TE Report Clearance Form

Terminal Evaluation Report for Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas Project , 5165

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TERMINAL EVALUATION REPORT

"Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas"

Sri Lanka

PIMS 5165, GEF ID 5337

GEF Focal Area – Biodiversity, GEF Objective 2 -Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors

UNDP/Ministry of Environment, Sri Lanka

September 17, 2021

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Terminal Evaluation – August/September 2021

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Acronyms and Abbreviations

AWP	Annual Work Plan
BDS	The Biodiversity Secretariat
CBO	Community Based Organization
CCD	Department of Coast Conservation
DAD	Department of Agrarian Development
DSD	Divisional Secretariat Division
DWC	Department of Wildlife Conservation
EPA	Environmental Protection Area
EPE	Environment, Planning & Economics Division
ESA	Environmentally Sensitive Area
FAO	Food and Agriculture Organization
FD	Forest Department
GA	Government Agent (also known as District Secretary)
GEF	Global Environmental Facility
GIS	Geographic Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH (German Federal Enterprise for International Cooperation)
IUCN	International Union for the Conservation of Nature
KOR	Kala Oya Region
LUPPD	Land Use Policy Planning Department
M&E	Monitoring and Evaluation
MASL	Mahaweli Authority of Sri Lanka
MDP	Mahaweli Development Programme
MEPA	Marine Environment Protection Authority
MTR	Mid Term Review
NAP	National Action Plan (for combatting land degradation)
NAQDA	National Aquatic Resources Research and Development Agency
NARA	National Aquaculture Development Authority
NBSAP	National Biodiversity Strategy and Action Plan
NEAP	National Environmental Action Plan
NGO	Non-government Organization
NIM	National Implementation Modality
NPPP	National Physical Planning Policy
NPPD	National Physical Planning Department
PA	Protected Area
PB	Project Board
PD	Project Director
PIMS	Project Information Management System
PIR	Project Implementation Report
PPR	Project Progress Report
PID	Provincial Irrigation Department
PTR	Project Terminal Report

SGP	Small Grants Programme
MoMDE	Ministry of Mahaweli Development and Environment
TC	Technical Coordinator
ToC	Theory of Change
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP-CO	United Nations Development Programme's Country Office
UNREDD	United Nations' Joint Programme on Reduced Emission from Deforestation and Forest Degradation
USD	United States Dollars

1. Executive Summary

Project Information Table

Project Details		Project Milestones	
Project Title	Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas	PIF Approval Date:	29/04/2013
UNDP Project ID (PIMS #):	#5165	CEO Endorsement Date (FSP), Approval date (MSP):	25/09/2015
GEF Project ID:	5337	ProDoc Signature Date:	23/05/2015 (MoE) 25/09/2015 (UNDP)
UNDP Atlas Business Unit, Award ID, Project ID:	00079607 (LKA10) 00089554	Date Project Manager hired:	01/12/2015
Country/Countries:	Sri Lanka	Inception Workshop Date: (Meetings by Local Project Appraisal Committee)	28/01/2016
Region:	Asia Pacific	MTR CompletionDate:	30/09/2018
Focal Area:	Biodiversity	TE Completion date:	22/09/2021
GEF Operational Programme or Strategic Priorities/Objectives:	Strategic Priority 4: Strengthening the policy and regulatory frameworks for mainstreaming biodiversity	Planned Operational Closure Date:	Planned 30/09/2020 Revised 30/10/2021
Trust Fund:	GEF TF		
Implementing Partner (GEF Executing Entity):	Ministry of Environment, Sri Lanka		
NGOs/CBOs involvement:	NGOs: Ocean Resource Conservation Association involved in project implementation through a CSO agreement to work in the seascape of the project. Environment Federation Limited (EFL) & IUCN engaged in consultations and implementation of the project. Center for Environment Justice (CEJ) engaged in consultations. Local Management Committees, District Facilitation Committees (co-management planning bodies), local CBOs (farmers, fishermen etc. (beneficiaries and through consultations and implementation); () Tour boat associations, local NGOs, Sithamu Women Based Organizations engaged in planning and implementation process.		
Private sector involvement:	Farmers, Fishers, Community Members involved in Tourism and Home Gardening, small enterprises(beneficiaries and consultations, and involved in co-management structures)		
Geospatial coordinates of project sites:	*A:* 8.11592 N, 79.553236 E; 8.14033 N, 79.472516 E; 8.18249 N, 79.500606 E; 8.17277 N, 79.530835 E B: 8.18249 N, 79.500606 E; 8.17277 N, 79.530835 E; 8.14231 N, 79.514504 E; 8.17339 N, 79.493692 E		
Financial Information			
PDF/PPG	at approval (US$M)	at PDF/PPG completion (US$M)	

