn will positively impact the resource-dependent poor who live on small-scale subsistence farming and fishing.

Output 2.1: Increased capacity to use environmental information for integrated planning and decision-making in national, provincial and district level planning institutions

1. This output will deliver specific mainstreaming inputs for using environmental data for evidence-based planning in baseline development projects including donor-funded reconstruction projects in conflict-affected districts. The output is closely linked to activities carried out in outputs 2.2 and 2.3, but will be more focused at the decentralized level and pilot a learn-by-doing exercise for environmental integration and data interpretation for decision-making into a government-funded development activity in the three selected provinces.

2.1.1: Assess the training necessary to integrate data, information and knowledge into national planning frameworks in a way that Rio Conventions obligations are also being satisfied. The assessment will cover national and sub-national training needs for data access, interpretation and use in national development projects and programmes

Target indicator: Training needs report drafted by month 10, and finalized and endorsed by Project Board by month 12

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2.1.2: Based on the training needs assessment in activity 2.1.1, prepare a comprehensive training programme, including targeted training modules for evidence-based planning (in coordination with other donor-funded programmes and projects) for district and provincial planners and implement through Ministries of Local Government and Economic Development. This activity will also develop a module for improved data access and interpretation for environmental management to be used in activity 2.2.3.

Target indicator: Training modules developed for each specific case involving Rio Focal Points or their designated regional officials by month 12

*Target indicator: Training programme and modules peer-reviewed and finalized by month 16*

Target indicator: The training programme is rated as high quality[[8]](#footnote-9)

*Target indicator: After training workshops in 2.2.3, incorporate feedback from evaluations (activity 2.2.3) to strengthen courses. Analyze results by month 28.*

2.1.3: Learn-by-doing demonstration of data-supported development planning for three key national development programmes in agriculture, disaster management and land-use planning. This activity will be organized in conjunction with activity 2.2.3.

Target indicator: Learn-by-doing demonstrations designed in three (3) sectoral development plans by month 14

Target indicator: Identify best practices and lessons learned from pilot demonstrations and incorporate into training of trainers to replicate the activity in the remaining 6 provinces by month 29.

Target indicator: Revise training modules based on lessons learned by month 31

Output 2.2: Strengthened stakeholder capacity to access, use and interpret data and information

1. This output is designed to strengthen the capacities of stakeholder institutions access and use environmental data and information for integrating Rio Convention obligations into development planning frameworks and processes. The activities under this output will deliver increased knowledge on data availability and access, and improved ability to analyze and interpret this data for development needs at national or local level. Whereas output 2.1 focuses on capacity learn-by-doing at the sub-national level, i.e., district and provincial planners, the activities in this output will target a range of stakeholders working at the national level that include government ministries and agencies, local governments, non-governmental organizations, and local civil society groups. The activities focus on creating sufficient levels of awareness of the data and information needs and current availability, policies and regulations concerning access and use of such information, and accessibility to existing databases.

2.2.1: Prepare a detailed capacity development plan and communications plan for the project addressing acitivities in Output 1 including policy, environmental indicators, data collection best practices and data sharing platforms. The capacity development and communication programme will focus on specific mainstreaming needs identified in the policy analysis of 1.1.2.

Target indicator: Capacity development and communication plan with budget and performance indicators presented to the Project Board for approval by month 10

2.2.2: Conduct public dialogues on data and information relevant to the Rio Conventions that are both available and readily accessible. These will be held nationally and sub-nationally to reinforce the policy and institutional linkages between the two.

Target indicator: Four (4) national dialogues on environmental data/information availability and access with at least 30 unique participants attending each dialogue (for a total of 120 participants) every six (6) months beginning by month 6 and ending by month 24

Target indicator: Three (3) provincial dialogues on environmental data/information availability and access with at least 90 participants total held by months 12, 18, and 24

2.2.3: Train identified stakeholders (government agencies, academia, public, CSOs, and NGOs) on data access and interpretation for environmental management and evidence-based development planning using modules developed under activity 2.1.2. This activity will be organized in conjunction with activity 2.1.3.

Target indicator: Incorporate a module on data interpretation to in-service training programmes in the National Planning Department by month 30

Target indicator: Conduct three training workshops for public (NGO, CSO, academic) with at least 60 participants by months 26, 28, and 30

Target indicator: Gather feedback evaluations after training programme and workshops on module effectiveness and participants’ recommendations for strengthening training programme and modules with a 90% response rate. Analyze results by month 31

Output 2.3: Increased awareness in government planning and budgeting departments on mainstreaming Rio Convention obligations into development planning frameworks

1. This output will deliver enhanced awareness to key government actors and other stakeholders working in targeted development sectors and the Ministry of Finance, Ministry of Local Government, and Provincial Councils. The output is primarily designed to engage development actors more closely in the drafting of sectoral policies, programmes, and plans.

2.3.1: Implement awareness-raising activities identified in communications plan of 2.1.1 pertaining to planning officers at national and local level including seminars, presentatons, debates and exhibitions

Target indicator: Two (2) national seminars with >50 participants are convened by month 12 and 18. Two (2) regional seminars with > 70 participants are convened by month 15 and 24.

Target indicator: At least 5 presentations to targeted policy-making bodies at national level for with >20 unique participants at each seminar by month 24

Target indicator: At least 1 school hosts a series of debates on global environmental values as they relate to national priorities by month 33

Target indicator: At least 3 regional exhibitions in selected provinces with >100 participants by month 33

2.3.2: Publish an environmental data guidebook including meta-databases and specific data access protocols pertaining to the Pilot NSDI Project.

Target indicator: Data guidebook with meta-databases and data access protocols drafted by month 27, peer-reviewed and published by month 30

Output 2.4: Updated Environmental Action Plan for MERE and Updated Comprehensive Disaster Management Plan for Ministry of Disaster Management to address global environmental concerns

1. This output will generate updated national action plans for environmental management and disaster risk reduction in Sri Lanka. As described in the baseline, these plans were developed with existing and incomplete data sets. The NCSA points out the need for improved environmental action planning and target establishment, especially in relation to implementing the Rio Conventions. The Comprehensive Disaster Management Plan (2013-2016) also sets out targets related climate related disasters and natural resources management. However one of the first activities identified is to improve data collection and access on disasters and their impact. This output will support information generate din Component 1 to be incorporated in to these reports results in improved baselines, stronger indicators and targets for achievement. The same process will help define Sri Lanka’s post 2015 sustainable development agenda including setting national goals to the post 2015 MDGs/SDGs.

2.4.1: Undertake a review of physical and human development baselines and targets set out in the current National Environmental Action Plan, CDMP and Haritha Lanka Programme of the National Council for Sustainable Development.

Target indicator: Review report on baselines and targets available and presented to relevant ministries through the Project Board by month 12, with particular attention to Rio Convention obligations

2.4.2: Collaborate with agencies in the National Expert Committee to improve baselines and targets of the three key planning documents with particular attention to meeting and sustaining Rio Convention outcome targets.

Target indicator: Two (2) workshops held, one for the National Environmental Action Plan /Haritha Lanka, and one for CDMP to incorporate improved targets and baselines by month 28

Target indicator: Updated documents published through relevant ministries by month 33

Output 2.5: Resource mobilization strategy to catalyze and sustain implementation of the data and information management system

1. The resource mobilization strategy consists of a number of activities that will be targeted to ensuring the sustainability of the data management system as well as monitoring and enforcing Sri Lanka’s environmental legislation. To this end, activities will include an in-depth analysis of the financing needs, as well as to assess the economic impacts of enforcement. In keeping with UNDP’s recent guidance to ensure that social issues are appropriately considered during the upstream planning process, this analysis will include the social assessment of environmental legislation enforcement as this will be included as part of the analysis and stakeholder consultations of activity 1.1.4. Based on the recommendations of this analysis, a working group comprised of finance and economic experts will be created to discuss opportunities for piloting and implementing best practices and innovative financial and economic instruments. Recommendations from these experts will be peer-reviewed which will also take into account the social impacts.

**Activities:**

2.5.1: Establish and convene expert group of finance and economic experts for the peer-review of activities 2.5.2 and 2.5.3 as well as to champion on-going resource mobilization efforts. Experts will be government finance and economic experts, as well as independent experts working in the private and non-profit sectors.

Target indicator: The expert working group is made up of at least 20 rotating members, who will contribute to the preparation of a resource mobilization strategy and action plan. They will meet at least once per year to catalyze resource mobilization, by months 12 to finalize resource mobilization strategy and action plan, by month 19 to catalyze its implementation, and by months 25 and 33 to review and catalyze further action.

2.5.2: Undertake an in-depth financial and economic analysis of the monitoring and enforcement of environmental legislation. This report will include recommendations for legislative reforms and facilitate working group meetings to initiate the appropriate reforms.

Target indicator: Analytical report drafted, peer-reviewed, and finalized by month 13

Target indicator: Expert working group meetings to catalyze appropriate legislative reforms produces draft products for policy-makers by month 20

Target indicator: Policy-makers endorse appropriate legislative reforms by month 24

Target indicator: Expert working group meetings review progress made and recommend post-project actions on appropriate legislative reforms by month 33

2.5.3: Identify best practices and innovative financial and economic instruments for piloting (under activity 2.5.5). This will take the form of a feasibility study and broad consultations on the strategic choice of instruments to pilot and implement. This will build on the study to data collection and data quality guidelines developed under activity 1.3.3.

Target indicator: Feasibility study on financial and economic instruments to advance the system of environmental monitoring and compliance of environmental legislation for the global environment completed by month 18

2.5.4: Taking into account Sri Lanka’s *Mahinda Chintana* national development framework as well as the *Haritha Lanka* Strategy *and Action Plan*, draft a resource mobilization strategy. This strategy will be informed by best practices and lessons learned from other similar national environmental funds, including activity 2.5.3. An expert working group will be convened to guide the collaborative formulation and peer-review of a resource mobilization strategy.

Target indicator: Expert drafts resource mobilization strategy by month 21

Target indicator: Resource mobilization strategy includes good practices for raising and allocating funds to achieve global environmental targets through decentralized decision-making

Target indicator: Expert working group reviews and guides the revision and finalization of the resource mobilization strategy by month 25

Target indicator: Resource mobilization strategy approved by month 28

2.5.5: Based on activity 2.5.4, formulate operational procedures for the allocation of resources to finance decentralized resource management that delivers global environmental benefits through the national communications. These will be tested during project implementation and finalized by the end of the project into the Resource Mobilization Strategy’s accompanying operational manual. Operational procedures will be piloted in through four (4) sectoral plans at the sub-national level.

Target indicator: Operational procedures drafted by month 25

Target indicator: Operational procedures tested and piloted in four (4) sub-national sectoral development plans by month 30, and approved by month 32

Target indicator: By month 36, the independent final evaluation determines that the national communications is on solid ground to raise and allocate funds

## **C.3** **Sustainability and Replicability**

### C.3.a Sustainability

1. The sustainability of the project will be assured by the implementing strategy that builds upon government’s commitment to effective governance for development at national and local levels. The project seeks to demonstrate that improved data management can support effective decision-making and the realisation of sustainable development goals. In this regard the project will engage the Department of National Planning, the Ministry of Economic Development and the Ministry of Local Government from the outset as key stakeholders and data users.
2. The government is also investing in data management through the establishment of a Spatial Data Management Infrastructure through ICTA. The project will invest in bridging the identified capacity gaps and information needs around this new data management system that is being designed to support better spatial planning for land management.
3. The key ministries and agencies that are mandated with environmental management and data collection in Sri Lanka are stakeholders of the project, as described in Sections B.2.e above and C.4 below. Each has differentiated, with some overlap, roles as data and information custodians with varying levels of scientific, technical and financial needs to improve data management. In all these agencies there is a high level of technical expertise. However, they may not be geared towards generating data for development decision-making. There is also a high level of absorptive capacity in these agencies, many of whom have been targeted by previous donor funded/ government funded projects to improve technological aspects of data management (such as computerising existing data bases, purchase of high tech data collection systems, GIS units). Specific human resource needs of these agencies, to successfully implement and sustain project interventions, will be presented to the Ministry of Finance through the Department of National Planning.
4. Sustainability is further assured by the project’s mainstreaming approach of integrating Rio Convention obligations within national level and decentralized level planning mechanisms through all activities in Component 2. The learn by doing exercise at provincial and district levels will help planners to think out of the box, look practically at what-if scenarios and use generated environmental data to strengthen development objectives at local level. If successfully implemented this experience could catalyse a wider acceptance and mobilize increased resources to gather information on and to conserve globally important environmental assets.
5. The sustainability of the project’s outcomes can be assured by strengthening a sufficient baseline of supporting stakeholders and key parties of decentralized governance of natural resource management. Project activities are therefore targeted to raising awareness and value of best practice approaches that reflect national priorities and complements sustainable development practices at the local level. These are reinforced by the project demonstrating evidence based planning in selected projects in three districts.
6. The training programme and modules envisaged through the project are integrated systematically into other state-funded capacity development efforts and regular planning service training programmes of the government. This is expected to sustain the investment in training programmes (curriculum, training of trainers.) beyond the project period.
7. The proposed data management initiative has a high number of stakeholders. These are government, non-government, private sector, CSOs and academic institutions. Stakeholders include the MERE Focal Points for the Rio Conventions. These stakeholders already have a high level of commitment to sustainable development and Rio Conventions and to national development objectives. They have also invested in their own systems and processes for environmental data management. By improving coordination, efficiency, data quality. The project will provide necessary tools for these agencies, ministries, and focal points to perform their assigned tasks effectively and efficiently for global environmental commitments and national environmental monitoring needs.
8. In Sri Lanka there is high level of political interest in sustainable development. Environmental protection and sustainable development goals form a large part of the national development framework, *Mahinda Chintana: Way Forward 2010-2016*. In a recently published national investment plan (*Unstoppable Sri Lanka, 2020*- Ministry of Finance 2013) the government pledges to increase forest cover, improve river basin management, manage soil and mineral resources and upgrade protected areas. These programmes necessitate the development of strong baselines and require information on environmental status, quality and quantity of natural assets. Therefore there is high political interest in an initiative that facilitates the availability of such information and support the interpretation of this information to meet stated goals.
9. The project’s exit strategy is dependent on the continuation of particular commitments and activities without the need of long-term international financing. These include:
   * High-level political commitment to sustainable development;
   * An approved Sustainable Development Strategy and Action Plan aligned with the National Environmental Action Plan;
   * Full engagement of all key stakeholders, in particular non-state actors;
   * Integration of activities in to existing agencies, planning process and coordination structures such as NDMCC and CEPOM
   * Increasing the ownership of project benefits through demonstrated local development objectives.

### C.3.b Replicability and Lessons Learned

1. As a medium-size project, this intervention has certain limitations, namely in being able to reconcile and undertake all the necessary institutional and legislative reforms identified as needed during project implementation. Instead, this project serves as catalyst of a more long-term approach to Rio Convention implementation by strengthening targeted institutional arrangements through improved trainings and learn-by-doing exercises to catalyze action for the global environment. These trainings and learn-by-doing exercises, complemented with a process of learning lessons of good or best practices, will help improve future training and learn-by-doing exercises that would be replicated on a regular basis as well as the long-term functioning of the national data and information management system,.
2. Over time, learning lessons and replication are going to ensure the institutional sustainability of best practices for mainstreaming and implementing the Rio Conventions with national sustainable development planning frameworks. Over time, a strong baseline of technical capacities should be built through the institutionalization of the data and information management system.
3. Part of the catalytic role of the project is to demonstrate the value of this approach. Early in project implementation, an inter-ministerial working group will form in order to prepare policies and recommendations to improve coordination mechanisms between government and non-government agencies and institutions to ensure data availability and access to all key stakeholders. The ultimate goal is to ensure all government staff is adequately sensitized to the role of natural resource management and national obligations under the Rio Conventions. Through this improved training, capacity will be enhanced to develop and implement local actions that inherently deliver global environmental benefits.
4. The replication of project activities is further strengthened by the project implementation arrangements, which will involve numerous stakeholder representatives. This includes working with NGOs that have a strong presence in the communities and/or are actively supporting related capacity development work. Many such organizations operate in Sri Lanka, for example, raising awareness of climate change mitigation and adaptation opportunities. Research and academic institutions are also playing a leading role is identifying new and innovative interpretations and policy responses to improve environmental management.
5. If “scaling-up” is to be interpreted differently from replication and calls for increasing numbers and area, then this is not envisioned under this project. For example, the number of participants in the trainings and learn-by-doing exercises should not be increased in order to keep these at a manageable level. Instead, trainings should be repeated on an annual basis and extended to participants who live outside of Colombo.

### C.3.c Risks and Assumptions

1. One potential risk is inadequate commitment by the Government and other stakeholders. Sri Lanka has many socio-economic priorities, and commitment to the global environment may decline in the face of other, short-term, socio-economic challenges. This risk is medium, although the Government has shown great interest in broadening its e-governance, and the Department of National Planning in the Ministry of Finance and Planning has already agreed to collaborate in this initiative.
2. Nonetheless, the project focuses on advocacy and awareness-raising, which are designed to promote and generate and maintain high-level support. This, along with the involvement of the National Council for Sustainable Development and the focus on generating good information, should ensure that broad commitment is maintained.
3. Related to commitment is the risk of being unable to maintain adequate co-financing and the finances. The programme depends on co-financing from several sources for sustained operations after completion. Given the budgetary and financial constraints of the project, there is a low risk that the necessary co-financing may not be forthcoming.
4. High-level support should help mitigate this risk by facilitating access to co-financing. Also, the generation of high quality data should help demonstrate the need for co-financing. In any case, co-financing has been pledged by the Ministry of Finance and Planning to set up the database, and the Information, Communication Technology Agency has also pledged support in co-financing for the systems under the e-government programme. Moreover, the project is designed to be efficient, and able to make impacts even if funds are low.
5. There is a relatively low risk of limited institutional capacities to support project implementation and programme continuity. Although Sri Lanka has made great progress to improve capacity and inter-agency coordination, CCCD interventions are institutionally complex and require effective coordination and collaboration mechanisms. There is a danger that Government capacity will not be sufficient. To temper this, the project will adopt integrated approaches and set out to strengthen institutional capacity.
6. Finally, this project design is founded on the assumption that by improving existing consultation and coordination mechanisms, and promoting information sharing agreements between academia and civil society, the decisions made in relation to the global environment will become more inclusive, legitimate, resilient and robust.

