



SGP Country Programme Strategy for utilization of OP5 grant funds

Country: **SRI LANKA**
Resources to be invested: **STAR US\$2,400,000, CORE US\$350,000**

1. SGP Country Programme - Summary Background

1.1 GEF-SGP Sri Lanka was launched as a pilot initiative in 1995. Since then it has developed into a fully operational programme and is now in its fifth operational phase. GEF status category for Sri Lanka is 2c.

As indicated in the table below, during the past 15 years (1995 - 2010), the country programme has implemented 340 projects, amounting to US\$6,579,7600 of funding, which also includes financial allocations received for implementing the Community Water Initiative (CWI) and Mekong Asia Pacific/Community Based Adaptation (MAP/CBA) initiative that provides assistance for implementing climate change adaptation activities at community level. In addition an amount of US\$550,000 (not included in the above total) was mobilized for rehabilitation and reconstruction of destroyed habitats and infrastructure in the aftermath of the December 2004 tsunami.

Operational Phase	Time Frame	GEF Funds (US \$)	Co - financing	No. of Projects	Focal Area of Projects					
					BD	CC	LD	POPs	MF	IW
Pilot Phase	1995-1997	181,442	140,000	15	12	-	-		3	
Phase I	1997-1999	400,000	467,000	49	39	3	-		7	
Phase 2	2000-2004	1,847,815	650,000	126	68	22	15		21	
Phase 3 - Year 1	Mar 2005- Feb 2006	1,150,000	640,000	33	11		08		14	
Phase 3- Year 2	Mar 2006 June 2007	750,000	279,000	31	08	06	10	4	03	
Phase 4 - Year 1	July 2007- June 2008	570,000 (270,000 RAF)	170,000	23	10	04	06	2	01	
Phase 4 - Year 2	July 2008- June 2009	605,000 (405,000 RAF)	393,000	23	12	02	03	1	05	

Phase 4 - Year 3	July 2009- June 2010	605,000 (405,000 RAF)	570,000	21	14	02	-	-	03	2
Total		6,109,257	3,309,000	321	174	39	42	7	57	2
CWI	Nov 2003- Jan 2008	220,503	91,000	13						
MAP/CBA	Nov 2010- Nov 2012	250,000	49,000	06						
GRAND TOTAL		6,579,760	3,449,000	340						
SSC SSGF UNDP	<i>Sept. 2005</i>		<i>350,000</i>	<i>13</i>						
Additional funding for tsunami rehabilitation work	<i>January 2007</i>		<i>250,000</i>	<i>17</i>						
Total			600,000	30						

As indicated in the table, the GEF/SGP Country Program's focus has been in promoting initiatives in biodiversity conservation (54% of the total projects implemented), especially targeting activities on sustainable agriculture and forest resources management. Several successful models for future ground level replication were developed by these projects. One good example is the successfully completed project "Bio diversity conservation through the propagation of tuber varieties" where activities such as establishment of a tuber seed bank, propagation of tuber varieties by farmers, training farmer families, production of value added food items with tubers were undertaken. This project won the Equator Prize of UNDP in the year 2008.

During OP4, the country programme strategy was developed based on the outcome of previous phases and mainly focused on a watershed approach and had a geographical focus. 75% of annual allocations were dedicated for projects addressing biodiversity and land degradation focal area and for project activities implemented within the extended Ruhuna River Basin which encompasses the five districts, Nuwara Eliya, Badulla, Monaragala, Ratnapura and Hambantota. The district of Ampara which emerged out of the conflict at the time was included as a sixth.

From 2007 onwards SGP Sri Lanka funded seven projects related to Persistent Organic Pollutants and two projects addressing International Waters in OP4.

The GEF-SGP country programme has been helpful in establishing several new NGOs and CBOs, which are now registered with relevant authorities and are playing an important role in community based nature conservation in the country. Further, the formation of the Sri Lanka Nature Forum (SLNF) in 2003 provided the much needed umbrella group for all GEF-SGP partner organizations. SLNF provides capacity building and networking opportunities to local and national CBOs and NGOs. This forum has been also useful to the partners in obtaining funding opportunities from non-GEF sources such as the "Mangrove for the Future Initiative" implemented by the IUCN. With the end of civil conflict in March 2009, GEF-SGP activities are now also being initiated in the northern and eastern provinces of the country. Strong capacity building effort is needed in these districts i.e. Jaffna, Mannar, Vavuniya, Batticaloa and Trincomalee, to empower the grass root level CBOs and NGOs to work on GEF focal areas.

1.2 Key baseline considerations for the SGP Country Programme Strategy, major partnerships, and existing sources of co-financing

The Country Programme Strategy (CPS) is the primary document guiding the development, implementation, monitoring and evaluation of the country programme. Building upon results and lessons learned from previous operational phases, it identifies project eligibility criteria and delineates the indicators that will be used in determining the programme's success and lessons learned. It also tailors the requirements of the SGP to national priorities to develop a unique program to fit the national and GEF contexts.

The priorities and focal areas for the Sri Lanka programme are determined through a consultative process involving the National Steering Committee and NGO/CBO partner organizations. In the project selection process the main criteria taken into consideration are a) activities that are a better fit with the GEF focal areas b) activities that address national concerns as stipulated in the National Environment Action Plan (NEAP) and other related environmental policy documents of the Ministry of Environment and other agencies and c) capacities of NGOs/CBOs to implement the projects i.e. technical competence, provision of co-financing and their rapport in working with communities.

Projects addressing sustainable use of natural resources and protection of threatened eco-systems and species, sustainable utilization and benefits sharing are considered priority, while climate change mitigation activities and land degradation are also considered as main concerns. Livelihood development of communities is underscored to ensure sustainability and community responsibility. With the 20% flexibility allowed in Non-CORE (as well as in CORE funding) several Chemicals Management and International Waters focal area projects and those that address more than one focal area will be granted funding. However the larger portion of CORE funding will be reserved for projects in the focal areas of Chemicals management and International Waters.