GEF PDF/PPG grants for projectpreparation	PPG 100,000 USD	100,000 USD
Co-financing for project preparation	0	0
Project	at CEO Endorsement (US$M)	at TE (US$M)
UNDP contribution:	6,500,000 USD	6,500,000
Government:	10,150,000 USD[1]	6,154,333.36 USD[2]
Total co-financing:	16,650,000 USD	12,654,333.36 USD
Total GEF funding:	2,626,690.00 USD	2,626,690.00 USD
Total Project Funding	19,276,690 USD	15,281,023.36

Project Description

This project was to assist the Government of Sri Lanka to safeguard biodiversity in multiple land use areas of special ecological significance (high biodiversity values) through the operationalization of "Environmentally Sensitive Areas" (ESAs) as a new land use governance framework, primarily outside protected areas.

The project objective was "To operationalize Environment Sensitive Areas (ESA)—as a mechanism for mainstreaming biodiversity management into development in areas of high conservation significance". The objective was to be achieved through two Outcomes including 1. National Enabling Framework Strengthened to Designate and Manage Environmentally Sensitive Areas (ESA), and 2. Biodiversity-friendly ESA management for long term integrity and resilience ensured at two sites in the Kala Oya Region

Under Outcome 1, the project supported the development of national policy, strategy and national scale up plan for ESAs and built national institutional capacities to foster inter-sectoral partnerships and coordination to support ESA identification, management and monitoring of ESAs.
Under Outcome 2, collaborative management institutions were developed at local level for the management of more than 14,000 ha of ESAs identified in the landscape and seascape for long term biodiversity conservation, and for the maintenance of environmental services critical for local and national development using the ecosystems approach.

Evaluation Ratings Table

The evaluation ratings table below consolidates ratings as described in this report, based on the scales provided in Table 9 (Annex 1) of the Guidance document for Conducting UNDP/GEF financed Terminal Evaluations (2020).

[1] Forest Dept. 2.5 Mio, Dept. of Wildlife Conservation 2.0 Mio., NW Province Ministry of Agriculture 0.65 Mio, Ministry of Environment 3.5 Mio, Coastal Conservation Department 1.5 Mio

[2] Ministry of Environment 5,929,293.42, District Secretariat Anuradhapura 8,375,97, District Secretariat Puttalam 17,774.29, Divisional Secretariat Galnewa 2,823.65, District Secretariat Ipalogama 7,079.15, District Secretariat Wanathawilluwa 9,604.87, Forest Department 2,834.58, Provincial Department of Agriculture NWP 5,333.34, Land Use Policy Planning Department 155,278.15, Wayamba Development Authority 15,935.94