## **C.4****Stakeholder Involvement**

1. Stakeholder involvement in this project began with the National Capacity Self-Assessment that was completed in 2007. The NCSA involved an extensive consultation process that engaged government ministries and agencies, local government, research organizations, academia, NGOs, civil society, local communities, media, development partners, and other relevant stakeholders. Although this cross-cutting capacity development project comes several years after the NCSA, there is still institutional memory and commitment of stakeholders, many of whom were consulted in the development of the project during the project preparation phase.
2. This project is the result of numerous stakeholder consultations conducted throughout the project conceptualization and development phase, beginning in 2011 with the preparation of the project concept (PIF). During project preparation, key project stakeholders were identified and invited to participate in further consultations regarding the development of this project including participation in the project design and stakeholder consultation workshop. Participants were selected experts in the areas of land degradation, biodiversity and climate change. The aim of these consultations was to discuss the proposed project activities and outcomes and explain the concept and rationale behind the proposed capacity development project. Stakeholders were asked to identify information needs relating to the key focal areas in environment management as well as determine data needs and gaps including issues of data availability and accessibility.
3. The draft project document was also presented and discussed at a validation workshop on 12 May 2014. Stakeholders consulted in the development of the project document represent institutions including:
   * Ministry of Environment and Renewable Energy
   * Ministry of Disaster Management
   * Information Communication Technology Authority
   * Survey Department
   * Department of Land Use Policy Planning
   * National Building Research Organisation
   * Forest Department
   * Department of Meteorology
   * Ministry of Agriculture
   * University of Colombo
   * University of Peradeniya
   * Open University of Colombo
   * IUCN Sri Lanka
   * International Water Management Institute
   * Sustainable Energy Authority
   * Department of Wildlife Conservation
   * Disaster Management Centre
4. Given the project strategy, the key project stakeholders involved in project implementation are government ministries and their subsidiary agencies and departments that are authorized to collect and manage environmental data and information, and those that are responsible for fulfilling MEA obligations. These stakeholder representatives will participate in learn-by-doing activities to improve the data sharing mechanisms between government and non-government stakeholders for enhanced natural resource management and compliance with Rio Convention obligations.
5. In addition to these governmental stakeholders, there is a broad range of non-governmental stakeholders from academia, the private sector, the donor community, CBOs, research institutions, and civil society organizations that are working on natural resource management in Sri Lanka. During the establishment of technical working groups on the three Rio Conventions, these non-governmental stakeholders will also be invited in the project activities to share their comparative expertise, and undertake selected project activities. These will be determined during project implementation when establishing the working group teams as well as when setting up the sub-contracts, e.g., feasibility study of activity 2.5.3.
6. The project is being implemented by the Ministry of Environment and Renewable Energy in coordination with the Ministry of Finance and Planning and the Information Communication and Technology Agency. The project will also be implemented with contributions from local and international NGOs, such as IUCN, to ensure that the respective strengths of Government, international organizations and local CSO/CBOs all contribute to the project success. This is also to ensure that knowledge and skills from international organizations are transferred to local organizations and to Government.
7. This project will contribute to building capacities of a large number of stakeholder representatives in the country to make more effective decisions about environmental management, in particular to take a more informed and holistic approach and thus generate global environmental benefits. Stakeholders to be trained will come from various line ministries and agencies on best practices and innovative approaches to collect, manage and share environmental data and information in order to better mainstream the Rio Conventions into planning processes. Particular attention will be given to actively engage women and young staff members in the project, largely as trainees to ensure diversity as well as to contribute to enhancing the government’s absorptive capacity. In additional to government representatives, other stakeholder representatives will include those from NGOs, academia, civil society, and local authorities. Importantly, development partners such as JICA will be invited as observers given that they are also carrying out very similar activities. In a number of instances, project activities will be integrated with those of development partners, as appropriate, to achieve cost-effectiveness and capitalize on synergies.

Table 5: Key Stakeholders and Their Differentiated Roles

| **Construct** | **Stakeholder** | **Role** |
| --- | --- | --- |
| Central | National Council for Sustainable Development | Key agency for inter-agency coordination in finding a green development path for Sri Lanka |
| Central | Department of National Planning in the Ministry of Finance and Planning | Responsible for national planning, priority investment decisions (via budget and guidelines), and progress monitoring of national investments |
| Central | Information Communication Technology Agency | Responsible for the e-governance programme and government “cloud” |
| Central | Urban Development Authority and Survey Department | Two largest geo-spatial data repositories in Sri Lanka |
| Central | Meteorology Department | Collection and management of weather data |
| Central | Agriculture Department  Natural Resources Management Centre | Collection and management of climate, lands and soil data |
| Central | Irrigation Department | Collection and management of stream flow data, water quality and quantity in major tanks |
| Central | Disaster Management Center and Ministry of Disaster Management | Collection and management of data regarding disaster events, hazard profiles and relief data |
| Central | Mahaweli Authority | Responsible for major reservoirs, dams and water releases for power generation information |
| Central | Agrarian Services Department | Surface water bodies (e.g., small irrigation tanks), fertilizer and chemical use, etc. |
| Central | Ministry of Lands and Land Use Policy Planning Department | Agencies in charge for forest, wildlife, marine and coastal resources, and minerals |
| Academia | University of Colombo | Conducts research related to Rio Convention focal areas |
| Academia | University of Peradeniya | Conducts research related to Rio Convention focal areas |
| NGOs | e.g., IUCN | CBOs and CSOs capacity will be enhanced to use the new data management system to undertake advocacy and litigation based on scientifically derived information as well as aid vigilance in local governance systems |

## **C.5** **Monitoring and Evaluation**

1. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures. The project team and the UNDP Country Office (UNDP CO) will undertake monitoring and evaluation activities, with support from UNDP/GEF, including by independent evaluators in the case of the final evaluation. The logical framework matrix in Annex provides a logical structure for monitoring project performance and delivery using SMART indicators during project implementation. The output budget and the work plan in the UNDP project document provide additional information for the allocation of funds, both the GEF and co-financing, for expected project deliverables and the timing of project activities to produce these deliverables. Annex 5 provides a breakdown of the total GEF budget by outcome, project management costs, and allocated disbursements on a per year basis. A GEF tracking tool for CCCD will be used as part of monitoring and evaluation activities to assess project delivery. The work plan is provisional, and is to be reviewed during the first project board and endorsed at the project initiation workshop.
2. The following sections outline the principle components of monitoring and evaluation. The project’s monitoring and evaluation approach will be discussed during the project’s initiation report so as to fine-tune indicators and means of verification, as well as an explanation and full definition of project staff M&E responsibilities.
3. A project inception workshop will be conducted with the full project team, National Project Director, relevant government counterparts, co-financing partners, the UNDP CO, with representation from the UNDP/GEF Regional Coordinating Unit as appropriate. Non-governmental stakeholders should be represented at this workshop.
4. A fundamental objective of this inception workshop will be to further instill an understanding and ownership of the project’s goals and objectives among the project team, government and other stakeholder groups. The workshop also serves to finalize preparation of the project’s first annual work plan on the basis of the project’s log-frame matrix. This will include reviewing the log frame (indicators, means of verification, assumptions) , imparting additional detail as needed, and on the basis of this exercise, finalize the Annual Work Plan with precise and measurable performance (process and output) indicators, and in a manner consistent with the expected outcomes for the project.
5. Specifically, the project inception workshop will: (i) introduce project staff to the UNDP/GEF expanded team that will support the project during its implementation, namely the CO and responsible Project Management Unit[[9]](#footnote-10) (PMU) staff; (ii) detail the roles, support services and complementary responsibilities of UNDP CO and PMU staff with respect to the project team; (iii) provide a detailed overview of UNDP/GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the combined Annual Project Reports - Project Implementation Reviews (APR/PIRs) , Project Board meetings, as well as final evaluation. The initiation workshop will also provide an opportunity to inform the project team on UNDP project-related budgetary planning, budget reviews, and mandatory budget re-phasing.
6. The inception workshop will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project’s decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for PMU staff and associated decision-making structures will be discussed again, as needed, in order to clarify for all, each party’s responsibilities during the project’s implementation phase.
7. The inception workshop will present a schedule of M&E-related meetings and reports. The Project Manager in consultation with UNDP will develop this schedule, and will include: (i) tentative time frames for Project Board meetings, and the timing of near-term project activities, such as the in-depth review of literature on natural resource valuation; and (ii) project-related monitoring and evaluation activities. The provisional work plan will be approved in the first meeting of the Project Board.
8. Day-to-day monitoring of implementation progress will be the responsibility of the Project Manager based on the project’s Annual Work Plan and its indicators. The Project Manager will inform the UNDP CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.
9. The Project Manager will fine-tune outcome and performance indicators in consultation with the full project team at the initiation workshop, with support from UNDP CO and assisted by the UNDP/GEF. Specific targets for the first year implementation performance indicators, together with their means of verification, will be developed at the initiation workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the Project Team, and agreed with the Executing Agency (Ministry of Environment and Renewable Energy), among other key project partners sitting on the Project Board.
10. Periodic monitoring of implementation progress will be undertaken by the UNDP CO through the provision of quarterly reports from the Project Manager. Furthermore, specific meetings may be scheduled between the PMU, the UNDP CO and other pertinent stakeholders as deemed appropriate and relevant (particularly the Project Board members). Such meetings will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.
11. Annual Monitoring will occur through the Annual Project Board meeting. This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to Project Board meetings at least twice per year. The first such meeting will be held within the first twelve months following the initiation workshop. For each year-end meeting of the Project Board, the Project Manager will prepare harmonized Annual Project Report / Project Implementation Reviews and submit it to UNDP CO, the UNDP/GEF Regional Coordination Unit, and all Project Board members at least two weeks prior to the meeting for review and comments.
12. The APR/PIR will be used as one of the basic documents for discussions in the Project Board year-end meeting. The Project Manager will present the APR/PIR to the Project Board members, highlighting policy issues and recommendations for the decision of the Committee participants. The Project Manager will also inform the participants of any agreement (s) reached by stakeholders during the APR/PIR preparation, on how to resolve operational issues. Separate reviews of each project output may also be conducted, as necessary. Details regarding the requirements and conduct of the APR and Project Board meetings are contained with the M&E Information Kit available through UNDP/GEF.
13. The terminal review meeting is held by the Project Board, with invitation to other relevant Government and municipal stakeholders as necessary, in the last month of project operations. The Project Manager is responsible for preparing the terminal review report and submitting it to UNDP COs, the UNDP/GEF Regional Coordinating Unit, and all participants of the terminal review meeting. The terminal review report will be drafted at least one month in advance of the terminal review meeting, in order to allow for timely review and to serve as the basis for discussion. The terminal review report considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. The report also decides whether any actions remain necessary, particularly in relation to the sustainability of project outputs and outcomes, and acts as a vehicle through that lessons learned can be captured to feed into other projects under implementation or formulation. The terminal review meeting should refer to the independent final evaluation report, conclusions and recommendations as appropriate.
14. The UNDP CO, in consultation with the UNDP/GEF Regional Coordinator and members of the Project Board, has the authority to suspend disbursement if project performance benchmarks are not met as per delivery rates, and qualitative assessments of achievements of outputs.
15. A project inception report will be prepared immediately following the initiation workshop. This report will include a detailed First Year Work Plan divided in quarterly time-frames as well as detailed activities and performance indicators that will guide project implementation (over the course of the first year). This Work Plan will include the proposed dates for any visits and/or support missions from the UNDP CO, the UNDP/GEF Regional Coordinating Unit, or consultants, as well as time-frames for meetings of the project decision-making structures (e.g., Project Board). The report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months’ time-frame.
16. The initiation report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation, including any unforeseen or newly arisen constraints. When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in that to respond with comments or queries.
17. The combined Annual Progress Report (APR) and Project Implementation Review (PIR) is a UNDP requirement and part of UNDP’s Country Office central oversight, monitoring and project management. As a self-assessment report by project management to the Country Office, the APR/PIR is a key input to the year-end Project Board meetings. The PIR is an annual monitoring process mandated by the GEF. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from on-going projects. These two reporting requirements are very similar in input, purpose and timing and they have now been amalgamated into a single APR/PIR Report.
18. An APR/PIR is to be prepared on an annual basis by June, but should be completed well before this deadline (at least one month) in order to be considered at the Project Board meeting. The purpose of the APR/PIR is to reflect progress achieved in meeting the project’s Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The APR/PIR is discussed by the Project Board, so that the resultant report represents a document that has been agreed upon by all of the key stakeholders.
19. A standard format/template for the APR/PIR is provided by UNDP/GEF. This includes the following:

* Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
* Project outputs delivered per project outcome (annual).
* Lesson learned/good practice.
* AWP and other expenditure reports
* Risk and adaptive management
* ATLAS QPR
* Portfolio level indicators (i.e., GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

1. UNDP will analyze the individual APR/PIRs by focal area, theme and region for common issues/results and lessons. The APR/PIRs are also valuable for the independent evaluators who can utilize them to identify any changes in the project’s structure, indicators, work plan, among others, and view a past history of delivery and assessment.
2. Quarterly Progress Reports are short reports outlining the main updates in project performance, and are to be provided quarterly to the UNDP Country Office. UNDP CO will provide guidelines for the preparation of these reports, which will be shared with the UNDP/GEF RCU.

* Progress made will be monitored in the UNDP Enhanced Results Based Management Platform.
* Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
* Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
* Other ATLAS logs can be used to monitor issues, lessons learned, etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

1. During the last three months of the project, the PMU will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the project, lessons learned, the extent to which objectives have been met, structures and mechanisms implemented, capacities developed, among others. Together with the independent final evaluation, the project terminal report is one of two definitive statements of the project’s activities during its lifetime. The project terminal report will also recommend further steps, if necessary, in order to ensure sustainability and replicability of the project outcomes and outputs.
2. An independent final evaluation will take place three months prior to the terminal tripartite review meeting, and will focus on: a) the cost-effectiveness, efficiency and timeliness of project implementation and performance; b) highlight issues requiring decisions and actions; and c) present initial lessons learned about project design, implementation and management. Findings of this evaluation will be incorporated as lessons learned, and recommendations for improvement addressed to ensure the institutional sustainability of project outputs, particular for the replication of project activities. The final evaluation will also look at project outcomes and their sustainability. The final evaluation should also provide recommendations for follow-up activities, as appropriate. The terms of reference for the final evaluation will be prepared by the UNDP CO based on guidance from the UNDP/GEF Regional Coordinating Unit.
3. The Project Manager will provide the UNDP Resident Representative with certified periodic financial statements and an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in UNDP’s Programming and Finance manuals. The audit will be conducted by the legally recognized auditor of UNDP Sri Lanka.
4. Learning and knowledge sharing: Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.
5. Communications and visibility requirements: Full compliance is required with UNDP’s Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml> , and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: <http://www.thegef.org/gef/GEF_logo>. The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.
6. Full compliance is also required with the GEF’s Communication and Visibility Guidelines (the “GEF Guidelines”). The GEF Guidelines can be accessed at: <http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf>. Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

**Monitoring and Evaluation Work Plan and Budget**

| **Type of M&E activity** | **Responsible Parties** | **Budget US$**  *Excluding project team staff time* | **Time frame** |
| --- | --- | --- | --- |
| Inception Workshop and Report | * Project Manager * UNDP CO, UNDP GEF | Indicative cost: 10,000 | Within first two months of project start up |
| Measurement of Means of Verification of project results. | * UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. | To be finalized in Inception Phase and Workshop. | Start, mid and end of project (during evaluation cycle) and annually when required. |
| Measurement of Means of Verification for Project Progress on *output and implementation* | * Oversight by Project Manager * Project team | To be determined as part of the Annual Work Plan’s preparation. | Annually prior to ARR/PIR and to the definition of annual work plans |
| ARR/PIR | * Project manager and team * UNDP CO * UNDP RTA * UNDP EEG | None | Annually |
| Periodic status/ progress reports | * Project manager and team | None | Quarterly |
| Mid-term Evaluation | * Project manager and team * UNDP CO * UNDP RCU * External Consultants (i.e., evaluation team) | None | At the mid-point of project implementation. Not mandatory for MSPs. |
| Final Evaluation | * Project manager and team, * UNDP CO * UNDP RCU * External Consultants (i.e., evaluation team) | Indicative cost : 10,000 | At least three months before the end of project implementation |
| Project Terminal Report | * Project manager and team * UNDP CO * local consultant | 0 | At least three months before the end of the project |
| Audit | * UNDP CO * Project manager and team | Indicative cost per year: 3,000 | Yearly |
| Visits to field sites | * UNDP CO * UNDP RCU (as appropriate) * Government representatives | For GEF supported projects, paid from IA fees and operational budget | Yearly |
| **TOTAL indicative COST**  Excluding project team staff time and UNDP staff and travel expenses | | US$ 29,000  (+/- 5% of total budget) |  |

# D. Financing

## **D.1** **Financing Plan**

1. The financing of this project will be provided by the GEF, with co-financing from the Government of Sri Lanka and MERE. Important parallel co-financing is the work underway by related capacity development projects by JICA and the Government’s own initiative regarding the hardware platform for data management. The allocation of these sources of finances is structured by the two main project components, as described in section C.2.d above. Table 6 below details this allocation.