Partnerships will be built with traditional and non-traditional funders to enhance co-financing possibilities. Traditional donors who operate within the country may not be the best sources, as a middle income country Sri Lanka will not fall within their framework of funding considerations. Funders will be approached from a focal area perspective so as to build longer lasting partnerships, obtain technical expertise where possible, share experiences and access wider publicity for the work done. For example in the area of climate change adaptation, the ongoing partnership with AusAid will be strengthened and opportunities for further mobilizing of resources will be pursued as the need and interest of communities is overwhelming for this area. Similarly a partnership will be built with UNEP agencies in working in the area of chemicals. Due to indiscriminate use of chemicals in every sector, farming communities, industrial workers, household industry workers and others are being affected, with increasing health problems and in some cases mortality. Awareness raising and assisting in research studies will be key in this focal area for better management and use. In the area of energy efficiency institutes such as Global Alliance will be approached for the promotion of energy efficient cook stoves among communities especially in the conflict affected North and East provinces. Other areas where partnerships will be sought are Eco tourism, Forest certification in the emerging REDD+ facilities and marketing of green products.

The present source of co-financing from AusAid on climate change adaptation will be strengthened with the successes in the above efforts.

2. SGP Country Programme Niche

Table 1. List of relevant conventions and national/regional plans or programmes

Rio Conventions + National Planning Frameworks	Date of Ratification/Completion
UN Convention on Biological Diversity (CBD)	23/03/94
CBD National Biodiversity Strategy and Action Plan (NBSAP)	NBSAP approved by the cabinet of ministers of GOSL in 1998 and an Addendum prepared in 2007
UN Framework Convention on Climate Change (UNFCCC)	23/11/1993
UNFCCC National Communications (1 st , 2 nd , 3 rd)	1 st submitted in 2000, 2 nd finalized for printing for submission in 2011
UNFCCC Nationally Appropriate Mitigation Actions (NAMA)	Not yet drafted
UN Convention to Combat Desertification (UNCCD)	9/12/1998
UNCCD National Action Programmes (NAP)	Submitted in 2002
Stockholm Convention (SC)	22/12/2005
SC National Implementation Plan (NIP)	Submitted on 31/12/2007
World Bank Poverty Reduction Strategy Paper (PRSP)	Completed on 07/03/2003
GEF National Capacity Self-Assessment (NCSA)	Completed in 2007
GEF-5 National Portfolio Formulation Exercise (NPFE)	Scheduled to be concluded in 2011
Strategic Action Programmes (SAPs) for shared international water bodies	A SAP for the Bay of Bengal Large Marine Ecosystem is under preparation http://www.boblme.org

2.2 How will the SGP country programme use OP5 resources to support implementation of national priorities in relation to GEF-5 Strategic Priorities. How will civil society and community-based projects be facilitated and coordinated to help the country achieve its priorities and achieve the objectives of the global conventions?

The Sri Lanka SGP programme will receive US\$2,400,000 from the STAR funds to work on the focal areas of Biodiversity, Climate Change and Land Degradation for the four year period of OP5. In addition a sum of US\$350,000 will be available for implementation of projects in the focal areas of International Waters and Chemicals Management. A 20% flexibility is allowed from all focal area monies to address other focal area initiatives and multi focal projects.

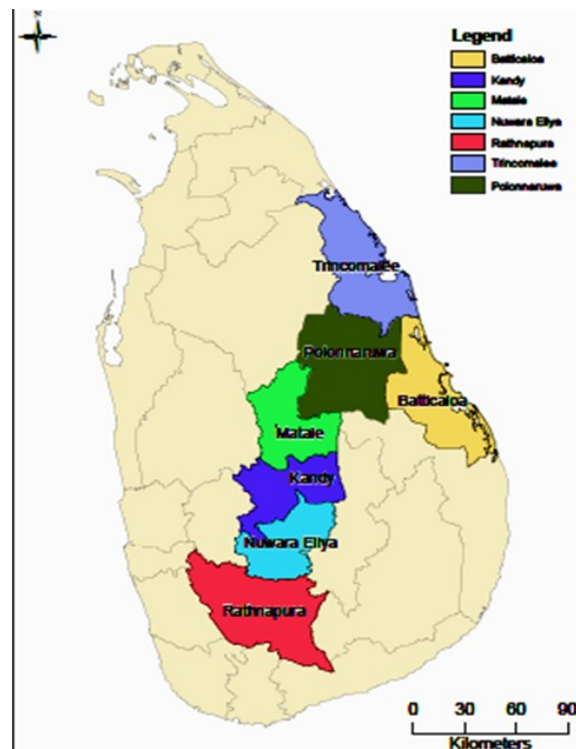
The SGP strategy for OP5 will focus on the wise use of resources to gain maximum impact and results by implementing projects at community level which are in line with national priorities and covering GEF strategic priorities. The strategy will also ensure that the projects however small will continue to address the objectives of the relevant global conventions and address sustainable development concerns of the country while continuing to pursue achieving MDG

goals, in particular Goal 7 on environmental sustainability. Table 2 gives the details on the consistency of project objectives with national priorities.

As a mature programme, SGP Sri Lanka has invested in building awareness and capacity among the NGO community on global conventions signed and ratified by Sri Lanka, GEF focal areas, adaptation to climate change, MDG goals and issues of sustainable development in general. Thus, building these concerns into project goals and objectives and addressing them through activities will meet with minimum of conflicts of interest, if any. The projects will also pay special attention to issues of gender and social equity by integrating these into focal area strategies, objectives and activities. Gender sensitive, social and economic perspectives will be the premise on which the project guidelines, indicators and monitoring and evaluation aspects will be built upon.