1. Monitoring & Evaluation (M&E)	Rating
M&E design at entry	Moderately Satisfactory
M&E Plan Implementation	Satisfactory
Overall Quality of M&E	Satisfactory
2. Implementing Agency (IA) Implementation & Executing Agency (EA)Execution	Rating
Quality of UNDP Implementation/Oversight	Highly Satisfactory
Quality of Implementing Partner Execution	Satisfactory
Overall quality of Implementation/Execution	Highly Satisfactory
3. Assessment of Outcomes	Rating
Relevance	Highly Satisfactory
Effectiveness	Highly Satisfactory
Efficiency	Highly Satisfactory
Overall Project Outcome Rating	Highly Satisfactory
4. Sustainability	Rating
Financial sustainability	Moderately Likely
Socio-political sustainability	Moderately UnLikely
Institutional framework and governance sustainability	Likely
Environmental sustainability	Likely
Overall Likelihood of Sustainability	Moderately Likely

Summary of Findings, Conclusions and Lessons Learned

Findings

Project design captured the need to address the key threats (habitat loss and degradation, and over-exploitation of biological resources) and barriers (weak policy support for cross sectoral work on mainstreaming biodiversity, limited know-how for biodiversity friendly ESA management), however had shortcomings in facilitating policy dialogue, providing more clarity toward an ESA concept and allocating sufficient time to facilitate stakeholder consensus for concept development. During implementation, the project team/consultants facilitated a thorough process of policy dialogue involving all relevant stakeholders. The documentation of the process is provided as Annex 18. The project addressed the need to effectively safeguard biodiversity (BD) outside protected areas, as expressed in Sri Lanka's National Biodiversity Strategy and Action Plan 2016 – 2022 (NBSAP),and was in line with GEF and UNDP priorities.

Despite the challenges through design, pandemic and change of government, the project achieved and exceeded its targets at completion, after a one-year extension. The target of the project objective has been exceeded, with 5.5 % of Sri Lanka's land area identified for ESA designation (against the 5 % target). The National Policy on ESA (under Outcome 1) is awaiting cabinet approval. Outcome 2 has been exceeded, with 14,164 ha under management with inter-sectoral partnerships and quantifiable

biodiversity conservation targets; over 400,000 USD co-funding invested into four ESA co-management plans; and 25,000 ha brought under eco-friendly production practices.

The achievements towards targets are testimony to effective management, confirmed by quality reporting and documentation of project planning and implementation. While the IP currently plays a prominent role in the policy dialogue, the project implementation on the ground was largely managed by full time project staff contracted by UNDP for the project, duly supported by the district and divisional leadership for coordination and convening.

The project team practiced adaptive management to meet implementation challenges, and to seize opportunities, namely to take the scale up to national level in the last year. This establishes a foundation for the Ministry of Environment (IP) to turn the recent transfer of management responsibilities of "other state forest" from the FD to local administrations into an opportunity to introduce the ESA concept, and apply the institutional arrangements and collaborative planning processes, between community and government, and across sectors, that have been piloted by the project.

The undisputable contribution of the project is the piloting of ESAs in the country context, building stakeholder experience in ESA governance through district and local level committees and through intersectoral coordination. It has demonstrated the value of integrated and comanaged approaches to address conservation and sustainable use.

Progress towards long term impact, the "Sustenance of Ecosystem Services in ESAs" has been made; in ecosystem services through the comprehensive assessment undertaken and data base of environmental sensitivity established nationwide, and through capacity building resources and platforms. Due to the pandemic, capacity building activities could not be completed as planned, but training platforms have been established (SLIDA, Wayamba University, MoE), sectors shared data, and technical skills were improved both with government officers and the community. Partnerships forged by the project played an important role in achieving objectives, and to provide continuity.

Community feedback was largely positive with regard to participation in implementation (not in initial planning) in gaining livelihood benefits – including access to new income generating options, knowledge and skills, and applying good agricultural practices. The various models in agriculture developed under the project are means to build community resilience, and also provide tested models to replicate. The ecotourism benefits can create win-win situations that reduce natural resource degradation and increase incomes. Continued facilitation, coordination, technical support and ensuring that there are incentives and also managing different interests will be required to keep communities engaged.