Table 6: Project Costs

|  |  |  |  |
| --- | --- | --- | --- |
| **Total Project Budget by Component** | **GEF (US$)** | **Co-Financing (US$)** | **Project Total (US$)** |
| Component 1: Data and information management | 360,000 | 875,500 | 1,235,500 |
| Component 2: Improved capacity to use data and information for planning, monitoring and decision-making | 370,000 | 444,000 | 814,000 |
| Project Management | 70,000 | 72,000 | 142,000 |
| Total project costs | **800,000** | **1,391,500** | **2,191,500** |

Table 7: Estimated Project management budget/cost (**estimated cost for the entire project)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Component** | **Estimated Staff weeks** | **GEF (US$)** | **Co-Financing (US$)** | **Project Total (US$)** |
| Locally recruited personnel: Project Manager | 156 | 28,500 | 7,500 | 36,000 |
| Locally recruited personnel: Project Assistant | 90 | 0 | 27,000 | 27,000 |
| Locally recruited personnel: M&E Officer | 26 | 3,350 | 16,500 | 19,850 |
| Internationally recruited consultants\* | 3 | 15,000 | 5,000 | 20,000 |
| Office facilities and communications |  | 2,000 | 9,000 | 11,000 |
| Travel |  | 5,000 | 7,000 | 12,000 |
| Professional services |  | 9,000 | 0 | 9,000 |
| UNDP cost recovery charges - Bills |  | 7,150 | 0 | 7,150 |
| Total project management cost |  | **70,000** | **72,000** | **142,000** |

\* Local and international consultants in this table are those who are hired for functions related to the management of project. Please see Table 8 below for consultants providing technical assistance for special services.

1. An internationally recruited consultant will be contracted to undertake the independent final evaluation towards the end of the project. The travel budget includes the costs of DSA, TE and return airfare for the international consultant. The travel budget also includes financing for to cover the cost of local consultant travel to the regions where they will be facilitating the negotiations and drafting of sectoral policy, programmes, plans, or legislation.
2. For clear accounting and budget management purposes, consultants recruited for technical assistance components will be recruited using GEF resources, whereas UNDP co-financing will be used to cover the project management costs not covered by GEF resources. MERE’s in-kind co-financing will be used to cover costs of the participation of government staff in the training and learn-by-doing exercises, including the government staff trainers and the government support staff.

Table 8: Consultants for technical assistance components (estimated for entire project)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Technical Assistance Consultants** | **Estimated Staff weeks** | **GEF (US$)** | **Co-Financing (US$)** | **Project Total (US$)** |
| 1. Public Administration Specialist | 150 | 112,500 | 0 | 112,500 |
| 2. CBD Specialist | 90 | 67,500 | 0 | 67,500 |
| 3. CCD Specialist | 90 | 67,500 | 0 | 67,500 |
| 4. FCCC Specialist | 90 | 67,500 | 0 | 67,500 |
| 5. Policy/Legal Specialist | 56 | 42,000 | 0 | 42,000 |
| 6. Environmental Sociologist | 34 | 25,500 | 0 | 25,500 |
| 7. IT and Knowledge Management Specialist | 150 | 112,500 | 0 | 112,500 |
| 8. International Technical Specialist | 7 | 20,000 | 0 | 20,000 |
| **Total** |  | **515,000** | **0** | **515,000** |

1. The Government of Sri Lanka has requested UNDP to provide a number of execution services (including procurement and recruitment) under the National Implementation Modality, and these will be charged to the Project Budget. Details of such charges are provided in Annex 8.

## **D.2** **Cost Effectiveness**

1. The cost-effectiveness of this project lies largely in the project strategy, namely by building upon a significant baseline of commitment to participate in training and learn-by-doing exercises on Rio Convention mainstreaming. This cost-effectiveness is indicated by the government’s significant co-financing to project activities in the order of US$ 1,391,500. This co-financing is significant and represents the commitment of the Government to assign staff (decision-makers and planners) time away from their regular work to actively participate in project activities. Although an estimated US$ 230,000 of this contribution is in-kind, the costs are real as they represent cost of the staff’s salaries. This includes administration and overhead costs borne by the Government for various project activities, such as workshops and dialogues, and other costs related to the establishment of the data and information management system in Sri Lanka.
2. The cost-effectiveness of this project is also demonstrated in efficient allocation and management of financial resources. The recruitment of consultants under the project will be financed by the GEF contribution, reducing the transaction costs associated when contracting consultants through multiple sources of finances.

Table 9: Project Costs (%)

|  |  |  |
| --- | --- | --- |
| **Project Budget Component by Contribution Type** | **Contribution (USUS$)** | **Percentage (%)\*** |
| Component 1: GEF | 360,000 | 16 |
| Component 1: Co-Financing | 875,500 | 40 |
| Component 2: GEF | 370,000 | 17 |
| Component 2: Co-Financing | 444,000 | 20 |
| Project Management: GEF | 70,000 | 3 |
| Project Management: Co-Financing | 72,000 | 3 |
| **Total** |  | **100** |

\* Percentages do not add to 100 due to rounding off.

## **D.3** **Co-financing**

1. Co-financing to the project is being provided from a number of sources. The first source of financing is from the Government of Sri Lanka, Ministry of Environment and Renewable Energy, whose US$ 230,000 is a significant contribution towards the active investment of staff time and other in-kind resources to strengthen government capacity from a Rio Convention perspective. In particular, government planners and decision-makers in MERE and Information and Communication Technology Agency (ICTA), including key stakeholders in other ministries and agencies, will work to create data management and sharing mechanisms that facilitate the integration of the Rio Conventions and other environmental priorities into everyday considerations. Government in-kind resources will be made available to host various consultative and decision-making meetings.
2. Co-financing is also provided by the ICTA that will support project activities in the form of cash co-financing of US$ 1,000,000. These funds represent a major source of co-financing to the project, in large part towards the set of activities directed towards the design and establishment of the meta-databases and data sharing platforms. ICTA’s co-financing is an important source of leveraged co-financing that will help ensure long-term sustainability of project outcomes.
3. UNDP Sri Lanka will provide US$ 161,500 of co-financing to the project from its core resources targeted to supporting the development of indicators for environmental monitoring, in particular the development of sustainable development indicators and incorporating gender equality indicators in the demographic and economic components of the meta-databases. UNDP Sri Lanka will also contribute to the development of the resource mobilization strategy.

Table 10: Co-financing Sources

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Co-financier** | **Classification** | **Type** | **Amount** | |
| **Confirmed (US$)** | **Unconfirmed (US$)** |
| Ministry of Environment and Renewable Energy | Government | In-Kind | 230,000 | 0 |
| Information and Communication Technology Agency | Government | Grant | 1,000,000 | 0 |
| UNDP | GEF Implementing Agency | Grant | 161,500 | 0 |
| **Total Co-financing** |  |  | **1,391,500** | **0** |

## **D.4 Total Budget and Work Plan**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **Award ID:** | **TBD** |  | |  | |  |  |  |  |  |
|  |  | **Project ID:** | **TBD** |  | |  | |  |  |  |  |  |
|  |  | **Award Title:** | **Ensuring global environmental concerns and best practices mainstreamed in the post-conflict rapid development process of Sri Lanka through improved information management** | | | | | | | | |  |
| **Business Unit:** | | | **LKA10** |  | |  | |  |  |  |  |  |
|  |  | **Project Title:** | **Ensuring global environmental concerns and best practices mainstreamed in the post-conflict rapid development process of Sri Lanka through improved information management** | | | | | | | | |  |
|  |  | **PIMS No:** | **4940** |  | |  | |  |  |  |  |  |
| **Implementing Partner** | | | **Ministry of Environment and Renewable Energy** | | | | |  |  |  |  |  |
| **GEF Outcome/Atlas Activity** | **Responsible Party/ Implementing Agent** | **Fund ID** | **Donor Name** | **Atlas Budgetary Account Code** | | **ATLAS Budget Description** | | **Amount Year 1 (USD)** | **Amount Year 2 (USD)** | **Amount Year 3 (USD)** | **Total (USD)** | **Budget Notes** |
| **COMPONENT 1: Strengthened Data and Information Management System** | **MERE** | **62000** | **GEF** | 71300 | | Local Consultants | | 82,500 | 82,500 | 82,500 | 247,500 | 1 |
| 71200 | | International consultants | | 4,000 | 3,000 | 3,000 | 10,000 | 2 |
| 72100 | | Contractual services: Companies | | 31,000 | 36,000 | 35,500 | 102,500 | 3 |
|  | | **Sub-total GEF** | | **117,500** | **121,500** | **121,000** | **360,000** |  |
| **04000** | **UNDP** | 72100 | | Contractual services: Companies | | 35,000 | 35,000 | 30,000 | 100,000 | 4 |
|  | | **Sub-total UNDP** | | **35,000** | **35,000** | **30,000** | **100,000** |  |
|  |  |  | | **Total Outcome 1** | | **152,500** | **156,500** | **151,000** | **460,000** |  |
| **COMPONENT 2: Improved planning and decision-making capacities for the global environment** | **MERE** | **62000** | **GEF** | 71300 | | Local Consultants | | 82,500 | 82,500 | 82,500 | 247,500 | 1 |
| 71200 | | International consultants | | 3,000 | 3,000 | 4,000 | 10,000 | 2 |
| 72100 | | Contractual services: Companies | | 24,000 | 52,000 | 36,500 | 112,500 | 3 |
|  | | **Sub-total GEF** | | **109,500** | **137,500** | **123,000** | **370,000** |  |
| **04000** | **UNDP** | 72100 | | Contractual services: Companies | | 15,000 | 15,000 | 15,000 | 45,000 | 4 |
|  | | **Sub-total UNDP** | | **15,000** | **15,000** | **15,000** | **45,000** |  |
|  |  |  | | **Total Outcome 2** | | **124,500** | **152,500** | **138,000** | **415,000** |  |
|  |  |  |  | |  | |  |  |  |  |  |  |
| **GEF Outcome/Atlas Activity** | **Responsible Party/ Implementing Agent** | **Fund ID** | **Donor Name** | **Atlas Budgetary Account Code** | | **ATLAS Budget Description** | | **Amount Year 1 (USD)** | **Amount Year 2 (USD)** | **Amount Year 3 (USD)** | **Total (USD)** | **Budget Notes** |
| **Project Management** | **UNDP** | **62000** | **GEF** | 71300 | | Local Consultants | | 10,600 | 10,600 | 10,650 | 31,850 | 5 |
| 71200 | | International consultants | | 0 | 0 | 15,000 | 15,000 | 6 |
| 73120 | | Office facilities & communications | | 500 | 500 | 1,000 | 2,000 | 7 |
| 71600 | | Travel | | 0 | 0 | 5,000 | 5,000 | 8 |
| 71400 | | Professional Services (Audit) | | 3,000 | 3,000 | 3,000 | 9,000 | 9 |
| 74500 | | UNDP cost recovery charges - Bills | | 2,500 | 2,000 | 2,650 | 7,150 | 10 |
|  | | **Sub-total GEF** | | **16,600** | **16,100** | **37,300** | **70,000** |  |
| **04000** | **UNDP** | 71300 | | Local Consultants | | 5,500 | 5,500 | 5,500 | 16,500 | 5 |
|  | | **Sub-total UNDP** | | 5,500 | 5,500 | 5,500 | 16,500 |  |
|  |  |  | | **Total Project Management** | | **22,100** | **21,600** | **42,800** | **86,500** |  |
|  |  |  |  |  | | **Total GEF** | | **243,600** | **275,100** | **281,300** | **800,000** |  |
|  |  |  |  |  | | **Total UNDP** | | **55,500** | **55,500** | **50,500** | **161,500** |  |
| **Budget Notes** |  |  |  |  | |  | |  |  |  |  |  |
| **1** | GEF financing for seven (7) local specialists | | | | | | |  |  |  |  |  |
| **2** | GEF financing for an international technical specialist | | | | | | |  |  |  |  |  |
| **3** | GEF financing for various contractual services, such as meeting expenses and publications | | | | | | | | | | |  |
| **4** | UNDP will co-finance the development of sustainable development indicators and preparation of the resource mobilization strategy | | | | | | | | | | | |
| **5** | GEF will co-finance the cost of a Project Manager and a Monitoring & Evaluation Officer | | | | | | | | | | | |
| **6** | GEF will finance the cost of an international consultant to conduct terminal evaluation | | | | | | | | | |  |  |
| **7** | GEF will co-finance the cost of office facilities and communications | | | | | | |  |  |  |  |  |
| **8** | GEF will finance the travel of an international consultant to conduct the terminal evaluation | | | | | | | | | |  |  |
| **9** | Audit fees | | |  | |  | |  |  |  |  |  |
| **10** | GEF will finance cost recovery charges | | | | | | |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Source of funds** | **Amount Year 1 (US$)** | **Amount Year 2 (US$)** | **Amount Year 3 (US$)** | **Total (US$)** |
| **GEF** | 243,600 | 275,100 | 281,300 | 800,000 |
| **UNDP** | 55,500 | 55,500 | 50,500 | 161,500 |
| **Government of Sri Lanka** | 209,000 | 565,000 | 456,000 | 1,246,500 |
| **Total** | **508,100** | **895,600** | **787,800** | **2,191,500** |

# E. Institutional Coordination and Support

## **E.1** **Core Commitments and Linkages**

**E.1.a** **Linkages to other activities and programmes**

1. There are a number of development projects underway in Sri Lanka that help raise awareness and understanding of the importance of protecting the global environment, albeit from a lens of national priority. As a result, a number of activities are involving national stakeholders on the development of new approaches and skills. At the beginning of CCCD project implementation, the Project Manager will review the status of programmes and projects currently underway and map out a plan to coordinate project activities to develop synergies and avoid duplication.
2. UNDP has a long-standing history of working with various ministries and stakeholders in Sri Lanka to support development and increase awareness and empowerment of vulnerable groups through access to information. Through cooperation with the Ministry of Environment and Renewable Energy, UNDP has supported the Government of Sri Lanka to develop a number of programmes to support benefits to the global environment such as UN-REDD[[10]](#footnote-11). UNDP also helped Sri Lanka develop its Second National Communication to the FCCC and will also be assisting in the second revision of the NBSAP, the preparation of the fifth national report to the CBD, and the establishment of a clearinghouse mechanism of biodiversity (Department of Project Management and Monitoring, 2013).
3. UNDP, through its Governance programme, is strengthening the local authority structures and training human resources to setup information systems at district and provincial levels (about US$3 million). UNDP Sri Lanka is also a core partner of the ‘Mangroves for the Future’ programme implemented by IUCN Sri Lanka that empowers local communities to take action for the restoration and sustainable use of coastal ecosystems. At present, the UNDP is implementing three projects that are directly related to sustainable natural resource management and efficient collection and use of environmental data for planning and policy development.
   * The “Road map towards a safer Sri Lanka”[[11]](#footnote-12) is a joint-initiative with the Bureau for Crisis Prevention, AusAID, and USAID to build capacity to effectively handle disaster emergencies and reduce the risk of such disasters. This initiative is also combined with the development of national hazard profiles for cyclones, sea level rise, droughts, floods, landslides, and coastal erosion. The total value of the project is approximately US$ 2.1 million.
   * The “Sri Lanka community forestry programme” seeks to implement sustainable forestry management approaches at the community level to reduce forest degradation and deforestation while enhancing community livelihoods. The programme is financed by AusAID with a total budget of US$ 4,792,988 and an estimated end date of 31 July 2016.
   * The “Strengthening capacity to control and manage alien invasive species” project is with an initiative with MERE to protect Sri Lanka’s biodiversity for local and global benefits. The project has a total budget of US$ 5,175,000 and is expected to end in 2015.
4. In addition to the projects currently being implemented, there are multiple projects receiving GEF funding that are in various stages of development. UNDP will be implementing a recently approved project under the Special Climate Change Fund titled “Strengthening the resilience of post conflict recovery and development to climate change risks in Sri Lanka” to mainstream climate change adaptation and other best practices into national economic growth programmes. The project will be implemented by the Ministry of Economic Development, MERE, and the Ministry of Disaster Management and have a total cost of US$ 60 million.
5. The National Biodiversity Strategy and Action Plan (NBSAP) is another GEF-funded project implemented by the Biodiversity Secretariat of the Ministry of Environment and Renewable Energy. One of the four components of this project is establishment of a biodiversity database and data exchange system. In April 2013, GEF approved the project “Enabling activities to review and update the national implementation plan for the Stockholm Convention on persistent organic pollutants” which will be implemented by UNIDO in partnership with MERE with the goal of developing technical skills, expertise and awareness to more effectively manage persistent organic pollutants. In June 2013, the GEF Council approved the project “Enhancing biodiversity conservation and sustenance of ecosystem services in environmentally sensitive areas” which will be implemented by UNDP in partnership with MERE in order to mainstream biodiversity management into Sri Lanka’s development process. In January 2014, GEF approved the PIF for “Rehabilitation of degraded agricultural lands in Kandy, Badulla and Nuwara Eliya Districts of the Central Highlands” that FAO, in partnership with MERE, will implement with the goal of stopping and reversing land degradation in agricultural lands in Sri Lanka and promoting sustainable land management. Another related GEF project through the UNEP is “Mainstreaming agro-biodiversity conservation and use in Sri Lankan agro-ecosystem for livelihoods and adaptation to climate change”. The MERE will be submitting proposal for financing to GEF to prepare the Third National Communication to the UNFCCC (TNC) in 2014.
6. The Government of Sri Lanka is investing in a data management and monitoring system, notably by providing IT facilities and embarking on an e-governance strategy to introduce new concepts. Also the Government has indicated the willingness to provide funds to establish and maintain computerized databases. However, despite the large funds invested, this will not cover needs associated with global environmental conventions. Instead, it will focus on local environment and sustainable development needs mostly by promoting e-governance led by the Information Communication and Technology Agency under the Presidential Secretariat.
7. The Central Environmental Authority has established the National Environmental Information Centre as the Focal Point for the Dissemination of Environmental information in Sri Lanka. The Centre serves as an information network that seeks to coordinate environmental information by networking and establishing links with international and regional information systems related to the environment. In addition to this effort, the Ministry of Finance and Planning identified 96 development programmes or projects under the category of “Disaster Management and Environment” including 19 “Environmental” projects receiving foreign financing during 2013 (Department of Project Management and Monitoring, 2013).
8. The IUCN is currently implementing the Green Coasts Project that concentrates on community-based restoration and sustainable management of coastal ecosystems in Sri Lanka. The project also aims to provide support to environmental and socio-economic assessments and influence policies and strategies related to the management of coastal resources. IUCN is also implementing the “Improving Natural Resource Governance for the rural poor in Sri Lanka” project which seeks to improve policies and decision-making mechanisms at the institutional level for better natural resource management.
9. JICA is another key organization and is implementing a remote sensing and mapping project to strengthen spatial data availability in the Northern Province (value of about US$ 3 million).