In the biodiversity focal area the strengthening and continuation of community based biodiversity management and implementation of international obligations on biodiversity within local contexts will be underscored. A strategic approach to the issues of climate change mitigation and adaptation by making use of the country's commitment to international agreements, keeping civil society abreast of emerging issues, developing projections together with estimates on economic and environmental costs for the country and promoting energy efficiency and energy auditing will be focused. To address the vital issue of land degradation, identification of key vulnerable areas and communities using data and activities within the national action plans, will be emphasized. In the areas of international waters and chemicals management advice of experts and national institutions will be sought in the formulation of activities.

2.3 OP 5 Geographical Focus covering 7 districts



2.4 OP5 global project objectives of the GEF CEO endorsement documents and the SGP niche for grant-making in relation to the national priorities and OP5 project objectives for focal areas.

Table 2. Consistency with national priorities

OP5 project objectives	National priorities	SGP niche
<p><u>SGP OP5 Immediate Objective 1:</u> Improve sustainability of protected areas and indigenous and community conservation areas through community-based actions</p>	<ul style="list-style-type: none"> -Improve management of Protected Areas by habitat enrichment, boundary demarcation and fire management. -Expand programmes for afforestation, reforestation and forest rehabilitation, using indigenous species as far as possible. -Identify and preserve traditionally important ecological sites, indigenous people and associated knowledge. -Mobilize and develop cultural practices and traditional wisdom related to biodiversity. -Monitor protected areas continuously to ensure that uses are sustainable, especially pollution and disturbance caused by vehicles and excessive visitors in fragile ecosystems. -Promote Eco- Tourism. -Improve livelihood of surrounding communities thereby reducing dependency on protected area resources. -Prepare manuals, brochures, and booklets to support capacity building efforts and public awareness on biodiversity, and make them available in school libraries and bookshops. 	<p>Improvement of existing Protected area governance and establishment of community owned conservation areas through awareness, collaborative partnerships, and introduction of sustainable livelihoods</p>
<p><u>SGP OP5 Immediate Objective 2:</u> Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions</p>	<ul style="list-style-type: none"> -Promote Eco- Tourism. -Improve livelihood of surrounding communities thereby reducing dependency on protected area resources. -Take necessary measures to conserve the endangered species by creating awareness among the fishermen and relevant stakeholders. -Introduce co-management for inland and coastal fisheries so that those engaged in fishing will, on their initiative, adopt responsible fishing practices and protect the resources. - Identify & relocate communities/activities incompatible with zoning plans. - Implement artificial beach nourishment measures. - Expand the green belt on the coastline with the participation and sustainable use of Communities /coastal inhabitants. - Prevent coral mining in damaging reefs. - Establish a data base on harmful fishing practices on a district basis and assess their impact on marine biodiversity. - Introduce community based management systems to control harmful fishing practices. -Provide support for fishermen engaged in harmful activities to change their fishing activities - Conduct awareness to prevent catch & sale of the flesh of threatened species. -Develop environmentally friendly and cost effective 	<p>Implement market base instruments for sustainable utilization of biological resources and for mitigating the spread of IAS</p>

	<p>fishing gear, vessels, fishing techniques and practices, create awareness among fishermen and promote application of these practices.</p> <ul style="list-style-type: none"> - Introduce alternative livelihoods to reduce pressure on the coastal and marine environment. -Develop/introduce environmentally friendly and economically viable fish waste disposal systems. -Prevent disposal of hazardous waste including waste oil and untreated effluents into aquatic environment by improving existing systems and developing new systems. 	
<p><u>SGP OP5 Immediate Objective 3:</u> Promote the demonstration, development and transfer of low carbon technologies at the community level</p>	<ul style="list-style-type: none"> -Promote mini/micro hydropower projects. -Promote other renewable energy sources such as dendro, wind, waves, solar, ocean thermal electric conversion (OTEC), wastes to energy, biogas from sewage, etc. -Promote use of wood gasification technology. -Promote biogas use for household cooking and lighting. -Promote hot water boilers instead of steam boilers. - Adoption of fuel switching to water heating by introducing bio-mass boilers. - Introduce renewable energy use, e.g. solar power technology for irrigation and agro - processing. -Recycle crop residue and farm waste. -Promote low energy rainwater harvesting technologies -Introduce energy efficient, effective new irrigation techniques and devices. -Carry out research and development on new irrigation techniques that have lesser irrigation water footprints. -Popularize solar powered irrigation systems and techniques. -Establish and spread new technology for reducing water use and improving productivity of small and medium schemes via micro and drip irrigation systems. 	<p>Implement activities that demonstrate and develop innovative technologies at community level</p>
<p><u>SGP OP5 Immediate Objective 4:</u> Promote and support energy efficient, low carbon transport at the community level</p>	<ul style="list-style-type: none"> - Promote use of alternate transport fuel technologies that reduce GHG emissions (e.g.LPG/bio-fuels in place of petrol & diesel). 	<p>Assist communities in reducing emissions and transport costs</p>
<p><u>SGP OP5 Immediate Objective 5:</u> Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry</p>	<ul style="list-style-type: none"> -Conserve existing carbon pools such as forests. -Increase the size of the carbon pool by reforestation and afforestation of degraded forests, marginal croplands and waste lands. -Adopt agronomic practices in cultivation species such as rubber etc. -Make shade tree planting along urban streets and urban public parks systems with at least 50% tree cover mandatory in all low and mid-country areas of the country and use of CDM financing to improve the long term sustainability of projects. 	<p>Protect the existing forests and increase the size of the carbon pool by reforestation and afforestation of degraded forest, croplands in marginal and waste lands. Maintain green belts in urban areas</p>
<p><u>SGP OP5 Immediate Objective 6:</u> Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities</p>	<ul style="list-style-type: none"> -Introduce better irrigation management practices/technologies to reduce soil erosion. -Conduct further research studies on soil fertility improvement measures, conservation farming practices, home garden models and agro forestry systems, including livestock. -Identify geologically unique sites and declare them as preserved areas. -Identify degraded or degradation prone areas and regularize or relocate encroachers and settlers as the case may be. 	<p>Strengthen the protection of indigenous crop varieties, domesticated animal genetic resources, NTFPs and farmers rights.</p>