The national scale up of ESAs is meeting with significant challenges, in obtaining support by other ministries (land, economic development, agriculture, tourism, among others), obtaining political support, securing central government funding, and to be applicable in time while infrastructure centered economic development is still the fore runner for advancement.

Further challenges lie in implementing the ESA policy on the ground, in creating the regulatory mechanisms that will effectively ensure that the co-management of ESAs become the responsibility of the local administrative structures. It is essential to have their support and buy in to coordinate the work. Furthermore, it also needs to be supported by all other national sectoral agencies – with some level of financial resources, human resources and conceptual clarity.

Unequivocally, the establishment of the biodiversity/environmental sensitivity data base (BESASL) available to planners, private sector and the general public, was seen as a very important, though unintended outcome of the project. Likewise, the experience in intersectoral cooperation when piloting ESA/co-management, and the integrated committees at district and local level were seen as a key outcome to scale up by all stakeholders/KIs.

Conclusions

The project has built a strong foundation of models in ESA governance (co-management/community participation/intersectoral planning), more sustainable land use practices, and has improved capacity, training resources, awareness and knowledge/data bases for maintaining and scaling up ESAs.

The sustainability of established ESAs and of their institutional structures was found to be likely, though not unless ongoing support is provided in coordination, stakeholder collaboration and community mobilization. Local stakeholder confidence was high that they can maintain management, however raised concerns about funding. The exact arrangements on district level, i.e. which committee will take on tasks of DFC need to be worked out. Continued support is needed to keep communities engaged.

Building on the experiences of the ESA project, in other initiatives, including the "Managing Together Project" GEF VI, can play an important role in replication and further elaborating and mainstreaming the institutions and processes established under ESA project. ESA establishment in private lands of high biodiversity conservation values or in relation to marine/fisheries resources will require more demonstration models while mobilizing finances beyond government sources will also be necessary.

For the national ESA scale up, the sustainability is assessed as moderately likely, on the basis that the task under taken is extremely challenging and will requires more time and effort to become established, The project managed to put in place the foundation. The MoE will need to continue play a very active and crucial role in taking ESA policy and implementation forward, and will have to work with others to lobby, raise awareness and build capacity, establish more ESAs and put in place and adjust if needed the mechanisms provided under the policy to mandate ESA responsibilities in relevant government institutions. Thus the success is also dependent on financial resources but more importantly the buy-in from other future projects and stakeholders – especially of the larger socio-political system

Lessons Learned

- Coordination and intersectoral planning/integration is the key success factor for mainstreaming BD, co-management. Integration is the main strategy for sustainability (government sectors, as well as community)
- Successful co-management and indeed conservation is based on incentives for people. Success for sustained community engagement and effective community participation in conservation is based on viable benefits/incentives and their level of dependency on the natural resources.
- ESA concept/co-management as approach could be applicable to watershed management as well as forest management.

- Co-management of ESAs is challenging when a strong leadership is missing at district/ divisional level to lead intersectoral plans and it is vital to strengthen ESA governance
- Working with local communities on assessing local resources and BD has created heightened awareness and knowledge of intangible cultural/biocultural heritage, traditional practices that have not been documented or acknowledged.
- Project design should facilitate policy dialogue so as to generate more conceptual clarity among stakeholders about a project concept/objective – from the onset. Feedback from ground level and national level stakeholders is important.
- Gender sensitive/responsive design should go beyond looking at benefits for and participation of women.
- Project design should allocate realistic time frames for processes of concept development, stakeholder consensus building, and community mobilization
- "non-environment" agencies (infrastructure, economic development, as well as more overall agencies such national planning) need to be involved in projects with objectives in mainstreaming biodiversity conservation. It is important to lobby and advocate to transform thinking of stakeholders that ESA concept is not limited to biodiversity but that wise use of natural capital and resilience building can be economically a viable option as well. They are the crucial stakeholders to bring on board, they have to own the approach and the project needs to make synergies and balance trade-offs.
- It is important to establish Policy & Strategy and Operational manual in parallel to National Scale up Plan and they should complement each other.
- Sri Lanka has not ratified Nagoya Protocol yet and traditional knowledge associated with genetic resources with provisions on access, benefit-sharing is subject to different opinion and yet we can build on article 15 of CBD instead of Nagoya for benefit sharing.