## **E.2** **Implementation and Execution Arrangements**

1. UNDP is the GEF Implementing Agency for this project, with the UNDP Country Office responsible for transparent practices, appropriate conduct and professional auditing. UNDP is tasked with providing quality assurance support to the government and ensure quality of deliverables as expected by the donor (GEF). The project will be implemented in the National Implementation Modality (NIM). The Executing Entity/Implementing Partner is the Ministry of Environment and Renewable Energy that will assign a National Project Director (NPD) and provide its staff and network of experts as support to Project Management Unit (as part of government co-financing).
2. Taking an adaptive and collaborative management approach to execution, the project will ensure that key stakeholders are involved early and throughout project execution as partners for development. This includes their participation in the Project Board, review of project outputs such as recommendations for amendments to policies, plans, programmes and legislation, as well as participation in monitoring activities.
3. Per Sri Lanka’s 2013-2017 UNDAF, UNDP is the designated UN agency to lead the activities in coordination with UN agencies for achieving results under UNDAF Pillar 4 that covers environmental sustainability, climate change, and disaster risk reduction. UNDP is the GEF Implementing Agency for this project, with the UNDP Country Office responsible for transparent practices, appropriate conduct and professional auditing. The project will be implemented in line with established Government of Sri Lanka and UNDP procedures.
4. The basic implementation and execution framework is as follows:

**National Project Director**

**PM and PA**

**Project Board**

**Senior Beneficiary:**

**Ministry of Environment and Renewable Energy**

**Executive:**

**Secretary, Ministry Environment and Renewable Energy**

**Senior Supplier:**

**Deputy Country Director (Operations & Programme) UNDP**

**Project Assurance**

UNDP CO (Team Leader, Energy Environment and DRM;

UNDP-GEF

**UNDP Project Support**

Programme Analyst/ Programme Associate

**Project Organisation Structure**

Figure 2: Project execution

1. Project Board: This Board is specifically established by the project to provide management oversight of project activities and is to be chaired by the MERE (Focal Point for the CBD, CCD, FCCC, and GEF). The Board will review progress and evaluation reports, and approve programmatic modifications to project execution, as appropriate and in accordance to UNDP procedures. Policy recommendations will be discussed and recommended for consideration by the Cabinet of Ministers and Parliament. The Board will be chaired by the Secretary, MERE or his designate. In addition to the MERE, government membership of the Project Board will include the Ministry of Disaster Management, ICTA, as well as representatives from the line ministries responsible and their respective state agencies. Non-state stakeholders will also be invited as observers and to provide specific technical input as deemed necessary to the Project Board, namely from the private sector, academic and research institutions, NGOs, and CSOs. The Project Board will meet at least three (3) times per year at the MERE Offices. Meetings will be financed by the Ministry of Environment and Renewable Energy.
2. The Secretary of MERE will be the Executive of the Project Board. The Executive is ultimately responsible for the project supported by the Senior Beneficiary and the Senior Supplier. The role of the Executive is to ensure that the project is focused towards achieving its objectives and delivering outputs that will result in the realization of these objectives, including facilitating the adaptive collaborative management of the project.
3. The Planning Division of the MERE is the Senior Beneficiary of the project on the basis that the project will be strengthening and integrating Rio Convention provisions into their sectoral policies, legislation, policies and plans and institutional mandates. UNDP will be the Senior Supplier, providing technical guidance and support for the cost-effective procurement and implementation of project services and activities, including project implementation oversight through regular monitoring and reporting.
4. National Project Director: A senior government official (Additional Secretary/ Director, Planning) will be designated at the National Project Director, and will be responsible for management oversight of the project. The NPD will devote a significant part of his/her working time on the project. Duties and responsibilities of the NPD are described in Annex 8. In the fulfillment of his/her responsibilities, the NPD will be supported by the Project Board and a full-time National Project Manager (NPM).
5. Project Management Unit: The MERE will establish a Project Management Unit for the day-to-day management of project activities and subcontract specific components of the project to specialized government agencies, research institutions, as well as qualified NGOs. The PMU will be administered by a full-time National Project Manager and supported by a part-time assistant. The project will also provide specialist support to the Pilot NSDI Project Unit at the Ministry of Disaster Management by assigning a project assistant to this unit, enabling greater synergies between the two programmes.
6. National Consultants: The project will contract a national expert for each of the three Rio Conventions. Their role is to lead the technical consultations on the development of Rio Convention data and information needed for an effective data and information management system, as well as the study on the best practice analytical methodologies, among other technical needs directly related to each of the Rio Conventions. The project will also contract an international consultant to design the management system infrastructure and to assist in the cost-effective procurement of the hardware and software company for the design and procurement of the technology needed to set up the system. These national consultants will facilitate the technical trainings and learn-by-doing exercises under the supervision of the Project Manager. See Annex 7 for indicative Terms of References for these experts*.*
7. Capacity Development Activities: The project will take an adaptive collaborative management approach to implementation. That is, UNDP and MERE will manage project activities in order that stakeholders are involved early and throughout project implementation, providing regular input of the performance of project activities. This will help signal unforeseen risks and contribute to the timely modification and realignment of activities within the boundaries of the project's goal and objectives.
8. Technical Working Groups:  A working group comprised of independent experts, technical government agency representatives, as well as representatives from stakeholder groups will discuss and deliberate on various technical deliverables under the project. This includes the peer review of draft technical studies. There will be a Technical Working Group for each of the three Rio Conventions.
9. Stakeholder Consultations: These consultations will focus on the active participation of stakeholders in project activities. Stakeholder representatives will be invited to actively engage as participants in the training and learn-by-doing exercises. A special meeting of stakeholders will take place prior to the meeting of the Project Advisory Board to make recommendations for their consideration as part of the project’s adaptive collaborative management.
10. GEF Visibility: Visibility of GEF financial support will be ensured by using the global GEF branding in all electronic and printed materials. The GEF logo will appear on all relevant project publications, including amongst others, project hardware and other purchases with GEF funds. Any citation in publications regarding projects funded by GEF will acknowledge the GEF. Logos of the Implementing Agencies and the Executing Agency will also appear on all publications. Where other agencies and project partners have provided support (through co-financing) their logos may also appear on project publications. Full compliance will be made with the GEF’s Communication and Visibility Guidelines[[12]](#footnote-13).
11. Administrative Implementation Manual: This project will be implemented per UNDP’s National Implementation Modality (NIM) Guidelines of July 2011 and the Project and Operations Policies and Procedures (POPP). These guidelines provide details on project internal functions, processes, and procedures that will be outlined in an administrative implementation manual to be produced during inception, along with the first Annual Work Plan and Budget.
12. Financial Procedures:Funding for this project is from Global Environmental Facility’s Cross Cutting Capacity Development (CCCD) Fund.
13. Under the Harmonized Cash Transfer system (HACT) introduced by the UN EXCOM Agencies (UNDP, UNICEF, WFP and UNFPA) as part of the UN reform commitment to reduce transaction costs on implementing partners, four modalities of payments are foreseen for nationally implemented projects. They include: 1) Prior to the start of activities against agreed work plan cash transferred (direct cash transfer) to the Treasury, Ministry of Finance and Planning, for forwarding to the Implementing Partner; 2) Reimbursements after completion of eligible activities by the Implementing Partner; 3) Direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; 4) Direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners.
14. In order to receive the funds advanced by UNDP, the Implementing Partner must either: a) Open a bank account, under the name of the project, to be used only for receiving UNDP advances and to make payments of the project; or b).In agreement with UNDP’s Programme Manager, identify an existing bank account under the Implementing Partner’s name, that would be used solely for the purposes of receiving UNDP advances to the project and making payments with these advances. Under no circumstances will the Direct Cash Transfer Modality be used to advance funds to any individual inside or any entity or individual outside of the Implementing Partner or to any account other than the identified official project bank account. It will be the responsibility of the Project Manager to liaise with the UNDP Programme Associate to prepare a consolidated financial report, in the required format, and provide it to UNDP at regular and necessary intervals.
15. Under the project’s national implementation arrangement (NIM) Government guidelines for competitive procurement of goods and services (advertising, tender bidding, evaluation, and approval) in line with international standards will apply for all project-related activities.
16. Upon specific request of the implementing partner UNDP can in line with UNDP procurement policy provide procurement and recruitment services to the implementing partner including:
17. Identification and recruitment of project and programme personnel
18. Identification and facilitation of training activities
19. Procurement of goods and services
20. As per the letter of agreement between the Government of Sri Lanka and UNDP for the provision of support services signed on 5th July 2002, UNDP shall recover the cost of providing the support services outlined above. A cost recovery rate will be charged for the value of the amount of the contracts of the services to be procured or obtained through UNDP. Charges will also be incurred for all financial transactions processed on behalf of the project by UNDP Finance Unit. The charges will be subject to the Universal Price List used corporately by UNDP to determine costs associated with UNDP administrative services.
21. It will be the responsibility of the beneficiary line ministry or government institution to ensure the settlement of all duties/taxes/levies/Value Added Tax on imported goods and services at the point of clearing from Sri Lanka Customs as well as all VAT and other statutory levies applicable and payable on local procurement of goods and services. The UNDP bears no responsibility whatsoever in the settlement of Government of Sri Lanka duties/taxes/levies/VAT on all imported and local procurement of goods and services.
22. The Implementing Partner will be audited periodically as per the annual audit plan prepared by the government coordinating authority in consultation with the UNDP Sri Lanka. The Implementing Partner/Ministry of Environment and Renewable Energy will be responsible for ensuring that all audit requirements are met.
23. Project auditing will follow UNDP Financial Regulations and Rules and applicable audit policies.

# F. Legal Context

1. This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the Standard Basic Assistance Agreement (SBAA) [or other appropriate governing agreement] and all CPAP provisions apply to this document.
2. Consistent with the Article III of the SBAA, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP’s property in the implementing partner’s custody, rests with the implementing partner.
3. The implementing partner shall:

* Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
* Assume all risks and liabilities related to the implementing partner’s security, and the full implementation of the security plan.

1. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.
2. The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the project document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. The UNDP Deputy Resident Representative in the Sri Lanka is authorized to effect in writing the following types of revisions to this Project Document, provided that s/he has verified the agreement thereto by the UNDP Regional Coordinating Unit and is assured that other signatories to the Project Document have no objections to the proposed changes:

* Revision of, or addition to, any of the Annexes to the Project Document;
* Revision which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
* Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
* Inclusion of additional attachments only as set out here in the Project Document

# PART II: ANNEXES

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## Annex 1: Capacity Development Scorecard

**Project/Programme Name:** Ensuring global environmental concerns and best practices mainstreamed in the post-conflict rapid development process of Sri Lanka through improved information management