	<ul style="list-style-type: none"> -Promote on-farm and off-farm soil and water conservation measures in critical watershed areas. -Identify alternative farming practices and lands. 	
<p><u>SGP OP5 Immediate Objective 7:</u> Reduce pressures at community level from competing land uses (in the wider landscapes)</p>	<ul style="list-style-type: none"> --Introduce integrated plant nutrient management practices. -Select and recommend crops according to the land class. -Rehabilitate saline-affected lands. -Provide incentives for undertaking of land improvement measures. -Improve drainage systems in low-lying agricultural land. -Identify traditional crop and animal species that are resistant to pests and diseases. 	Promote and strengthen coordination among different organizations dealing with land and water management activities
<p><u>SGP OP5 Immediate Objective 8:</u> Support transboundary water body management with community-based initiatives</p>	<ul style="list-style-type: none"> -Conserve ecologically significant water resources bases/watersheds. -Identify the pollution sources of water intakes and prevent further pollution. -Identify and demarcate catchment area water intakes and implement suitable protection programmes. -Promote the harvesting of rain water in urban areas. -Ensure effective drainage and handling of waste water from farming and food processing. -Dedicate Upper Watershed areas for conservation and prevent them being exploited. -Carry out surveys on water bodies to identify pollution sources and types island wide. -Carry out surveillance and take actions where necessary to ensure that untreated sewage is not discharged into waterways and water bodies. 	Promote collective management, sustainable use and maintenance of ecosystem services
<p><u>SGP OP5 Immediate Objective 9:</u> Promote and support phase out of POPs and chemicals of global concern at community level</p>	<ul style="list-style-type: none"> -Develop guidelines for environmentally sound resource collection, recovery and disposal of e-waste. -Formulate legislation to prevent e-waste entering the country in the guise of resources. -Formulate guidelines to distinguish e-waste from usable e-items -Promote organic fertilizer production and use. -Use clean (waste-minimizing) technologies. -Introduce sanitary composting technology. 	Improve community knowledge base through awareness and introduce alternative solutions
<p><u>SGP OP5 Immediate Objective 10:</u> Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends</p>	<ul style="list-style-type: none"> -Issue a comprehensive environmental safeguard check list to relevant partners by going through necessary ordinances and acts. -Identify and develop user friendly communication models that can be used to acquire skills, knowledge and values that promote behaviors of youth on sustainable production and consumption practices. -Identify and develop user friendly communication models and provide access to know how and information to promote behavioral changes for sustainable production and consumption patterns at house hold and community level. -Popularize these models among women and provide access to know-how. -Identify and develop user friendly communication models that can be used to acquire skills, knowledge and values that promote behaviors of general public on sustainable production and consumption practices. -Develop a communication mechanism and access to information on sustainable development issues with best practices. 	Build capacities and enabling conditions for environmental protection and sustainable development

<p><u>Cross-Cutting Results:</u> Poverty reduction, livelihoods and gender</p>	<ul style="list-style-type: none"> -Promote participatory approaches to land resources management. -Identify alternative farming practices and lands. -Improve livelihood of surrounding communities thereby reducing dependency on protected area resources. -Promote women to become change agents towards sustainable production and consumption practices. -Promote sustainable production and consumption practices amongst the general public. 	<p>Contribute to national & global efforts of poverty alleviation, increasing income, participatory approach in sustainable development goals through gender balance and social equity</p>
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3. Capacity development, poverty reduction and gender results for SGP

3.1. How will the Sri Lanka SGP country programme in the preparation, review and implementation of projects, produce positive results in the development of capacity of civil society organizations; improving livelihoods and local benefits; as well as addressing gender and indigenous peoples’ considerations so as to achieve global environmental benefits.¹ How will the developed capacity be retained within different organizations and communities?

The programme has over the years focused on building capacities of NGOs/CBOs including indigenous people’s organizations, while also emphasizing improving livelihoods of communities engaged in environmental conservation work, in particular of those addressing biodiversity, climate change and land degradation issues, the three areas the SGP country programme has centered its activities on. All projects have taken the gender dimension into consideration with the result that over half of project stakeholders are women. Attention has been paid also to obtain the participation of men in conservation activities so that a balance is maintained and important decisions are made with the consent of all parties in a household. Particular attention is also paid to issues of indigenous peoples addressing needs and access to benefit sharing.

Awareness raising and capacity building of communities in implementing activities that would benefit the global environment has been an on-going activity. Obtaining benefits from project actions such as developing products for the market and increasing incomes, poverty alleviation and delivering on MDG targets are integral parts of an SGP project and a basic premise on which SGP is based on.

The OP5 programme will build on the experience gained in the past and continue the capacity building of partners and their participation for achieving global environment benefits through project implementation. This can be ensured only if the needs of the communities are met through close collaboration and interaction. The civil society organizations therefore have to be rooted in the communities they work with to the extent possible.

Improving livelihoods will be a primary focus as it is proven that poverty can be reduced only if people have decent productive livelihood means. All projects will have a well developed plan for income generation for communities, market strategies and equitable

¹ During OP5, the SGP capacity development outcome is cross-cutting and relates to interventions corresponding with each of the relevant GEF focal areas.

sharing of benefits. Another approach will be to promote women's access to equal opportunities, awareness and information, and livelihood development to achieve reduced vulnerability and improve family welfare.