Recommendations Summary Table

Rec #	TE Recommendation	Entity Responsible	Time frame
A	Category 1: Strengthening Sustainability of ESAs		
A.1	"One more step" should be taken by the project to more formalize "sustainability agreements" with ESA stakeholders/co-management partners. For each ESA, organize a "wrap up" to formally agree on how to go forward, who takes the lead, what actions remain, what is the monitoring plan. Facilitate formal commitments in a stakeholder/community meeting. Determine how to maintain community involvement/interest. Any follow up actions needed, future plans for the area or how other agencies will take on roles (i.e WDA, Ministry of small industries) should also be discussed and recorded.	ESA Project Team/PMU	Sept/Oct 2021
A.2	MoE to engage with DFC on more specific definition of how the DFC/LMC management structure is to be used - for ESA implementation and then when it is mature and how it can be mainstreamed – roles still need to be clarified and monitoring roles at MoE, District and Divisional level to be established.	MoE	2021/2022

B	Category 2: Replication and Scaling Up of ESAs		
B.1	MoE could organize joint consultations with applicable DFCs to discuss the replication of ESAs identified through National scaleup exercise , within landscapes of "Managing Together" Project (GEF VI) and GEF VII and share lessons learnt and best practice of ESA project for replication within the scope of respective projects.	MoE, UNDP	before project completion
B.2	Ensure that guidelines are completed and presented as a circular asap. Ensure that steps are taken to appoint and train Environmental Officers at Divisional Level and District Coordinators and District Level so that they are ready to support ESA scale-up	PMU, MoE MoE	2021 2022
B.3	GEF VI,VII projects and future projects to provide continued policy/advocacy support to the MoE and capacity building of administrative bodies at district, divisional and provincial levels on the scale up of ESAs within given scopes of the respective projects and support in coordination, lobbying, awareness raising, gaining political support in integration of biodiversity conservation with non-environment sector. Also add to best practices, leverage more funds, support implementation of NEAP within given scope.	UNDP MoE	2021 - 2026
B.4	Strengthen/re-vive/establish the role of the National Steering Committee, to be involved not only in policy actions but also in touch with ground implementation; important to include representatives of key non-environment agencies to ensure buy-in.	MoE	2021
C	Category 3: Implementation Arrangements/Responsibilities, Project Design		
C.1	Future projects/programs consider and built into implementation arrangements and responsibilities an active involvement of both UNDP provided staff and IP PMU staff in local level implementation.	MoE, UNDP/GEF project formulation	
D	Category 4: Piloting new Governance Types of ESAs, Community Managed		
D.1	Explore options to develop ESAs where communities have more control, rights and responsibilities. While active community participation was facilitated, further devolvement of management/enforcement to communities could be piloted. . Building on experiences from other countries (India, and others where Community Managed Areas, or Community Conserved Areas/CCAs exist), but developing it in the country and local context. Sri Lanka's ESAs outside PAs are an ideal testing ground for this approach. This includes ESAs in private lands. In addition, ESA establishment in private forest/biodiversity rich lands or in relation to	MoE, GEF VI, stakeholders, NGOs, CBOs	2021 onwards

	marine/fisheries resources, and in wet zone and urban areas will require more demonstration models.		
E	Mainstreaming Biodiversity Conservation		
	Explore options to mainstream ESA concept into governance (and other "non-environment") projects	UNDP	

2. Introduction

Purpose and Objective of the Terminal Evaluation

The project "Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas" was a full-sized, UNDP-supported, GEF-financed project and therefore required a Terminal Evaluation at project end in accordance with UNDP and GEF M&E policies and procedures.