**Project/Programme Cycle Phase:** Project preparation **Date:** April 2014

| **Capacity Result / Indicator** | **Staged Indicators** | **Rating** | | **Score** | **Comments** | **Next Steps** | **Contribution to which Outcome** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **CR 1: Capacities for engagement** | | |  |  |  |  |  |
| Indicator 1 – Degree of legitimacy/ mandate of lead environmental organizations | Organizational responsibilities for environmental management are not clearly defined | | 0 |  | The Ministry of Environment and Renewable Energy (MERE) and its agencies are clearly mandated to be responsible for environmental management, natural resources conservation and enforcing environmental legislation. However, it has limitations in enforcement and coordination, especially in when it comes to mainstreaming environmental management into other key Ministries such as Energy, Transport, Agriculture, Economic Development, Irrigation and Water Resources, Fisheries and decentralized governance units, such as District Secretariats and Provincial Councils. | The project will reinvigorate existing coordinating mechanisms and currently defunct mechanisms of MERE and Ministry of Disaster Management. The National Council for Sustainable Development will be strengthened with a new inter-sectoral action plan. The CEPOM mechanism that enabled MERE to negotiate and facilitate cooperative agreements among other Ministries will be revived and strengthened. | Outcome 1 |
| Organizational responsibilities for environmental management are identified | | 1 |  |
| Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders | | 2 | 2 |
| Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders | | 3 |  |
| Indicator 2 – Existence of operational co-management mechanisms | No co-management mechanisms are in place | | 0 |  | Co-management/participation experiences are still fledgling. Despite policies that encourage citizen participation, there is a great deal of institutional mistrust and reticence to involve civil society in co-management and to encourage such participation. There are co-management mechanisms in relation to forest areas and irrigation water resources in the country. However this is not widespread and especially weak in the conflict-affected districts of the north and east of Sri Lanka. | The project will engage through a learn-by-doing process, to collaborate and negotiate on an integrated approach to deliver global environmental benefits through improved interpretation, planning, and decision-making on environmental and sectoral policies, plans and programmes at the local level. This includes strengthening co-management mechanisms at provincial and district planning levels. | Outcome 2 |
| Some co-management mechanisms are in place and operational | | 1 |  |
| Some co-management mechanisms are formally established through agreements, MOUs, etc. | | 2 | 2 |
| Comprehensive co-management mechanisms are formally established and are operational/functional | | 3 |  |
| Indicator 3 – Existence of cooperation with stakeholder groups | Identification of stakeholders and their participation/involvement in decision-making is poor | | 0 |  | Key stakeholders have been identified for issues related to the Rio Conventions. There are also formal mechanisms for consultation and advisory committees that meet permanently. However, this participation does not always include decision-making processes, since they remain highly centralized. | By strengthening coordinating mechanisms and improving information flow to decision makers, the project will try to bridge the gap between consultation and advisory mechanisms related to the Rio Conventions and their actual implementation. Stakeholders will also participate in training workshops and national dialogues to better incorporate the best decision-making practices into local development processes. | Outcome 2 |
| Stakeholders are identified but their participation in decision-making is limited | | 1 |  |
| Stakeholders are identified and regular consultations mechanisms are established | | 2 | 2 |
| Stakeholders are identified and they actively contribute to established participative decision-making processes | | 3 |  |
| **CR 2: Capacities to generate, access and use information and knowledge** | | | | |  |  |  |
| Indicator 4 – Degree of environmental awareness of stakeholders | Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) | | 0 |  | Sri Lanka has carried out a number of activities to raise stakeholders’ awareness about global environmental issues and MEAs. These efforts are on-going under different projects and integrated into special events such as Earth Day, World Water Day, etc. The general public and other development actors including CSOs are partially aware of issues and solutions, however they are not able to participate fully in resolving or implementing these solutions due to lack of good information and a mechanism for participation | The project will boost participation of different stakeholders (e.g., scientists, planners, CSOs, and the public) in improved information generation and sharing. The project will also increase the coverage of environmental awareness campaigns related to MEAs | Outcome 2 |
| Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) | | 1 |  |
| Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate | | 2 | 2 |
|  | Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions | | 3 |  |
| Indicator 5 – Access and sharing of environmental information by stakeholders | The environmental information needs are not identified and the information management infrastructure is inadequate | | 0 |  | Environmental information and data are gathered by many institutions in different formats. A few institutions share environmental information in technical formats which limits public access to it. Other organizations do not share data at all, unless instructed to do so by political or administrative hierarchy. Others have instituted cost-recovery mechanisms and often charge very high amounts for technical data. Data and information management is very weak between public institutions that are custodians to different sets of critical environmental data (coastal, climate, topography, river flows, etc.) | The core activity of the project is to improve access and sharing of environmental information among key stakeholders. The project design is founded on the assumption that by improving existing consultation and coordination mechanisms, and promoting information sharing agreements with academia and civil society, the decisions made in relation to the global environment will become more inclusive, legitimate, resilient and robust. | Outcome 1 and 2 |
| The environmental information needs are identified but the information management infrastructure is inadequate | | 1 | 1 |
| The environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited | | 2 |  |
|  | Comprehensive environmental information is available and shared through an adequate information management infrastructure | | 3 |  |
| Indicator 6 – Existence of environmental education programmes | No environmental education programmes are in place | | 0 |  | Environmental education programmes are fairly well integrated into the national education system at the primary and secondary levels. However, delivery and engagement of youth in active conservation practices is weak, and adult learning opportunities are non-existent. Moreover, there is inadequate coverage of civil society programmes for environmental education. | Based on NCSA recommendations, the project will invest in environmental communications for effective information and data sharing. This includes a published meta-database on information relating to MEAs and increased public outreach events targeting civil society participation in environmental planning and decision making at national/sub-national levels. | Outcome 2 |
| Environmental education programmes are partially developed and partially delivered | | 1 |  |
| Environmental education programmes are fully developed but partially delivered | | 2 | 2 |
|  | Comprehensive environmental education programmes exist and are being delivered | | 3 |  |
| Indicator 7 – Extent of the linkage between environmental research/science and policy development | No linkage exist between environmental policy development and science/research strategies and programmes | | 0 |  | Sri Lanka has a large number of scientific institutions involved in academia and technical agencies. The country does environmental research, but the information that is generated does not feed the decision-making process or strategy/policy-making procedures. Research needs are identified, but current national environmental research is incipient; this includes data generation for key environmental indicators necessary for the monitoring of MEAs. | The project seeks to bridge the gap between science and practice in implementation of national environmental targets. To this end, the project aims to increase technical cooperation through expert groups providing direct input into the formulation and review of current national environmental targets and indicators. The project will also invest in improving technical capacity to gather, format, store and share information within custodian agencies. | Outcome 1 |
| Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes | | 1 | 1 |
|  | Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs | | 2 |  |
|  | Relevant research results are available for environmental policy development | | 3 |  |
| Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making | Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes | | 0 |  | A number of projects implemented by the MERE collected traditional knowledge on crops, species, and conservation practices. While traditional knowledge is valued, and collected in some cases, there are few examples of participatory decision-making based on this knowledge and information. Collaboration between Department of Agriculture and MERE on traditional rice and other local grains has been a successful venture, but other forms of traditional knowledge are confined to the books. | The project does not deal with traditional knowledge per se. However, it is expected that improved environmental planning processes (updating the Haritha Lanka and Comprehensive Disaster Management Plan) will incorporate traditional knowledge through improved contributions from civil society and the public. | Outcome 2 |
| Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes | | 1 |  |
|  | Traditional knowledge is collected but is not used systematically into relevant participative decision-making processes | | 2 | 2 |
|  | Traditional knowledge is collected, used and shared for effective participative decision-making processes | | 3 |  |
| **CR 3: Capacities for strategy, policy and legislation development** | | |  |  |  |  |  |
| Indicator 9 – Extent of the environmental planning and strategy development process | The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies | | 0 |  | Sri Lanka has several actions plans and strategies for the environment; these include the Haritha Lanka strategy for sustainable development, the National Environmental Action Plan, action plans for land degradation and biodiversity, and the strategy for climate change. However, there is little coordination between these plans and no overarching policy that links the Rio Conventions within the framework of national sustainable development. | The project seeks to bridge some of these gaps by developing a comprehensive policy on generating and sharing environmental information which will link currently disparate actions plans and strategies for MEAs. | Outcome 1 |
|  | The environmental planning and strategy development process does produce adequate environmental plans and strategies but there are not implemented/used | | 1 |  |
|  | Adequate environmental plans and strategies are produced but they are only partially implemented because of funding constraints and/or other problems | | 2 | 2 |
|  | The environmental planning and strategy development process is well coordinated by the lead environmental organizations and produces the required environmental plans and strategies; which are being implemented | | 3 |  |
| Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks | The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment | | 0 |  | Sri Lanka has a high number of environmental policies and legislation, which result in overlapping of mandates and responsibility between institutions; contradictions across laws and regulations, especially at the central and provincial levels; and lack of clarity among law enforcers. There are new areas concerning implementation of MEAs that require relevant policy and regulatory guidance (GMOs, water and land management etc.). | A review of current regulations on MEA implementation will be carried out by the project to support an enabling environment for information sharing among public agencies, academia and CSOs. | Outcome 1 |
| Some relevant environmental policies and laws exist but few are implemented and enforced | | 1 |  |
| Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them | | 2 | 2 |
|  | Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and functions | | 3 |  |
| Indicator 11 – Adequacy of the environmental information available for decision-making | The availability of environmental information for decision-making is lacking | | 0 |  | The availability of environmental information for decision-making is a serious problem in Sri Lanka. Consideration of environmental issues in sectoral and regional planning is not systematic and rarely carried out. At the national and regional levels, the collection, analyses, presentation and sharing of environmental information is inadequate for evidence-based decision-making. There is no culture of regular and managed information exchange, and much environmental data lies with other technical departments, universities and custodian agencies not easily accessible to planners and decision-makers. There are few efforts to integrate Rio Convention provisions into sectoral and regional planning. | The project will work to improve the policy and regulatory environment, the generation and management of quality (and standardized) environmental information and support its use at the national and local planning levels. The project will address this issue throughout its strategy and in both key components. | Outcome 1 and 2 |
| Some environmental information exists but it is not sufficient to support environmental decision-making processes | | 1 | 1 |
|  | Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly | | 2 |  |
|  | Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions | | 3 |  |
| **CR 4: Capacities for management and implementation** | | |  |  |  |  |  |
| Indicator 12 – Existence and mobilization of resources | The environmental organizations do not have adequate resources for their programmes and projects and the requirements have not been assessed | | 0 |  | To fulfill the environmental management requirements of the National Environment Action Plan, there needs to be very close coordination between MERE and related key agencies. As this coordination is weak, resource requirements are not fully met through national budgets or through donor-financed projects. | The project will contribute with comprehensive training modules on best practices and innovations to institute a sharing mechanism for environmental data and information in order to strengthen evidence-based decision making at decentralized level and in provincial councils. One project output is a resource mobilization strategy that will address financial constraints. | Outcome 1 |
|  | The resource requirements are known but are not being addressed | | 1 |  |
|  | The funding sources for these resource requirements are partially identified and the resource requirements are partially addressed | | 2 | 2 |
|  | Adequate resources are mobilized and available for the functioning of the lead environmental organizations | | 3 |  |
| Indicator 13 – Availability of required technical skills and technology transfer | The necessary required skills and technology are not available and the needs are not identified | | 0 |  | Technology needs for climate change and other national action plans (for land degradation and biodiversity) are identified and documented. There are very few initiatives on meeting these technology requirements moderated through the MERE. There is no systematic presentation of these technologies to the Ministry of Finance or Science and Technology for further cooperation. So many of the technology needs remain un-financed and under-sourced. | The project will support an extensive programme of training and capacity building for improved environmental information gathering and dissemination and advocacy to ensure adherence and involvement of concerned stakeholders in evidence-based development decision-making. | Outcome 1 |
| The required skills and technologies needs are identified as well as their sources | | 1 | 1 |
| The required skills and technologies are obtained but their access depend on foreign sources | | 2 |  |
| The required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading the technologies | | 3 |  |
| **CR 5: Capacities to monitor and evaluate** | | |  |  |  |  |  |
| Indicator 14 – Adequacy of the project/programme monitoring process | Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme | | 0 |  | Project monitoring is not conducted through participatory mechanisms or procedures. Generally, the major effort is on the project design, resource mobilization and implementation, but little effort is made in monitoring and in using lessons learned to improve project implementation. | The project will support design and monitoring of other environmental or development projects on strong information- based and participatory processes. The project will support quality and elaborate national sustainable development goals and natural resource conservation targets. | Outcome 1 and 2 |
| An adequate resource monitoring framework is in place but project monitoring is irregularly conducted | | 1 | 1 |
|  | Regular participative monitoring of results in being conducted but this information is only partially used by the project/programme implementation team | | 2 |  |
|  | Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action | | 3 |  |
| Indicator 15 – Adequacy of the project/programme evaluation process | None or ineffective evaluations are being conducted without an adequate evaluation plan; including the necessary resources | | 0 |  | The majority of internationally funded projects have evaluation plans. These evaluations are mainly performed internally by the executing agency and by the funding agencies, but the results are not shared. Thus, lessons-learned cannot be extracted to be used for other projects to achieve improvement. | To evaluate the adequacy of project monitoring, progress reports will be prepared quarterly. Also, independent mid-term and final evaluation reports will be prepared. The project will support the preparation of quality reports and programmes based on the Rio Conventions and bolster national reports and communications with improved, standardized data. | Outcome 1 and 2 |
| An adequate evaluation plan is in place but evaluation activities are irregularly conducted | | 1 | 1 |
| Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team | | 2 |  |
|  | Effective evaluations are conducted timely and accurately and are used by the implementation team and the Agencies and GEF Staff to correct the course of action if needed and to learn for further planning activities | | 3 |  |

## Annex 2: Logical Framework

| **Project Strategy** | **Objectively verifiable indicators** | | | **Sources of verification** | **Risks and Assumptions** |
| --- | --- | --- | --- | --- | --- |
| **Indicator** | **Baseline value** | **Target value and date** |
| **Long-term goal: To strengthen data and information management and other support systems that contribute to policy development and improved implementation of the three Rio Conventions** | | | | | |
| **Project objectives**:  A. To improve institutional and technical capacities to meet and sustain Rio Convention objectives and those of other MEAs | **Outcome indicators:**   * Strengthened environmental data and information management for improved implementation of the three Rio Conventions * Institutional and technical capacities are strengthened for enhanced Rio Convention mainstreaming within national development frameworks * Awareness and training on the linkages between Rio Conventions and national sustainable development objectives | * Institutional capacities for managing the Rio Conventions is piecemeal and takes place through Rio Convention-specific projects, with development emphasizing socio-economic priorities * Requirements of the Rio Conventions are not adequately incorporated in development planning * There is little inter-ministerial coordination with regard to data sharing or the implementation of natural resource and environmental policies. * Planners and decision-makers, particularly at the local level do not fully appreciate the value of the Rio Conventions which leads to heavy discounting of the global environment * Weak implementation of environmental policies | **By the end of the project:**   * Government staff have learned, applied, and tested best practice tools to integrate data management system for improved monitoring and implementation of Rio Conventions * Future reports will not be data deficient * Increased capacity within relevant stakeholder groups to handle data and information relevant to the Rio Convention | * Meeting Minutes[[13]](#footnote-14) * Working Group meeting reports * UNDP quarterly progress reports * Independent final evaluation reports * Rio Convention national reports and communications * Strategic documents indicating the new system is institutionalized * GEF Cross-Cutting Capacity Development Scorecard | * The project will be executed in a transparent, holistic, adaptive, and collaborative manner * Policy and institutional reforms and modifications recommended by the project are politically, technically, and financially feasible * Improving consultation and coordination mechanisms, and promoting information sharing agreements with academia and civil society, will help decision-making relating to the global environment become more inclusive, legitimate, and robust * Planners and decision-makers are resistant to adopt new attitudes towards the global environment |
| **Outcome 1: Strengthened data and information management system to aid global and national environmental monitoring and reporting** | | | | | |
| Output 1.1  Convene working group on policy support | * Policy analysis of challenges and best practices for managing environmental information and data * Frequency of working group meetings * Policy and technical recommendations from government stakeholders * Draft information sharing policy * Stakeholder recommendations and concerns * Memoranda of Agreement to collaborate and share data and information among key stakeholder institutions | * Institutional structures are in need of clearly defined mandates and operational plans * Evidence of public sector staff’s technical capacities related to the Rio Conventions is limited * The Government is promoting e-governance, but there is little integration or data and information sharing between government agencies and ministries * Key partner agencies have no obligation to report to each other or share data and information * Planners and decision-makers do not make adequate use of monitoring reports * Despite expressed government commitment to the global environment, several issues undermine policies and efforts | * working group forms by month 3 and meets quarterly for two years * Department of National Planning completes policy analysis by month 6 * Draft information sharing policy prepared and endorsed by month 9 * Stakeholder feedback workshop by month 10 * Summary report by month 16 * Memoranda of Agreement signed by key stakeholder institutions by month 9 | * Meeting minutes * Tracking and progress reports[[14]](#footnote-15) * Policy analysis and technical recommendations * Stakeholder dialogue report * Letter of endorsement * Memoranda of Agreement | * Institutions and workings groups are open to proposed coordination agreements and there is no active institutional resistance * Members of the working group will be comprised of proactive experts and project champions * Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions * Agreement to cooperate on modifying existing mandates and authorities on legislative oversight is realistic * Enabling policy and legislation in place to support the signing of any MOA * Institutions follow through on commitments under MOA |
| Output 1.2:  Indicators for environmental monitoring and natural resource management | * Expert working group meetings * Baseline analysis of information availability, formats and accessibility * Capacity and data needs analysis * National workshops to identify indicators * Local and regional consultation * Consultations with National Planning Department and Department of Census and Statistics * Environmental parameters for development planning and monitoring * Established minimum data requirements * Meta-databases for Rio Convention focal areas | * There are many agency-level sources of information related to the Rio Conventions with accessibility via internet and other agency means (digital and hard copy) * Limited inter-agency sharing of data reduces potential global environmental benefits * There is a lack of capacity among agency staff and less than optimal understanding of data integration and interpretation * Monitoring and compliance guidelines and tools are not widely known among planners and decision-makers | * Expert group meets every 2 months for first year and quarterly for remainder of project * Baseline analysis completed by month 5 * Capacity and data needs analysis reviewed and endorsed by month 9 * Three workshops completed by month 12 * Indicators reviewed by month 14 * Consultations report presented by month 18 * Two meetings by month 18 and recommendations presented by month 20 * Environmental indicators prepared and endorsed by month 22 * Minimum data requirements identified and agreed upon by month 24 * Meta-databases developed by month 24 | * Meeting minutes * Tracking and progress reports * Baseline analysis * Capacity and data needs analysis * Participant registration lists * Workshop reports * Consultation notes and reports * Recommendation reports * Environmental indicators * Letters of endorsement | * There is sufficient commitment from policy-makers to maintain long-term support to project activities * The right representation from the various government ministries, departments, and agencies participate in project activities * Expert peer-reviews are thorough and of high quality |
| Output 1.3:  Data collection systems to support environmental quality monitoring | * Expert sub-committee on data collection and quality assurance * Report on data collection and generation methods * Data collection best practices and quality guidelines * Training of technical staff on revised guidelines | * Existing socio-economic and environmental data are managed in a highly disorganized and fragmented manner with little awareness of Rio Convention obligations * Data for MEA reporting is collected on an ad-hoc manner that is also not standardized across the relevant agencies responsible for implementing the Rio Conventions | * Sub-committee formed by month 3 and meets quarterly * Report drafted by month 5 and peer-reviewed and presented by month 6 * Implement data quality improvements in 6 key public institutions by month 8 * Data collection best practices and guidelines for key agencies formulated by month 8 and approved by month 10 * 250 officials from 16 agencies and all levels trained by month 24 | * Meeting minutes * Tracking and progress reports * Peer reviewers’ consent forms and notes * Data generation, collection and quality best practices and guidelines * Training materials * Official letters of approval | * Training activities are targeted to and attended by appropriate government ministries, departments, and agencies * There are best practices and approaches to data collection that are applicable to Sri Lanka * Participants have the baseline capacities to, and do, absorb the knowledge being imparted through the training exercises |
| Output 1.4:  Accessible and user-friendly national data clearinghouse | * Recommendations for improved regulatory framework * Data access protocols * Provincial data sharing platforms * Data brokering service that facilitates analysis and access to metadata | * There are a number of databases at different levels for various subjects, but there is no integration between them * Existing socio-economic and environmental data are not readily accessible to government or non-government stakeholders * There is full support from the National Planning Department and ICTA, to improve capacities to manage environmental databases | * Recommendations presented by month 12 * Data access protocols developed for 16 custodial agencies: 4 agencies by month 13, 10 agencies by month 19, and 16 agencies by month 25 * 3 provincial data sharing platforms by months 20, 25, and 30 * Data brokering service developed and piloted by month 24 | * Meeting minutes * Tracking and progress reports * Recommendations for regulatory improvements * Data access protocols * Provincial data sharing platforms * Data brokering service | * There is no active resistance to implementing data access protocols by custodial agencies * There is sufficient support at provincial level for data sharing platforms * Expert peer reviewers follow through with quality reviews |
| **Outcome 2: Planners, policy-makers and decision-makers effectively addressing national and global environmental issues** | | | | | |
| Output 2.1:  Increased capacity to use environmental information for planning and decision-making | * Training needs assessment * Targeted training programme and modules for data collection, processing and delivery from Rio Conventions lens * Pilot demonstrations of data-supported planning at provincial level | * There is a shortage of technical capacity amongst planners at all levels to utilize information and knowledge on the environment and to mainstream it into the planning processes | * Training needs report drafted by month 15 and finalized and endorsed by month 16 * Training modules developed by month 20, peer-reviewed and finalized by month 22 * Pilot demonstrations in 3 provinces and 3 district secretariats by month 24 * Training of trainers to replicate activity in 6 remaining provinces by month 30 * Incorporate feedback from training workshops into revised modules by month 25 | * Meeting minutes * Tracking and progress reports * Peer reviewer comments * Training programme resources * Training materials * Feedback from training * Letter of endorsement | * Expert peer reviewers follow through with quality reviews * Planners and decision-makers are resistant to adopt new attitudes towards the global environment * Other training programmes and curricula do not work against Rio Conventions * Trainers will agree with best practices to mainstream and implement training based on the Rio Conventions |
| Output 2.2:  Stakeholder capacity to access, use, and interpret environmental information | * Capacity development and communication plan * Stakeholder dialogues on environmental data availability and access * Training module and workshops for staff and key stakeholders on data access and interpretation * State of the environment cross-cutting sectoral reports analyzing data from multiple agencies | * Key stakeholders are not properly trained to access or use information and current stakeholder efforts often employ non-scientific advocacy-based approaches * Key partner agencies have no obligation to report to each other as well as share data and information | * Capacity development and communication plan approved by month 10 * Four national dialogues with >100 participants by months 6,12, 18,and 24 * Three provincial dialogues with >70 participants by months 12, 18, and 24 * Data interpretation module included in National Planning Department training programmes by month 30 * Three public workshops with >60 participants by months 26, 28, and 30 * Feedback evaluation collected and analyzed by month 31 * Four state of the environment reports, 2 by month 30, and 2 by month 34 | * Meeting minutes * Tracking and progress reports * Participant lists * Stakeholder comments * Training materials * Training evaluations * State of the environment reports | * Best practices and lessons learned from other countries are appropriately used * Lead agencies will allow their staff to attend all trainings * The right representation from the various government ministries, departments, and agencies participate in project activities * Regional and non-state stakeholder representation in project activities legitimately reflect their stakeholder constituent views and priorities * Evaluation respondents contribute their honest attitudes and values |
| Output 2.3:  Increased awareness in planning and budgeting departments on environmental values, sustainability, and resilience issues | * Awareness raising activities at local and national levels for project activities and Rio Conventions * Environmental data guidebook with meta-databases and data access protocols | * Existing socio-economic and environmental data are managed in a highly disorganized and fragmented manner with little awareness of Rio Convention obligations * There is no forum or other mechanism for increasing awareness and ensuring that environmental concerns receive adequate attention * There is a lack of awareness on the environment and on its economic values amongst senior level decision-makers | * Three national seminars and 3 provincial seminars with >100 participants by month 12 * Five presentations targeted to policy-makers at national level with >20 participants by month 24 * At least 1 series of school debates on global environment by month 33 * Three regional exhibitions by month 33 * Data guidebook and data access protocols published by month 27 | * Meeting minutes * Tracking and progress reports * Seminar attendance lists * Stakeholder comments * Data guidebook | * Government staff are not sufficiently motivated to participate in seminars and dialogues, and when they do, they do so passively with little critical thinking * Public is willing to participate in awareness raising activities and attitudes towards environment are not too negative * Participation to the public dialogues attracts people that are new to the concept of Rio Convention mainstreaming, as well as detractors, with the assumption that dialogues will help convert their attitudes in a positive way |
| Output 2.4:  Updated planning documents in government agencies to address global environment | * Report on baselines and targets established in National Environmental Action Plan, CDMP and Haritha Lanka * Final report on data needs and indicators * Workshops with agencies to improve baselines and targets in national planning documents | * Data collected is not done in a standardized manner resulting in difficulties in compiling data for a country-wide report. * Limited technical capacity to analyze data and information * The Government has begun updating the Haritha Lanka to include new sub-sectors and make it more operational with timelines, targets and monitoring mechanisms | * Review report presented by month 12 * Final report completed by month 20 * Two workshops held by month 28, one to update the National Environmental Action Plan/Haritha Lanka and on for CDMP * Updated documents published through relevant ministries by month 33 | * Meeting minutes * Tracking and progress reports * Peer reviewer comments * Analysis of needs report * Lessons learned * Workshop materials and attendance list * Updated NEAP/Haritha Lanka and CDMP | * Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions * Report will be read and valued by target recipients * Revised planning documents are politically, technically, and financially feasible |
| Output 2.5:  Resource mobilization strategy to catalyze and sustain implementation of the data and information management system | * Financial and economic analysis of monitoring and enforcement of environmental legislation * Feasibility study on financial and economic instruments to advance environmental monitoring and compliance * Expert working group established * Resource mobilization strategy * Operational procedures for allocation of resources to finance decentralized resource management | * Resources are not utilized best to serve the Rio Convention agenda * Data for MEA reporting is collected on an ad-hoc manner that is also not standardized across the relevant agencies responsible for implementing the Rio Conventions | * Expert working group meets to review analytical report and feasibility study within one month of completion for each i.e. by months 13 and 19 * Financial and economic analysis drafted, peer reviewed and completed by month 12. * Feasibility study completed by month 18. * Resource mobilization strategy drafted by month 21, reviewed by month 25, and approved by month 28. * Operational procedures drafted by month 25, piloted by month 30 and approved by month 32. * By month 36, independent final evaluation determines national communications are on solid ground to raise and allocate funds | * Meeting minutes * Tracking and progress reports * Financial and Economic Analysis * Feasibility study * Review notes * Resource mobilization strategy * Operational procedures * Official letters of approval * Final evaluation | * Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions * Strategy and plan developed by the project are politically, technically, and financially feasible * Best practices and lessons learned from feasibility study and piloting are used appropriately |