The projects while working with youth and encouraging their participation will concentrate more on increasing capacity of the older men and women in a village for whom the capacity is valuable and unattainable through other means. This will also ensure that the trained community members can be retained in the community as their mobility will be limited as their commitments are within the family and community.

4. OP5 country outcomes, indicators and activities

Table 3. Results Framework

SGP OP5 Immediate Objective 1: Improve sustainability of protected areas and indigenous and community conservation areas (ICCAs) through community-based actions			
Outcomes	Indicators	Means of verification	Activities
Improved management effectiveness of existing and new protected areas.	Hectares of indigenous and community conserved areas (ICCAs) influenced Hectares of protected areas influenced Hectares of significant ecosystems with improved conservation status	Project reports, Monitoring visit reports Reports from the Departments of Forest/Wildlife Protection Evaluation reports with the participation of community members, GPS data, aerial photos, maps	A minimum of 15 projects
SGP OP5 Immediate Objective 2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions			
Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation.	Hectares of production landscapes/seascapes applying sustainable use practices Number of significant species with maintained or improved conservation status Total value of biodiversity products/ecosystems services produced (US dollar equivalent)	Reports from technical specialists/ academics, Monitoring visit reports, dated photos IUCN Red Data List	A minimum of 10 projects
SGP OP5 Immediate Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level			
Technologies successfully demonstrated, deployed, and transferred GHG emissions avoided	Tonnes of CO2 avoided by implementing low carbon technologies Renewable energy measures/ energy efficiency measures/ Other Number of community members demonstrating or deploying low - GHG technologies Total value of energy or technology services provided (US dollar equivalent)	Reports of technical experts in the Sustainable Energy Authority/ Electricity Board Project output evaluation Data gathered from Community members using low carbon technologies Independent estimation of CO2 Avoided	A minimum of 6 projects
SGP OP5 Immediate Objective 4: Promote and support energy efficient, low carbon transport at the community level			
Increased investment in less – GHG intensive transport and urban systems GHG emissions avoided	Tonnes of CO2 avoided by implementing low carbon technologies Low carbon transport practices specify Total value of transport services provided (US dollar equivalent)	Reports of technical experts in the Sustainable Energy Authority/ National Transport Board on transport services Project output evaluation Independent estimation of CO2 Avoided	A minimum of 2 projects

Restoration and enhancement of carbon stocks in forests and non-forest lands, including peatland	Hectares restored under improved land use and climate proofing practices	Field analysis of improved practices by trained academics/forestry officials	A minimum of 4 projects
GHG emissions avoided and carbon sequestered	Tonnes of CO2 avoided through improved land use and climate proofing practices	Independent estimation of CO2 Avoided	
SGP OP5 Immediate Objective 6: Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities			
Improved agricultural management	Hectares of land under improved land use and climate proofing practices	Technical reports on the hectares of land that has been improved and climate proofed practices	A minimum of 6 projects
	Tonnes of CO2 avoided through improved land use and climate proofing practices	Independent estimation of CO2 Avoided	
SGP OP5 Immediate Objective 7: Reduce pressures at community level from competing land uses (in the wider landscapes)			
Enhanced enabling environments between sectors in support of SLM.	Number of communities demonstrating sustainable land and forest management practices	An independent survey of the no of communities demonstrating sustainable land and forest management practices	A minimum of 6 projects
SGP OP5 Immediate Objective 8: Support trans-boundary water body management with community-based initiatives			
Innovative solutions implemented for reduced pollution, improved water use efficiency, sustainable fisheries with rights-based management, IWRM, water supply protection in SIDS, and aquifer and catchment protection	Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs	Technical reports by marine and coastal experts in consultation with Coast Conservation Department	A minimum of 6 projects
	Hectares of marine/coastal areas or fishing grounds managed sustainably	Evaluation of tonnes of land based pollution avoided	
	Tonnes of land-based pollution avoided	End-of-project report	
SGP OP5 Immediate Objective 9: Promote and support phase out of POPs and chemicals of global concern at community level			
POPs waste prevented, managed, and disposed of, and POPs contaminated sites managed in an environmentally sound manner.	Tonnes of solid waste prevented from burning by alternative disposal	Technical reports by POPs Specialists and Department of Agriculture	A minimum of 6 projects
	Kilograms of obsolete pesticides disposed of appropriately	End of Project reports	
	Kilograms of harmful chemicals avoided from utilization or release		
SGP OP5 Immediate Objective 10: Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends			
Consultative mechanism established for proactive and	Number of consultative mechanisms established for Rio convention frameworks (specify)	Report from the SGP network on the number of consultative mechanisms	A minimum of 2

constructive engagement of all interested stakeholders	Number of local or regional policies influenced (level of influence 0-1-2-3-4-5)	established for Rio Convention Frameworks Report from the Ministry of Environment on how the community initiatives have an impact on the NAP/NIP on BD/CC/LD/Pops leading to policy influence at a regional level	projects
Institutions and stakeholders have skills and knowledge to research, acquire and apply information collective actions	Number of national policies influenced (level of influence 0-1-2-3-4-5) Number of new technologies developed/applied (specify) Number of community based monitoring systems demonstrated (specify) Number of people trained on: project development, monitoring, evaluation etc. (specify)	Independent survey reports on national policies influenced Project reports on number of new technologies developed/applied and on number of people trained Community survey reports on number of community based monitoring systems demonstrated	A minimum of 2 projects
Cross-Cutting Results: Poverty reduction, livelihoods and gender			
Increased focus on, livelihoods, sustainable development and empowerment	Livelihoods and Sustainable Development Number of participating community members (gender disaggregated) Number of days of food shortage reduced Number of increased student days participating in schools Number of households who get access to clean drinking water Increase in purchasing power by reducing spending, increased income, and/or other means (US dollar equivalent) Total value of investments (e.g. infrastructure, equipment, supplies) in US Dollars (Note: estimated economic impact of investment to be determined by multiplying infrastructure investments by 5, all others by 3) Empowerment Number of NGOs/CBOs formed or registered	Project survey reports Analysis and evaluation of Results Independent evaluation of total value of investments Quarterly Progress Reports Quarterly Progress Reports Quarterly Progress Reports Independent technical reports Monitoring visits. Data from progress reports	A minimum of 3 projects

	Number of indigenous peoples directly supported	Data from progress reports	
	Number of women-led projects supported	Data collected for country programme reports	
	Number of quality standards/labels achieved or innovative financial mechanisms put in	Data collected for country programme reports	

5. Monitoring & Evaluation plan

5.1 Description of the M & E plan for the portfolio of individual SGP projects working with civil society organizations and the frequency of monitoring visits and evaluations of projects.