The purpose of the terminal evaluation was to assess project results, and the contribution of these results towards achieving GEF strategic objectives aimed at global environmental benefits as detailed in the ToR. The objectives of the evaluation were to both assess project results and to identify lessons learnt relevant for other ongoing and upcoming projects in Sri Lanka. The second objective was particularly emphasized also in initial meetings with key informants during the inception phase of the TE. The Terms of Reference for the TE (Annex 2) further specified the objectives, prescribing that the evaluation was to 1. assess a) the achievements of project results against what was expected to be achieved, b) the contribution of the project results towards the relevant outcomes and outputs of the Project Document, c) any cross cutting and gender issues, and 2. provide recommendations on the way forward, draw lessons that can both improve the sustainability of benefits from this project, and aid in the enhancement of overall programming by UNDP CO Sri Lanka and in the implementation of the GEF-6 project (PIMS 5804) that commenced in 2020. To this end, the Terminal Evaluation was to identify new knowledge generated, good practices for replication, as well as challenges, and partnerships built.

Moreover, the TE was to consider the impact of COVID-19 on project objectives, activities, on overall project planning and implementation. As for all terminal evaluations of UNDP-supported, GEF-financed projects - the evaluation should promote accountability and transparency.

Scope

The TE assessed project performance against expectations set out in the project's Logical Framework/Results Framework (Annex 3), covering the entire project implementation period from 1st October 2015 to 30th October 2021, and both components/outcomes of the project.

Document reviews and key informant interviews sought to assess achievements against targets, challenges and lessons learnt across all interventions supported and facilitated by the project. Key informant interviews were arranged so as to capture the perspectives and experiences of all project

implementing partners, including government agencies at all levels, academic/research and conservation organizations, local communities and their organizations participating in collaborative management, as well as all those affected by project activities.

A particular emphasis however was on analyzing institutions and processes to build sustainable, multi-stakeholder mechanisms for ESA establishment and management, and thus for the achieving biodiversity conservation targets, as these are key to sustaining results, to apply lessons learnt, scale up best practices and develop enabling policies. To this end, there was a focus on key informants who at national level were involved in the policy framework and/or national steering committee, and who on sub-national level were involved in co-management as committee members or as beneficiaries.

Field visits had originally been considered for the national TE team member to two project locations, however due to the worsening Covid-19 situation in Sri Lanka during August 2021, and travel restriction announcements by the government, field travel plans were abandoned. All meetings and key informant interviews and surveys were conducted by phone. The international TE Team Leader was conducting all work remotely from outside Sri Lanka.

Methodology

The evaluation team applied a primarily qualitative approach to understand key issues on how newly introduced concepts, processes and institutions are functioning, how capacities and perceptions of stakeholders have changed, how a new policy framework and the lessons from ESA implementation are taken forward to scale and to sustain over time, and how economic or other incentives will sustain community support.

Data Collection and Analysis

Document Reviews

Document reviews of all relevant sources of information provided the framework for design and reference at inception and throughout the evaluation. Project management made available a comprehensive package of documents on implementation and progress, M&E, other outputs and publications, policy drafts, baseline studies, gender analysis, workshop reports, Theory of Change, and other relevant sources. A list of reviewed documents is included as Annex 4

Key Informant Interviews

Semi-structured interviews with key informants – at national and sub national level were the main data collection tool to learn about project implementation, its achievements, impacts and the sustainability of outcomes both on policy and implementation level.

Based on and adding to the information provided in the ToR on stakeholders to be consulted, the TE team compiled a list of stakeholders for key informant interviews from national and local government level, from co-management committees at all levels (Local Management Committees (at Divisional level),

District Facilitation Committees, Provincial level link organizations, National Steering Committee) biodiversity experts/academia and NGOs.