## Annex 3: Outcome Budget (GEF Contribution and Co-financing)

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|  |  | **Year 1** | **Year 2** | **Year 3** | **GEF** | **Co-financing** | **Total** |
| **Activity** | **Description** | **502,600** | **890,100** | **798,800** | **800,000** | **1,391,500** | **2,191,500** |
| **Component 1: Strengthened Data and Information Management System** | | 239,000 | 530,000 | 466,500 | 360,000 | 875,500 | 1,235,500 |
| **Output 1.1** | **Strengthened policy and regulatory framework for environmental information** | 135,000 | 40,000 | 70,000 | 60,000 | 185,000 | 245,000 |
| 1.1.1 | Undertake policy analysis of key information and knowledge needs for Rio Conventions | 35,000 | 0 | 10,000 | 20,000 | 25,000 | 45,000 |
| 1.1.2 | Draft information sharing policy and Memorandum of Agreement to share data and information | 60,000 | 0 | 20,000 | 20,000 | 60,000 | 80,000 |
| 1.1.3 | Undertake training and awareness-raising on information sharing policy | 40,000 | 40,000 | 40,000 | 20,000 | 100,000 | 120,000 |
| **Output 1.2** | **Indicators for environmental monitoring and natural resource management** | 70,000 | 170,000 | 277,500 | 105,000 | 412,500 | 517,500 |
| 1.2.1 | Establish and convene expert working group on technical information needs | 10,000 | 15,000 | 12,500 | 15,000 | 22,500 | 37,500 |
| 1.2.2 | Conduct analysis of environmental information availability, data formats and accessibility | 30,000 | 20,000 | 15,000 | 20,000 | 45,000 | 65,000 |
| 1.2.3 | Identify national and regional sustainable development indicators relevant to Rio Conventions | 30,000 | 30,000 |  | 20,000 | 40,000 | 60,000 |
| 1.2.4 | Develop new and improved indicators to monitor global environmental indicators |  | 55,000 |  | 20,000 | 35,000 | 55,000 |
| 1.2.5 | Establish meta-databases for spatial, demographic and economic indicators |  | 50,000 | 250,000 | 30,000 | 270,000 | 300,000 |
| **Output 1.3** | **Data collection systems to support environmental quality monitoring** | 10,000 | 155,000 | 70,000 | 100,000 | 135,000 | 235,000 |
| 1.3.1 | Convene expert Rio Convention working groups to agree on standards and quality assurance | 10,000 | 15,000 | 10,000 | 15,000 | 20,000 | 35,000 |
| 1.3.2 | Assess current data collection and generation methods of key agencies |  | 35,000 |  | 20,000 | 15,000 | 35,000 |
| 1.3.3 | Structure a set of analytical methodologies and data flow processes |  | 45,000 |  | 25,000 | 20,000 | 45,000 |
| 1.3.4 | Carry out trainings on best practice quality guidelines for data and information management |  | 60,000 | 60,000 | 40,000 | 80,000 | 120,000 |
| **Output 1.4** | **Accessible and user-friendly national data clearinghouse** | 24,000 | 165,000 | 49,000 | 95,000 | 143,000 | 238,000 |
| 1.4.1 | Assess and recommend regulatory and institutional reforms for streamlined data management | 9,000 | 20,000 | 9,000 | 20,000 | 18,000 | 38,000 |
| 1.4.2 | Develop protocols for data access and data sharing between agencies | 15,000 | 30,000 | 15,000 | 20,000 | 40,000 | 60,000 |
| 1.4.3 | Develop and pilot data sharing platforms at national and sub-national level |  | 75,000 | 25,000 | 35,000 | 65,000 | 100,000 |
| 1.4.4 | Provide technical assistance to develop data brokering service to aid analysis and access |  | 40,000 |  | 20,000 | 20,000 | 40,000 |

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| **Component 2: Improved planning and decision-making capacities for the global environment** | | 225,000 | 321,500 | 267,500 | 370,000 | 444,000 | 814,000 |
| **Output 2.1** | **Increased capacity to use information for integrated planning and decision-making** | 55,000 | 72,500 | 72,500 | 85,000 | 115,000 | 200,000 |
| 2.1.1 | Training needs assessment completed in three provinces and their districts | 40,000 |  |  | 20,000 | 20,000 | 40,000 |
| 2.1.2 | Develop training programme and modules for evidence-based planning and resource management | 15,000 | 12,500 | 12,500 | 20,000 | 20,000 | 40,000 |
| 2.1.3 | Learn-by-doing demonstration of data-supported development planning in three provinces |  | 60,000 | 60,000 | 45,000 | 75,000 | 120,000 |
| **Output 2.2** | **Stakeholder capacity to access, use, and interpret data and information** | 70,000 | 65,000 | 45,000 | 80,000 | 100,000 | 180,000 |
| 2.2.1 | Prepare a detailed capacity development plan and communications plan for the project | 30,000 |  |  | 20,000 | 10,000 | 30,000 |
| 2.2.2 | Conduct public dialogues on data availability and access | 40,000 | 40,000 |  | 30,000 | 50,000 | 80,000 |
| 2.2.3 | Train key stakeholders on data access and interpretation for environmental management |  | 25,000 | 45,000 | 30,000 | 40,000 | 70,000 |
| **Output 2.3** | **Raised awareness in planning and budgeting departments on environmental issues** | 25,000 | 40,000 | 65,000 | 55,000 | 75,000 | 130,000 |
| 2.3.1 | Implement awareness-raising activities for planning officers at national and local levels | 25,000 | 25,000 | 25,000 | 30,000 | 45,000 | 75,000 |
| 2.3.2 | Publish an environmental data guidebook including meta-databases and data access protocols |  | 15,000 | 40,000 | 25,000 | 30,000 | 55,000 |
| **Output 2.4** | **Updated planning documents for MERE and Ministry of Disaster Management** | 30,000 | 27,000 | 25,000 | 40,000 | 42,000 | 82,000 |
| 2.4.1 | Undertake a review of baselines and targets in development plans | 30,000 |  |  | 20,000 | 10,000 | 30,000 |
| 2.4.2 | Improve baseline indicators and targets of key planning documents |  | 27,000 | 25,000 | 20,000 | 32,000 | 52,000 |
| **Output 2.5** | **Resource mobilization strategy** | 45,000 | 117,000 | 60,000 | 110,000 | 112,000 | 222,000 |
| 2.5.1 | Convene working group meetings of finance and economic experts | 10,000 | 25,000 | 10,000 | 20,000 | 25,000 | 45,000 |
| 2.5.2 | Undertake financial and economic analysis of environmental legislation | 35,000 | 20,000 | 20,000 | 30,000 | 45,000 | 75,000 |
| 2.5.3 | Conduct feasibility study on financial and economic instruments for piloting |  | 35,000 |  | 20,000 | 15,000 | 35,000 |
| 2.5.4 | Draft and approve a resource mobilization strategy |  | 25,000 | 10,000 | 20,000 | 15,000 | 35,000 |
| 2.5.5 | Formulate operational procedures for the allocation of resources |  | 12,000 | 20,000 | 20,000 | 12,000 | 32,000 |

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| **Project Management** | | **38,600** | **38,600** | **64,800** | **70,000** | **72,000** | **142,000** |
| **A** | Locally recruited personnel: Project Manager | 12,000 | 12,000 | 12,000 | 28,500 | 7,500 | 36,000 |
| **B** | Locally recruited personnel: Project Assistant | 9,000 | 9,000 | 9,000 | 0 | 27,000 | 27,000 |
| **C** | Monitoring & Evaluation Officer | 6,600 | 6,600 | 6,650 | 3,350 | 16,500 | 19,850 |
| **D** | Terminal Evaluation (International consultant and stakeholder inputs) | 0 | 0 | 20,000 | 15,000 | 5,000 | 20,000 |
| **E** | Office facilities and communications | 3,500 | 4,000 | 3,500 | 2,000 | 9,000 | 11,000 |
| **F** | Travel | 2,000 | 2,000 | 8,000 | 5,000 | 7,000 | 12,000 |
| **G** | Professional Services (Audit) | 3,000 | 3,000 | 3,000 | 9,000 | 0 | 9,000 |
| **H** | UNDP cost recovery charges - Bills | 2,500 | 2,000 | 2,650 | 7,150 | 0 | 7,150 |

## Annex4: Provisional Work Plan

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| **WORK PLAN** | | **Year 1** | | |  |  |  |  |  |  |  |  |  |
| **Activity** | **Description** | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
|  | Stakeholder and Policy Board Meetings |  |  |  |  |  |  |  |  |  |  |  |  |
| **Component 1** | **Strengthened Data and Information Management System** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.1** | **Strengthened policy and regulatory framework for environmental information** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.1 | Undertake policy analysis of key information and knowledge needs for Rio Conventions |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.2 | Draft information sharing policy and Memorandum of Agreement to share data and information |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.3 | Undertake training and awareness-raising on information sharing policy |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.2** | **Indicators for environmental monitoring and natural resource management** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.1 | Establish and convene expert working group on technical information needs |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.2 | Conduct analysis of environmental information availability, data formats and accessibility |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.3 | Identify national and regional sustainable development indicators relevant to Rio Conventions |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.4 | Develop new and improved indicators to monitor global environmental indicators |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.5 | Establish meta-databases for spatial, demographic and economic indicators |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.3** | **Data collection systems to support environmental quality monitoring** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.1 | Convene expert Rio Convention working groups to agree on standards and quality assurance |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.2 | Assess current data collection and generation methods of key agencies |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.3 | Structure a set of analytical methodologies and data flow processes |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.4 | Carry out trainings on best practice quality guidelines for data and information management |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.4** | **Accessible and user-friendly national data clearinghouse** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.1 | Assess and recommend regulatory and institutional reforms for streamlined data management |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.2 | Develop protocols for data access and data sharing between agencies |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.3 | Develop and pilot data sharing platforms at national and sub-national level |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.4 | Provide technical assistance to develop data brokering service to aid analysis and access |  |  |  |  |  |  |  |  |  |  |  |  |

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| **WORK PLAN** | | | **Year 1** | | |  |  |  |  |  |  |  | |  | |  |
| **Activity** | | **Description** | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | | 11 | | 12 |
| **Component 2** | | **Improved planning and decision-making capacities for the global environment** |  |  |  |  |  |  |  |  |  |  | |  | |  |
| **Output 2.1** | | **Increased capacity to use information for integrated planning and decision-making** |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.1.1 | | Training needs assessment completed in three provinces and their districts |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.1.2 | | Develop training programme and modules for evidence-based planning and resource management |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.1.3 | | Learn-by-doing demonstration of data-supported development planning in three provinces |  |  |  |  |  |  |  |  |  |  | |  | |  |
| **Output 2.2** | | **Stakeholder capacity to access, use, and interpret data and information** |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.2.1 | | Prepare a detailed capacity development plan and communications plan for the project |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.2.2 | | Conduct public dialogues on data availability and access |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.2.3 | | Train key stakeholders on data access and interpretation for environmental management |  |  |  |  |  |  |  |  |  |  | |  | |  |
| **Output 2.3** | | **Raised awareness in planning and budgeting departments on environmental issues** |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.3.1 | | Implement awareness raising activities for planning officers at national and local levels |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.3.2 | | Publish an environmental data guidebook including meta-databases and data access protocols |  |  |  |  |  |  |  |  |  |  | |  | |  |
| **Output 2.4** | | **Updated planning documents for MERE and Ministry of Disaster Management** |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.4.1 | | Undertake a review of baselines and targets in development plans |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.4.2 | | Improve baselines and targets of key planning documents |  |  |  |  |  |  |  |  |  |  | |  | |  |
| **Output 2.5** | | **Resource mobilization strategy** |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.5.1 | | Convene working group of finance and economic experts |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.5.2 | | Undertake financial and economic analysis of environmental legislation |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.5.3 | | Conduct feasibility study on financial and economic instruments for piloting |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.5.4 | | Draft and approve a resource mobilization strategy |  |  |  |  |  |  |  |  |  |  | |  | |  |
| 2.5.5 | | Formulate operational procedures for the allocation of resources |  |  |  |  |  |  |  |  |  |  | |  | |  |
| **Project Management** | | |  |  |  |  |  |  |  |  |  |  |  | |  | |
| **A** | Locally recruited personnel: Project Coordinator | |  |  |  |  |  |  |  |  |  |  |  | |  | |
| **B** | Locally recruited personnel: Project Assistant | |  |  |  |  |  |  |  |  |  |  |  | |  | |
| **C** | International Evaluation Consultant: Terminal Evaluation | |  |  |  |  |  |  |  |  |  |  |  | |  | |
| **D** | Office facilities and communications | |  |  |  |  |  |  |  |  |  |  |  | |  | |
| **E** | Project start-up: Organize project team and review work plan | |  |  |  |  |  |  |  |  |  |  |  | |  | |
| **F** | Policy Board meetings | |  |  |  |  |  |  |  |  |  |  |  | |  | |