M & E is built into the design of all projects and participatory Monitoring and Evaluation is strongly emphasized in order to get best results, sustainability and to address ownership of project after the funding ends.

I. Individual Project Level

The M & E procedures followed at different stages of the project cycle is detailed below.

1. Project Selection Procedure (See flow diagram below)

Step 1 – a submitted project concept is graded by a sub-committee of the National Steering Committee. If approved, a dialogue is initiated between the project proponent and the NC.

Step 2 - NSC members (with NC/PA) will visit the proposed site to verify feasibility of project and the capacity of the proposing NGO/CBO to implement the project. Based on the findings, recommendations are given to develop a full proposal.

Step 3 - A project development workshop is held to determine relevance to the Country Programme Strategy, GEF/SGP Guidelines and the many national action and implementation plans, GEF thematic areas, geographic location, partnerships, co-financing, community participation, sustainability and innovation.

Step 4 - The revised project proposal is tabled at an NSC meeting for appraisal and marking. Based on the marks proposals are approved, rejected or deferred. Deferred proposals can be improved and re-tabled at an NSC meeting.

2. Project implementation Period

Monitoring Visits - During project implementation monitoring is carried out through site visits i.e. a minimum of 2 visits will be undertaken to each project.

Other Monitoring Aspects - Stakeholder meetings and discussions, phone calls and documentations such as quarterly progress reports, video films and photos that represent the different stages of the project.

The above will allow the programme to identify any problems during project implementation, allow modification to the project design/activities to enhance project success and sustainability.

Monitoring of Progress Indicators stipulated in the Project Proposal - Each project will include an M&E plan with appropriate indicators. Indicators will be based on the SMART (Specific, Measurable, Achievable, Realistic, Time-bound) principle and will –

- measure/assess the expected results of project activities and objectives,
- be based on data that can be collected by the NGO/CBO and project participants. The method of information collection and by whom, will also be stated.

Special Measures - An agreement with academic institutions with expertise in GEF thematic areas have been made to improve monitoring and to provide technical reports as well as support in documenting lessons learnt.

Evaluation of projects - is undertaken at two levels

- i) Project Assessment or Progress Review workshops organized at the mid and at end of project implementation with the participation of NGO/CBO representatives, NSC members and SGP staff members. This responsibility can be assigned to an independent group or consultants and at the end of each workshop a report will be prepared and presented to the NSC at a meeting.
- ii) At the conclusion of project activities a participatory evaluation workshop will be held

3. Project Closure and Beyond

Final Report - If considered necessary a final visit to the project will be made by the NSC/NC after the receipt of the final report to verify whether the work has been successfully executed. The NGO/CBO will also produce a report from an independent evaluator, who has a proven track record and experience in the respective field and thematic area. After approving the reports, the conclusion of the project will be recorded in the SGP database. A final progress report will be made by the NC after receiving all necessary reports.

II. Overall Country Programme

Monitoring the Country Programme Strategy - M & E products of projects provide data on the achievement of benchmarks identified in the country programme strategy as well as SGP Global strategy and as such will be used in compiling reports to the GEF Council.

The Country Programme Strategy (CPS) - will be periodically reviewed and updated to highlight the changing priorities at country and global level.

Updating the SGP Database - Information on GEF SGP projects, lessons learned, case studies, programme and project level resource mobilization and photographs are entered onto the database and regularly updated.

Quarterly financial reports - are provided to UNOPS by the NC/PA.

Annual Country Programme Report - will be compiled by the NC with NSC assistance.

Independent Evaluation of the Programme - to be carried out at end the of the Operational Phase if considered necessary or requested by CPMT.

5.2 Methodologies adopted for stakeholder participation in setting project objectives and outputs and in monitoring, the periodicity, progress documentation and reporting.

Table 4. M&E Plan at the Project Level

SGP Individual Project Level		
M&E Activity	Responsible Parties	Timeframe
Participatory Project Monitoring	Grantees/NC/PA/Students	Duration of project
Baseline Data Collection ²	Grantees, NC/PA	At project concept planning and proposal stage
Three Project Progress and Financial Reports according to the disbursement schedule of 4 installment payments.	Grantees, NC, PA	At each disbursement request
Project Work plans	Grantees, NC, PA	Duration of project
Project Proposal Site Visit as necessary and cost effectively ³	NC/NSC members	Before project approval, as appropriate
Project Monitoring Site Visits as necessary and cost effectively	NC/NSC members	On average once per year or as appropriate
Project Evaluation Site Visit as necessary and cost effectively	NC/NSC members	At end of project, as appropriate
Project Final Report	Grantees	Following completion of project activities
Project Evaluation Report as necessary and cost effectively	NC, NSC, Technical Advisors, Academe	Following completion of project activities
Prepare project description to be incorporated into global project database	PA, NC	At start of project, and ongoing as appropriate

5.3 The strategy for the results of SGP individual projects to be aggregated at the country programme portfolio level and description of the target indicators for focal area and multi-focal area outcomes.

Table 5. M&E Plan at the Programme Level

SGP Country Programme Level		
M&E Activity	Responsible Parties	Timeframe
Country Programme Strategy Review	NSC, NC, CPMT	Start of OP5
Strategic Country Portfolio Review	NSC, NC	Once during OP5

² Capacity-development workshops and M&E trainings may be organized in relation to innovative techniques for community monitoring, including new technologies (i.e. GPS-enabled cameras, aerial photos, participatory GIS, etc.); as well as in response to guidelines for “climate proofing” of GEF focal area interventions; REDD+ standards; and/or other specific donor/co-financing requirements.

³ To ensure cost-effectiveness, project level M&E activities, including project site visits, will be conducted on a discretionary basis, based on internally assessed criteria including (but not limited to) project size and complexity, potential and realized risks, and security parameters.

NSC Meetings	NSC, NC, UNDP CO	Minimum - twice per year
Performance and Results Assessment (PRA) of NC Performance	NC, NSC, UNDP CO, CPMT, UNOPS	Once per year
Country Programme Review resulting in Annual Country Report ⁴	NC presenting to NSC and CPMT	Once per year
Financial 4-in-1 Report	NC/PA, UNOPS	Quarterly

6. Knowledge Management Plan

6.1. Plans for capturing, sharing, and disseminating the lessons learned and good practices identified through the country portfolio of SGP projects with civil society, government, and other relevant stakeholders (i.e. process for generating knowledge; type of knowledge products; knowledge fairs; peer to peer exchanges; use of demonstration sites; knowledge centers etc.).

The OP 5 programme will encourage cross sharing and visits between partners and their communities, sharing skills, ideas, technologies and knowledge. Workshops, focused meetings will be organized to provide the partners with a common platform for cross learning and networking. The good practices will be shared with relevant stakeholders through documentation and dissemination and also exposure visits especially to demonstration sites which would make more of an impact than sharing knowledge through documentation. Knowledge fairs, exhibitions such as World Environment Day events will be encouraged and would be integrated into individual project plans.

The above actions would result in proliferation of innovative ideas and provide further benefits to more communities while the visibility thus given to community oriented solutions/technologies/processes would enable governments, other organizations, donor agencies to understand better the needed synergies and methodologies that would benefit communities.

6.2 How will the SGP country programme use this knowledge to inform and influence policy at the local, regional and national levels (i.e. identify key policy processes and relevant networks).

The knowledge products generated and shared would provide a means to influence policy at local and national levels. They would provide clear demonstrations of what works at community level, how to obtain cooperation and participation of communities in planning, implementation and monitoring of projects, sharing benefits as well as sustainable management.

It will also lead to more productive partnerships between the Non Government and Government sector where networking and lobbying for policy changes can be done better in partnership rather than in isolation. Knowledge products will also be useful in persuading private sector agencies for investment in community initiatives as well as for product development and better marketing.

⁴ The annual Country Programme Review exercise should be carried out in consultation with the national Rio Convention focal points and the associated reporting requirements.

a. How will the SGP country programme use this knowledge to replicate and up-scale good practices and lessons learned from SGP projects.

For up scaling of projects, knowledge of successes, lessons learnt with clear quantifiable and qualitative results will be documented and shared. Addressing livelihood, equity and gender issues will be captured as well as the participatory processes of a project such as community participation in planning, implementation and monitoring. Aspects such as local and indigenous expertise, innovative cost sharing methods, networking will be demonstrated as replicable community model projects. Projects that show access to resources from the local, and national level Government sources and projects that have locally managed sustainable institutional arrangements such as successful micro financing schemes, Self Help Groups (SHGs), links to institutions/banks for access to resources, loans, repayment schemes will be promoted and highlighted.

7. Resource Mobilization Plan

7.1. The Co-financing status of Sri Lanka programme –

Project Co-financing	-	Cash: US\$1,402,615 , In kind US\$2,053,715
Programme Co-financing	-	Cash US\$1,288,500, In kind US\$130,500

GEF grants have a requirement of raising co-financing on a 1:1 basis. At the country level it aims at developing complimentary programs to improve program quality and to encourage independency especially of its partners through securing additional resources for complimentary programs. Co-financing will also address the cost recovery policy by absorbing a share of the SGP country programme management costs.

The strategy will be to build the confidence of donors, by demonstrating the efficiency and the dedication to transparency of the SGP delivery mechanism. Also the unique feature of the National Steering Committee as the guiding body, the overall management role of the UNDP, the capacities of SGP staff and the financial controls that are in place which contributes to ensure a program that will yield results will be highlighted. In addition,

- the impact of SGP projects with quantitative and qualitative results will be demonstrated,
- facts and experiences of community led initiatives which have made a difference to the quality of life of villagers will be shared
- a strategy for acquiring non-financial resources, such as in kind contributions will be developed
- an efficient monitoring and evaluation mechanism will be set in place.

Donors will be appraised both for their ability to contribute i.e. the amount of funds earmarked for environmental programs and their estimated interest in contributing, whether they have matching interests, and whether they have identified priority countries. Donors also should be categorized according to subject specific areas e.g. an eco-tourism initiative might appeal to a funder rather than an overall biodiversity conservation project.

Criteria for accepting resources and for attributing resources will be established i.e. who can use the SGP brand and under what circumstances can it be legitimately used.

Proposals will address each donors' current priorities, focus and funding areas and will be prepared with clearly defined objectives, milestones and outcomes. Funders appreciate regular and accurate reporting on their investment and will be provided with information on how resources are handled (budgeting, financial management, accounting), progress reviews (monitoring outputs, assessing outcomes), and given an understanding on the overall effectiveness of their investment (value-for-money, quality of impact through documented case studies/best practices).

7.2. Outline of possibilities to develop strategic partnerships (identifying their objectives and possible synergies with SGP) with potential partners i.e. (i) national government agencies; (ii) multilateral agencies or financial institutions (such as the World Bank, regional development banks, and/or other international organizations); (iii) bilateral agencies; (iv) non-governmental organizations and foundations; and (v) private sector.