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| **WORK PLAN** | | **Year 2** | |  |  |  |  |  |  |  |  |  |  |
| **Activity** | **Description** | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 |
|  | Stakeholder and Policy Board Meetings |  |  |  |  |  |  |  |  |  |  |  |  |
| **Component 1** | **Strengthened Data and Information Management System** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.1** | **Strengthened policy and regulatory framework for environmental information** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.1 | Undertake policy analysis of key information and knowledge needs for Rio Conventions |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.2 | Draft information sharing policy and Memorandum of Agreement to share data and information |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.3 | Undertake training and awareness-raising on information sharing policy |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.2** | **Indicators for environmental monitoring and natural resource management** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.1 | Establish and convene expert working group on technical information needs |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.2 | Conduct analysis of environmental information availability, data formats and accessibility |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.3 | Identify national and regional sustainable development indicators relevant to Rio Conventions |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.4 | Develop new and improved indicators to monitor global environmental indicators |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.5 | Establish meta-databases for spatial, demographic and economic indicators |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.3** | **Data collection systems to support environmental quality monitoring** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.1 | Convene expert Rio Convention working groups to agree on standards and quality assurance |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.2 | Assess current data collection and generation methods of key agencies |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.3 | Structure a set of analytical methodologies and data flow processes |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.4 | Carry out trainings on best practice quality guidelines for data and information management |  |  |  |  |  |  |  |  |  |  |  |  |
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| **Output 1.4** | **Accessible and user-friendly national data clearinghouse** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.1 | Assess and recommend regulatory and institutional reforms for streamlined data management |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.2 | Develop protocols for data access and data sharing between agencies |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.3 | Develop and pilot data sharing platforms at national and sub-national level |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.4 | Provide technical assistance to develop data brokering service to aid analysis and access |  |  |  |  |  |  |  |  |  |  |  |  |

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| **WORK PLAN** | | **Year 2** | |  |  |  |  |  |  |  |  |  |  |
| **Activity** | **Description** | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 |
| **Component 2** | **Improved planning and decision-making capacities for the global environment** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.1** | **Increased capacity to use information for integrated planning and decision-making** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.1 | Training needs assessment completed in three provinces and their districts |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.2 | Develop training programme and modules for evidence-based planning and resource management |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.3 | Learn-by-doing demonstration of data-supported development planning in three provinces |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.2** | **Stakeholder capacity to access, use, and interpret data and information** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.2.1 | Prepare a detailed capacity development plan and communications plan for the project |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.2.2 | Conduct public dialogues on data availability and access |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.2.3 | Train key stakeholders on data access and interpretation for environmental management |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.3** | **Raised awareness in planning and budgeting departments on environmental issues** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.3.1 | Implement awareness raising activities for planning officers at national and local levels |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.3.2 | Publish an environmental data guidebook including meta-databases and data access protocols |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.4** | **Updated planning documents for MERE and Ministry of Disaster Management** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.4.1 | Undertake a review of baselines and targets in development plans |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.4.2 | Improve baselines and targets of key planning documents |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.5** | **Resource mobilization strategy** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.1 | Convene working group of finance and economic experts |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.2 | Undertake financial and economic analysis of environmental legislation |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.3 | Conduct feasibility study on financial and economic instruments for piloting |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.4 | Draft and approve a resource mobilization strategy |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.5 | Formulate operational procedures for the allocation of resources |  |  |  |  |  |  |  |  |  |  |  |  |
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| **Project Management** | |  |  |  |  |  |  |  |  |  |  |  |  |
| **A** | Locally recruited personnel: Project Coordinator |  |  |  |  |  |  |  |  |  |  |  |  |
| **B** | Locally recruited personnel: Project Assistant |  |  |  |  |  |  |  |  |  |  |  |  |
| **C** | International Evaluation Consultant: Terminal Evaluation |  |  |  |  |  |  |  |  |  |  |  |  |
| **D** | Office facilities and communications |  |  |  |  |  |  |  |  |  |  |  |  |
| **E** | Project start-up: Organize project team and review work plan |  |  |  |  |  |  |  |  |  |  |  |  |
| **F** | Policy Board meetings |  |  |  |  |  |  |  |  |  |  |  |  |

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| **WORK PLAN** | | **Year 3** | |  |  |  |  |  |  |  |  |  |  |
| **Activity** | **Description** | 25 | 26 | 27 | 28 | 29 | 30 | 31 | 32 | 33 | 34 | 35 | 36 |
|  | Stakeholder and Policy Board Meetings |  |  |  |  |  |  |  |  |  |  |  |  |
| **Component 1** | **Strengthened Data and Information Management System** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.1** | **Strengthened policy and regulatory framework for environmental information** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.1 | Undertake policy analysis of key information and knowledge needs for Rio Conventions |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.2 | Draft information sharing policy and Memorandum of Agreement to share data and information |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.3 | Undertake training and awareness-raising on information sharing policy |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.2** | **Indicators for environmental monitoring and natural resource management** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.1 | Establish and convene expert working group on technical information needs |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.2 | Conduct analysis of environmental information availability, data formats and accessibility |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.3 | Identify national and regional sustainable development indicators relevant to Rio Conventions |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.4 | Develop new and improved indicators to monitor global environmental indicators |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.2.5 | Establish meta-databases for spatial, demographic and economic indicators |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.3** | **Data collection systems to support environmental quality monitoring** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.1 | Convene expert Rio Convention working groups to agree on standards and quality assurance |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.2 | Assess current data collection and generation methods of key agencies |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.3 | Structure a set of analytical methodologies and data flow processes |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.3.4 | Carry out trainings on best practice quality guidelines for data and information management |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 1.4** | **Accessible and user-friendly national data clearinghouse** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.1 | Assess and recommend regulatory and institutional reforms for streamlined data management |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.2 | Develop protocols for data access and data sharing between agencies |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.3 | Develop and pilot data sharing platforms at national and sub-national level |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.4.4 | Provide technical assistance to develop data brokering service to aid analysis and access |  |  |  |  |  |  |  |  |  |  |  |  |

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| **Component 2** | **Improved planning and decision-making capacities for the global environment** |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.1** | **Increased capacity to use information for integrated planning and decision-making** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.1 | Training needs assessment completed in three provinces and their districts |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.2 | Develop training programme and modules for evidence-based planning and resource management |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.1.3 | Learn-by-doing demonstration of data-supported development planning in three provinces |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.2** | **Stakeholder capacity to access, use, and interpret data and information** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.2.1 | Prepare a detailed capacity development plan and communications plan for the project |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.2.2 | Conduct public dialogues on data availability and access |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.2.3 | Train key stakeholders on data access and interpretation for environmental management |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.3** | **Raised awareness in planning and budgeting departments on environmental issues** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.3.1 | Implement awareness raising activities for planning officers at national and local levels |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.3.2 | Publish an environmental data guidebook including meta-databases and data access protocols |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.4** | **Updated planning documents for MERE and Ministry of Disaster Management** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.4.1 | Undertake a review of baselines and targets in development plans |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.4.2 | Improve baselines and targets of key planning documents |  |  |  |  |  |  |  |  |  |  |  |  |
| **Output 2.5** | **Resource mobilization strategy** |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.1 | Convene working group of finance and economic experts |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.2 | Undertake financial and economic analysis of environmental legislation |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.3 | Conduct feasibility study on financial and economic instruments for piloting |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.4 | Draft and approve a resource mobilization strategy |  |  |  |  |  |  |  |  |  |  |  |  |
| 2.5.5 | Formulate operational procedures for the allocation of resources |  |  |  |  |  |  |  |  |  |  |  |  |
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| **Project Management** | |  |  |  |  |  |  |  |  |  |  |  |  |
| **A** | Locally recruited personnel: Project Coordinator |  |  |  |  |  |  |  |  |  |  |  |  |
| **B** | Locally recruited personnel: Project Assistant |  |  |  |  |  |  |  |  |  |  |  |  |
| **C** | International Evaluation Consultant: Terminal Evaluation |  |  |  |  |  |  |  |  |  |  |  |  |
| **D** | Office facilities and communications |  |  |  |  |  |  |  |  |  |  |  |  |
| **E** | Project start-up: Organize project team and review work plan |  |  |  |  |  |  |  |  |  |  |  |  |
| **F** | Policy Board meetings |  |  |  |  |  |  |  |  |  |  |  |  |

## Annex 5: Terms of References

The following Terms of Reference outlines the general responsibilities to be carried out by consultants contracted under the project.

**Background**

The United Nations Development Programme, acting as an implementing agency of the Global Environment Facility, is providing assistance to the Ministry of Environment and Renewable Energy under the Government of Sri Lanka in the preparation of the GEF Medium Size Project “Ensuring global environmental concerns and best practices mainstreamed in the post-conflict rapid development process of Sri Lanka through improved information management.”

Environmental monitoring and information management is critical for understanding the current status and dynamic changes in the state of environment. Consistent and regular monitoring, research and data analysis provide the essential foundation for adequate policy response as well as timely and appropriate national decision-making processes. Hence, the issue has both global and national priority dimensions. The proposed project addresses convention obligations related to reporting requirements under the three main focal areas: Biodiversity, Climate Change and Land Degradation. It specifically fits under the second (2) strategic objective of the Cross Cutting Capacity Development strategy developed under GEF-5, i.e., “to generate, access, and use information and knowledge”.

**Project Goal and Objectives**

The goal of the project is to strengthen data and information management and other support systems that contribute to policy development and improved implementation of the three Rio Conventions. This requires the country to have, among others, the capacity to access and use data and information, as well as best practices for integrating global environmental priorities into planning, decision and reporting processes. To this end, the project’s objective is to strengthen targeted capacities to access and use environmental information and data through a coordinated system. In addition to the installation of such a system and training on its use, the project will help institutionalize the data management system by demonstrating its value and financial sustainability to stakeholders, as well as facilitating the appropriate legislative and institutional reforms.

**Project Strategy**

The incremental approach to this project lies in building upon the commitment of the Government to strengthen the environmental data management system within the Ministry of Environment and Renewable Energy. The barriers to good environmental governance for the global environment are fundamentally an issue of accessing good knowledge and having a good system by which to make best use of this knowledge. The sustainable development baseline of the project lies in the Government’s commitment to set up an environmental data management system, upon which GEF support will be used to strengthen the use of this system to access data and information directly relevant to the three Rio Conventions. In this way, the preparation of planning frameworks can be better informed of global environmental trends. GEF funds will be used to train government staff through directed workshops on *how* to collect and manage data and information relevant to planning best practices for global environmental governance in the three Rio Convention focal areas. The learn-by-doing exercises will be used to take the training one step further to train people to critical think about the value of data and information to create knowledge through practical testing and application. Whereas the GEF focal area projects currently under operation focus on the development, testing and application of focal area best practices, the CCCD project is targeted to institutionalizing the underlying set of capacities to carry out this work.

This project is strategic and transformative through its adaptive collaborative management approach that is part of the design of project activities. While an integrated environmental data management system is not necessary innovative, for Sri Lanka it will be innovative because of the current practice of closed systems. That is, data and information exists, but within institutions with institutionalized barriers that impede sharing. As a result, there is significant overlap in data and information management, and because of the mandates of each agency, they tend to manage data and information that they need to meet their mission objectives. This works fine for the few authorities that have the necessary financial resources, however, most other agencies cannot afford the expense of creating data and information that already exists and which could be accessed at a significantly cheaper cost.

Strategically, the project includes activities that will call upon all stakeholder organizations to meet and negotiate sharing protocols, based on the data and information that each needs. Memoranda of Agreement would be signed to facilitate this sharing, which would then be institutionalized through bills for legislative and/or institutional reforms that would be submitted to Parliament. If successful, this project could lead to a transformative approach to collaboration in Sri Lanka. Through the project and specifically the environmental data management system, this project could demonstrate a good practice of environmental governance.

**Project Outcomes and Components**

At the end of the project, the project will have resulted in improved capacities for meeting global environmental priorities. This general outcome will be measured by a variety of indicators, characterized as outputs, process, and performance indicators. Output indicators include the actual installation of the integrated environmental data management system. Process indicators include the very important collaboration among government agencies and authorities to share data and information through an agreed sharing protocol, legitimized by the necessary approvals, e.g., Memoranda of Agreements. This project is organized into two linked components.

*Component 1: Data and information management*

This component focuses on the establishment of an integrated environmental data and information management system to collect data and information for better assessing compliance with environmental regulation, with particular reference to meeting Rio Convention obligations. This component will also facilitate agreementswith key stakeholders on for data sharing within the system. This system will cover other non-Rio Convention MEAs that will be co-financed by the Government of Sri Lanka.

*Component 2: Improved capacity to use data and information for planning, monitoring and decision-making*

Component 2 focuses on institutionalizing the environmental data management system and the technical capacities developed. The outputs under this component are targeted to, instituting a tracking system to reaffirm the value of the environmental data management system to all stakeholders, and strengthening critical thinking of many planners and decision-makers on how to interpret and apply best practices to meet global environmental objectives.

Not only will this project produce additional important benefits in the form of national reporting to the three Rio Conventions, but to other multilateral environmental agreements of which Sri Lanka is signatory as well as on the Millennium Development Goal 7. The preparation of these reports will be made easier through the structuring the environmental data management system to specifically code global environmental data and information.

**Responsibilities**

National Project Director

The Government of Sri Lanka must appoint a national director for this UNDP-supported project. The National Project Director supports the project and acts as a focal point on the part of the Government. This responsibility normally entails ensuring effective communication between partners and monitoring of progress towards expected results.

The National Project Director is the party that represents the Government’s *ownership* and *authority* over the project, *responsibility* for achieving project objectives and the *accountability* to the Government and UNDP for the use of project resources.

In consultation with UNDP, the Ministry of Environment and Renewable Energy as the concerned ministry will designate the National Project Director from among its staff at not lower than the Deputy Minister or Head of Department level. The National Project Director will be supported by a full-time National Project Manager.

*Duties and Responsibilities of the NPD*

The NPD will have the following duties and responsibilities:

1. Assume overall responsibility for the successful execution and implementation of the project, accountability to the Government and UNDP for the proper and effective use of project resources)
2. Serve as a focal point for the coordination of projects with other Government agencies, UNDP and outside implementing agencies;
3. Ensure that all Government inputs committed to the project are made available;
4. Supervise the work of the National Project Manager and ensure that the National Project Manager is empowered to effectively manage the project and other project staff to perform their duties effectively;
5. Select and arrange, in close collaboration with UNDP, for the appointment of the National Project Manager (in cases where the NPM has not yet been appointed);
6. Supervise the preparation of project work plans, updating, clearance and approval, in consultation with UNDP and other stakeholders and ensure the timely request of inputs according to the project work plans;
7. Represent the Government institution (national counterpart) at the tripartite review project meetings, UNDP Outcome Board, and other stakeholder meetings.

*Remuneration and entitlements:*

The National Project Director may not receive monetary compensation from project funds for the discharge of his/her functions.

Project Manager

A Project Manager will be recruited with GEF resources, with some co-financing to oversee the project implementation under the guidance of the NPD, the Project Advisory Board. He/she oversee the implementation of the project’s capacity development activities, as well as to carry out the monitoring and evaluation procedures per UNDP agreed policies and procedures. These include:

* Oversee the day-to-day monitoring of project implementation
* In consultation with stakeholders, recommend modifications to project management to maintain project’s cost-effectiveness, timeliness, and quality project deliverables (adaptive collaborative management) to be approved by the Project Advisory Board
* Prepare all required progress and management reports, e.g., APR/PIR and project initiation report
* Support all meetings of the Project Advisory Board
* Maintain effective communication with project partners and stakeholders to dissemination project results, as well as to facilitate input from stakeholder representatives as project partners
* Support the independent terminal evaluation
* Ensure full compliance with the UNDP and GEF branding policy

Project Assistant

The Project Assistant will be assigned through in-kind co-financing from MERE for 90 weeks to support the Project Manager in the carrying out of his/her duties. The Project Assistant will work closely with the Monitoring and Evaluation Officer to carry out a number of duties, among others:

* + - 1. Assist Project Manager in the preparation and update of project work plans, as well as to organize Project Board meetings, workshops, and other meetings as tasked by the project
      2. Support the Project Manager to ensure monitoring and evaluation requirements are fulfilled
      3. Maintain up-to-date records of project documentation
      4. Facilitate the timely preparation and submission of progress reports, project reviews, financial reports, audit reports, programme evaluations, and any other required project reports
      5. Facilitate the timely and smooth implementation of all project logistics

The Project Assistant will have at least five (5) years’ experience in supporting the implementation of UNDP implemented projects, with preference in environment and natural resource management projects. The Project Assistant will coordinate her/his work with that of the Project Manager and the Monitoring & Evaluation Officer.

Monitoring and Evaluation Officer

The Monitoring and Evaluation Officer will be recruited with UNDP co-financing to ensure congruency with UNDP implementation policies and procedures over an estimated 26 work weeks. This Officer will complement the work of the Project Assistant to support the Project Manager in the fulfillment of her/his role. Duties include:

1. Assist Project Manager in the preparation and update of project budgets
2. Support the Project Manager to ensure monitoring and evaluation requirements are fulfilled
3. Undertake organizational and logistical tasks related to project execution per UNDP guidelines and procedures.
4. Support the recruitment of national and international consultants
5. Ensure the timely processing of payments to local and international consultants

The Monitoring and Evaluation Officer will have at least five (5) years’ experience in supporting the implementation of donor-funded projects, in particular UNDP and environment and natural resource management projects. The Officer will coordinate her/his work with that of the Project Manager and the Project Assistant, and report to the Project Manager and UNDP Programme Officer on a regular basis.