7.2. Strategic Partnerships

		Partner	Objectives	Possible Synergies
i	National Government Agencies	Ministry of Environment	Policy and Regulatory support/advise	Collaboration on environment conservation – multiple areas
		Central Environment Authority (CEA)	Technical advice on enforcement of regulatory measures and NGO/Government collaboration	-Working on chemicals management in particular POPs chemicals -Working with the island wide schools network of Environment Brigades of the CEA on awareness raising.
		Department of Agriculture	Technical support on climate change adaptation issues	Advice and partnership building on adaptation mechanisms for vulnerable communities
		Department of Forestry	Advice on policy and law enforcement measures & collaboration	Forest conservation, working with buffer zone communities, participatory forest demarcation
		Department of Wildlife Conservation	Advice on policy and law enforcement measures & collaboration	Species conservation, Mitigation of human-elephant conflict, participatory boundary demarcation
		Department of Irrigation	Water management for irrigation	Water and watershed conservation
		Coastal Conservation Department	Technical support on coast conservation measures	Conservation of mangroves, projects on salt water intrusion
		National Aquatic Resources Agency (NARA)	Research based directives on coast conservation	Collaboration on community based research on coastal management
		Marine Pollution Prevention Authority	Technical advise on r egulatory measures	Guidance to projects in the International Waters focal area
		National Water Supply and Drainage Board	Provision of safe drinking water	Provision of water to communities living in sensitive ecosystems
		Sustainable Energy Authority	Promoting Renewable energy technologies for household lighting and industry	Domestic lighting, Low carbon technologies for communities
ii	Multilateral Agencies	World Bank, ADB	Collaboration on development programmes	Building partnerships for project implementation and fund raising
iii	Bilateral Agencies	Ausaid, JICA	Collaboration on development programmes	Mobilizing programme co-financing

iv	Large National NGOs, INGOs & Foundations	Sarvodaya, IUCN, National Science Foundation	Collaboration for project replication, upscaling, Share training, technologies, information	Scaling up of successful community initiatives. Capacity building of NGOs. Raise project co-financing.
v	Private Sector	Brandix, HSBC, St Chartered, Sampath, Mas Holdings, Hayleys	Collaboration through the CSR component, Develop market opportunities	Mobilize project/programme co-financing

ANNEX 1: GEF/SGP OP5 PROJECT LEVEL INDICATORS

SGP OP5 results indicators	
Biodiversity (BD)	
BD1	<ul style="list-style-type: none"> ○ Hectares of indigenous and community conserved areas (ICCAs) influenced ○ Hectares of protected areas influenced ○ Hectares of significant ecosystems with improved conservation status
BD2	<ul style="list-style-type: none"> ○ Hectares of production landscapes / seascapes applying sustainable use practices ○ Number of significant species with maintained or improved conservation status ○ Total value of biodiversity products/ecosystem services produced (US dollar equivalent)
Climate Change (CC)	
CCM1	<ul style="list-style-type: none"> ○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> ▪ Renewable energy measures (please specify) ▪ Energy efficiency measures (please specify) ▪ Other (please specify) ○ Number of community members demonstrating or deploying low-GHG technologies ○ Total value of energy or technology services provided (US dollar equivalent)
CCM4	<ul style="list-style-type: none"> ○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> ▪ Low carbon transport practices (please specify) ○ Total value of transport services provided (US dollar equivalent)
CCM5	<ul style="list-style-type: none"> ○ Hectares of land under improved land use and climate proofing practices ○ Tonnes of CO2 avoided through improved land use and climate proofing practices
Land degradation (LD) & Sustainable Forest Management (SFM)	
LD1	<ul style="list-style-type: none"> ○ Hectares of land applying sustainable forest, agricultural and water management practices ○ Hectares of degraded land restored and rehabilitated
LD3	<ul style="list-style-type: none"> ○ Number of communities demonstrating sustainable land and forest management practices
International Waters (IW)	
IW	<ul style="list-style-type: none"> ○ Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs ○ Hectares of marine/coastal areas or fishing grounds managed sustainably ○ Tonnes of land-based pollution avoided
Persistent Organic Pollutants (POPs)	

SGP OP5 results indicators	
POPS	<ul style="list-style-type: none"> ○ Tons of solid waste prevented from burning by alternative disposal ○ Kilograms of obsolete pesticides disposed of appropriately ○ Kilograms of harmful chemicals avoided from utilization or release
Capacity Development, Policy and Innovation (all focal areas)	
CD	<ul style="list-style-type: none"> ○ Number of consultative mechanisms established for Rio convention frameworks (please specify) ○ Number of community-based monitoring systems demonstrated (please specify) ○ Number of new technologies developed /applied (please specify) ○ Number of local or regional policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5) ○ Number of national policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5) ○ Number of people trained on: project development, monitoring, evaluation etc. (to be specified according to type of training)
Livelihoods, Sustainable Development, and Empowerment (all focal areas)	
Cross-cutting	<p>Livelihoods & Sustainable Development:</p> <ul style="list-style-type: none"> ○ Number of participating community members (gender disaggregated) (Note: mandatory for all projects) ○ Number of days of food shortage reduced ○ Number of increased student days participating in schools ○ Number of households who get access to clean drinking water ○ Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent) ○ Total value of investments (e.g. infrastructure, equipment, supplies) in US Dollars (Note: estimated economic impact of investments to be determined by multiplying infrastructure investments by 5, all others by 3). <p>Empowerment:</p> <ul style="list-style-type: none"> ○ Number of NGOs/CBOs formed or registered ○ Number of indigenous peoples directly supported ○ Number of women-led projects supported ○ Number of quality standards/labels achieved or innovative financial mechanisms put in place