National Consultant on the Convention on Biological Diversity

This national consultant will be responsible for those project activities that require expertise on interpreting and translating CBD obligations into national programmable activities. The consultant will prepare the appropriate technical background studies, as well as also serve as a facilitator in the trainings on using data and information relevant to meeting biodiversity conservation objectives, with particular emphasis on endangered endemic species and their ecosystems.

The CBD national consultant will have at least 10 years of work experience in biodiversity conservation programming and project implementation. At least the last two (2) years of experience include active involvement in CBD negotiations He/she will have a PhD in natural resource management, with a specialization directly related to biodiversity conservation in Sri Lanka and/or the neighboring region. Under the supervision of the Project Manager, the specialist will coordinate his/her work with that of other national experts and specialists. This includes coordinating activities with those under implementation by the development partners.

National Consultant on the Convention on Desertification and Drought

This national consultant will be responsible for those project activities that require expertise on interpreting and translating CCD obligations into national programmable activities. The national consultant will prepare the appropriate technical background studies, as well as also serve as a facilitator in the trainings on using data and information relevant to meeting land degradation objectives, with particular emphasis on sustainable land management and land degradation.

The CCD national consultant will have at least 10 years of work experience, of which at least the last two (2) years include active involvement in CCD programming and project implementation. He/she will have a PhD in natural resource management, with a specialization directly related to land management issues in Sri Lanka and/or the surrounding region. Under the supervision of the Project Manager, the specialist will coordinate his/her work with that of other national experts and specialists. This includes coordinating activities with those under implementation by the development partners.

National Consultant on the Framework Convention on Climate Change

This national consultant will be responsible for those project activities that require expertise on interpreting and translating FCCC obligations into national programmable activities. The national consultant will prepare the appropriate technical background studies, as well as also serve as a facilitator in the trainings on using data and information relevant to meeting climate change mitigation and mitigation objectives, with particular emphasis on endangered endemic species and their ecosystems.

The FCCC national consultant will have at least 10 years of work experience, of which at least the last two (2) years include active involvement in FCCC programming and project implementation. He/she will have a PhD in a field directly relevant to climate change science, with a specialization directly related to mitigation and adaptation strategies relevant to Sri Lanka and/or the surrounding region. Under the supervision of the Project Manager, the specialist will coordinate his/her work with that of other national experts and specialists. This includes coordinating activities with those under implementation by the development partners.

Environmental Sociologist (National)

The Environmental Sociologist will contribute to the stakeholder consultations and policy dialogues to ensure that socio-economic and gender issues are fully addressed. This specialist will also work with other consultants and project management in the design and implementation of awareness-raising and training activities to ensure the appropriate design of the pilot platforms at the national and sub-national levels. The Environmental Sociologist will have a PhD in environmental sociology, with demonstrated experience in constructing and implementing surveys, as well as their statistical analysis on trends in environmental values and attitudes.

Information Technology and Knowledge Management Specialist (National)

An information technology and knowledge management specialist will be recruited to oversee the technical design of the data management system, including the procurement of the technological hardware and software for its installation. Under the supervision of the Project Manager, he/she will work with the national Rio Convention specialists, as well as with the relevant information technology managers in the different departments to network the data management system with their information systems. The specialist will apply technical expertise to the implementation, monitoring, and maintenance of the system. With at least five (5) years’ of work experience, the specialist will have at least a Master’s degree in information technology, including network analysis, system administration, security and information assurance, IT audit, database administration, and web administration.

Public Administration Expert (National)

The individual recruited as the Public Administration Expert will be recruited for an estimated 150 days. He/she will work with the Project Manager as well as the other national specialists to assess and institutionalize the environmental data management system within Ministry of Environment and Renewable Energy as well as with the partner government departments and other stakeholder organizations’ information systems. He/she will work with the information technology and knowledge management specialist to undertake the in-depth baseline assessment of the current management information systems in Sri Lanka as well as to design the institutional architecture of the environmental data management system. This expert will also work with the legal expert to assess and recommend institutional and associated regulatory reforms to be submitted for Parliamentary approval, as well as work of the Rio Convention experts through the expert working groups, as well serve as a resource person and facilitator for the training and learn-by-doing working groups.

The Public Administration Expert will have a post-graduate degree in public administration or related field, and have a minimum of ten (10) years’ experience in progressively responsible and substantive areas in environmental and natural resource governance programming and planning.

Policy/Legal Expert

The Policy/Legal expert will contribute to the substantive work under the project by assessing the policy and legal implications of Rio Convention instituting the environmental data management system, in particular the collaboration among key agencies and other stakeholder organizations. The expert will work with the Public Administration expert as well as with the others, as appropriate to draft and negotiate the Memoranda of Agreement to share data and information, as well as draft the bills that need Parliamentary approval.

The policy/legal expert will have a post-graduate degree in law, with a specialization on environmental law and policy of Sri Lanka. S/he will have to have a minimum of ten (10) years’ experience in progressively responsible and substantive areas in environmental and natural resource governance programming and planning.

International Technical Specialist

An international technical specialist will be recruited to provide necessary technical advisory services on the implementation of key project activities, in particular the review of recommendations to integrate and institutionalize Rio Convention obligations within the environmental data management system, among other substantive activities, as appropriate. These services will be provided over the course of the three-year implementation period to provide technical backstopping to help ensure the timely and high quality project delivery.

International Evaluation Consultant

The international evaluation consultant will be an independent expert that is contracted to assess the extent to which the project has met project objectives as stated in the project document and produced cost-effective deliverables. The consultant will also rate capacities developed under the project using the Capacity Development Scorecard.

The Terms of Reference for the International Evaluation Consultant will follow the UNDP/GEF policies and procedures, and together with the final agenda will be agreed upon by the UNDP/GEF RCU, UNDP Country Office and the Project Team. The final report will be cleared and accepted by UNDP (Country Office and Regional Coordination Unit) before being made public.

## Annex 6: PDF/PPG Status Report

**status of implementation of project preparation activities and the use of funds**

1. **provide detailed funding amount of the ppg activities financing status in the table below:**

The Project Preparation Grant was used to conduct an extensive review of data and information management in Sri Lanka related to the three Rio Conventions, including the formats the data being stored, frequency of collection, quality of data, and ownership of the information. This review identified a number of key gaps data collection, storing and sharing process in Sri Lanka. PPG funds were also used for stakeholder consultations to further define the project strategy that was outlined in the PIF. This included discussions on how the CCCD project could add value to existing baseline of projects, in particular the National Spatial Data Infrastructure Project of the Ministry of Lands and ICTA (Information Communication Technology Agency).

PPG funds were used to recruit experienced project development specialists to ensure that the project document is fully compliant with GEF eligibility criteria as well as having a robust technical design. This included the preparation of the logical framework using SMART indicators and rating a baseline assessment of the indicators in Capacity Development Scorecard. The project strategy, design and implementation arrangements were discussed and validated at a stakeholder consultation workshop that was convened on 12 May 2014.

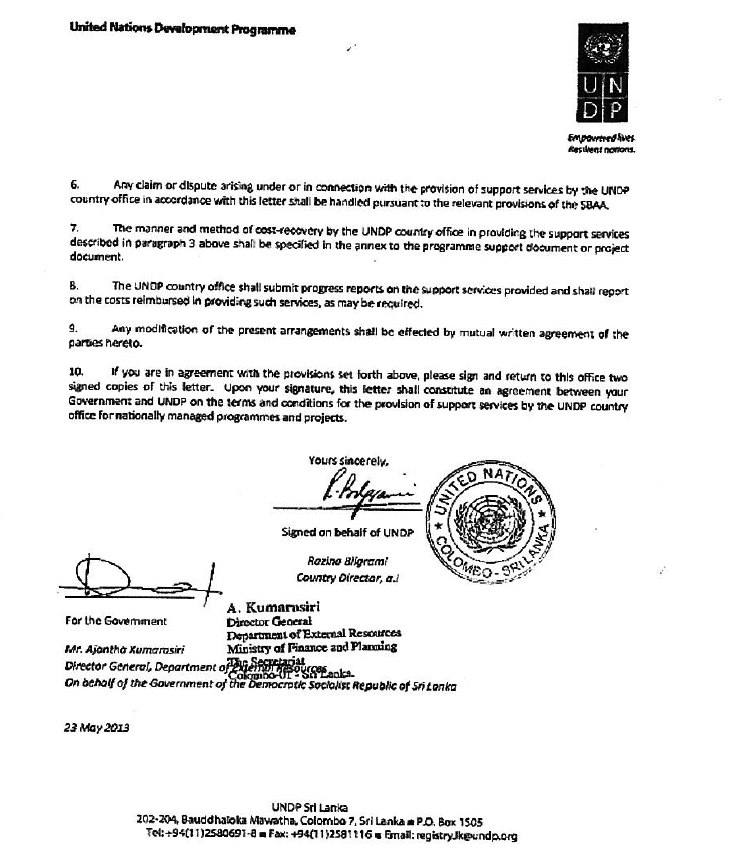
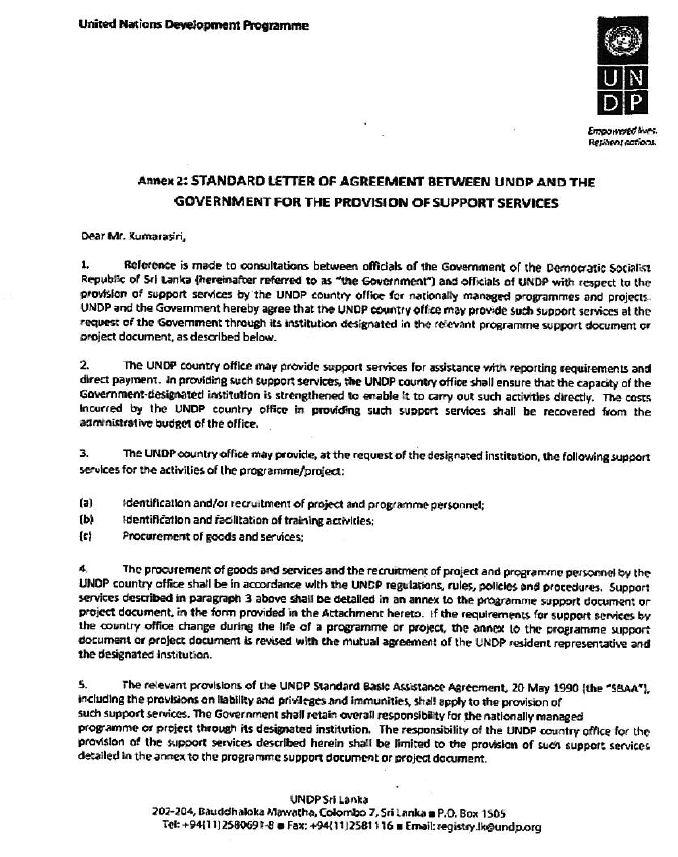
**A.1: describe findings that might affect the project design or any concerns on project implementation, if any:**

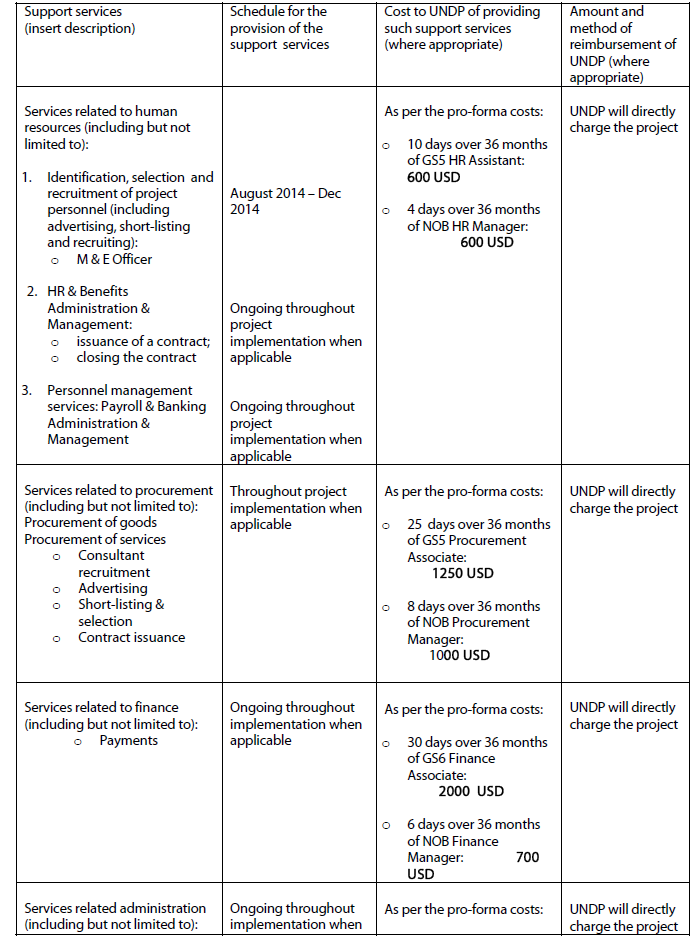
The findings obtained during the preparatory phase to prepare the project document confirmed that the approach identified during the PIF stage remains valid.

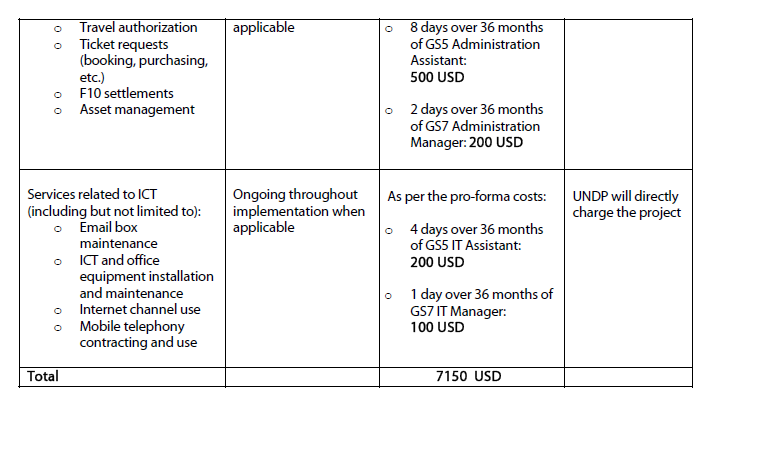
|  |  |  |  |
| --- | --- | --- | --- |
| **PPG Grant approved at PIF:** | | | |
| ***Project Preparation Activities Implemented*** | ***GEF Amount ($)*** | | |
| ***Budgeted Amount ($)*** | ***Amount Spent to date($)*** | ***Amount Committed ($)*** |
| Background analysis of data and information management | 3,000 | 1,210 | 1,790 |
| Background analysis of planning, policy making and decision-making | 3,000 | 1,000 | 2,000 |
| Project strategy, detailed budget, workplan, and logical framework: costs will be basically one international expert for five weeks | 4,000 | 0 | 4,000 |
| PPG Management: costs will be basically one national expert for four months, plus one validation workshop, plus communications, printing | 13,000 | 3,608 | 9,392 |
| **Total** | 23,000 | 5,818 | 17,182 |

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## Annex 8: Letter of Agreement between UNDP and the Government for the Provision of Support Services







# PART III: GEF Letters of Endorsement and Co-Financing

Annex A GEF Endorsement Letter

Annex B Letters of Co-Financing

*Letters are attached in a separate attachment.*

1. Further details of the project’s indicators are provided in the project document narrative and the logical framework. For further information please see <http://www.thegef.org/gef/Policies_and_Guidelines> [↑](#footnote-ref-2)
2. Women consist 78% of the unskilled labour force leaving the country to work in Middle Eastern states [↑](#footnote-ref-3)
3. Sri Lanka has a high number of ministries; as of January 2014, the number stood at 57. The table includes only those with mandates that impact and influence environmental management. [↑](#footnote-ref-4)
4. [www.icta.lk](http://www.icta.lk) [↑](#footnote-ref-5)
5. [www.desinventar.lk](http://www.desinventar.lk) [↑](#footnote-ref-6)
6. Forestry and Wildlife, Agriculture, Plantation, Land Development and Mining, Fisheries and Coastal, Industry and Tourism, Energy and Transport, Health, Sanitation and Urban Development [↑](#footnote-ref-7)
7. The ten key areas are clean air, biodiversity, climate change, coastal, land, waste management, water management, green cities, greening industry and knowledge management. [↑](#footnote-ref-8)
8. Ratings will be based on a set of 12 criteria on a scale of 1 to 5. [↑](#footnote-ref-9)
9. The Project Management Unit will be an administrative extension of the MoERE. [↑](#footnote-ref-10)
10. Sri Lanka officially launched its UN-REDD national programme in June 2013. [↑](#footnote-ref-11)
11. The project had an estimated end date of 31 December 2013. [↑](#footnote-ref-12)
12. See <http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf>. [↑](#footnote-ref-13)
13. Meeting minutes includes records of key meetings such as local, regional and national consultations regarding inputs on the design and implementation of the relevant output and associated activities. Meetings may be individual or group meetings, with government officials or non-state stakeholders. [↑](#footnote-ref-14)
14. Tracking and progress reports include UNDP Quarterly Reports, Annual Performance Reports, and Project Implementation Reports. Each output will be tracked by a report that records the activities and milestones of each output using tools such as Gantt or PERT charts. [↑](#footnote-ref-15)