Selection criteria for key Informants

At national level, key informants were shortlisted based on the criteria a) involved in policy design and implementation, de, b) vertical links, direct or indirect, to implementation/co-management, c) member of steering committee. At the sub-national /local level, key informants were shortlisted based on the criteria a) member of a co-management committee (local, district, provincial), b) involved in co-management or implementation, c) being a beneficiary. The final list was generated based on list provided in the TOR and in discussion with Project team, who also assisted with the coordination of the setting up the remote interviews and focus group meetings.

The list of individuals who provided their input in key informant interviews and focus group discussions is included as Annex 5. The team carried out 25 online or phone-based interviews/focus groups. Of the total 66 individuals met, 14 were from national level, 22 from provincial/district level, 12 from the local divisional level, 9 from community and 9 from the UNDP team including consultants.

Questionnaires (Annex 7.1) were developed according to the level of involvement in the project – national/sub national and community and addressed the topics a) adoption and institutionalization of the policy framework developed with project support, b) institutions and processes of co-management that have been piloted, c) capacities, d) incentives for communities to support co-management under the ESA concept, e) impacts on biodiversity and sustainable natural resource use, f) lessons learnt and success factors, and g) key challenges and remaining barriers for sustaining results.

Surveys

To capture the perspectives and experiences of beneficiaries from among local communities, a short survey questionnaire was designed and a survey was done with 20 participants, from the 6 ESAs. These provided a quick snap shot on satisfaction and perceptions of project outcomes among the local community. The survey questionnaire, and collated data, are included as Annex 6

Evaluation Question Matrix

The Evaluation Question Matrix (EQM) provided in Annex 7, guided the design of the questionnaires, and other data collection tools, to ensure all required elements of a TE for GEF funded projects were covered. The EQM was been developed for the criteria: Relevance, Effectiveness, Efficiency, Sustainability, Impact, Stakeholder Participation and Partnerships, Monitoring & Evaluation, Crosscutting Issues and Mainstreaming, Gender, Project Design, Oversight and Implementation, and Execution by the Implementing Partner.

Quantitative results/achievements against targets were assessed based on the comprehensive documentation by the project (implementation reports, co-management plans, other outputs/publications) and the M&E record. The TE team reviewed the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement, and the midterm and terminal Core Indicators/Tracking Tools. The GEF Tracking Tools as provided at project completion/TE are attached separately

Ethics

The evaluation was conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation',2 and the TE team members adhered to the required ethical standards and both consultants accordingly signed a code of conduct upon acceptance of the assignment (Annex 8).

The TE team in their data collection activities observed protocols to safeguard the rights and confidentiality of information providers, interviewees and stakeholders, to ensure security of collected information before and after the evaluation, maintain the anonymity and confidentiality of sources of information. The information and data gathered in the evaluation process will be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

Limitations to the Evaluation

Sri Lanka has been severely affected by COVID-19, and evaluation activities were adjusted according to both international and in-country travel restrictions. The international consultant/team leader could not enter Sri Lanka, and to maximize safety of the national TE team member and adhere to safety regulations in-country during the evaluation period, no field visits were conducted. All key informant interviews were held online or by phone.

This posed a limitation as interaction of the TE team with local stakeholders and beneficiaries was less than it would be under normal circumstances. However, it should be noted that the intimate knowledge of the national consultant of national and local context and key issues of stakeholder and community participation in local resource management and biodiversity conservation, , combined with the knowledge on GEF processes, biodiversity conservation projects from other countries of the international consultant provided the TE team with the necessary insights to successfully undertake the evaluation. Also, the orientation and background information along with the documentation provided by the project team, of design and implementation reports, M&E data, expert/consultant outputs, management plans and publications was very comprehensive so as to provide a solid basis to extended document review and triangulation of findings.

Structure of the TE Report

This report is structured into the following sections:

1. Executive Summary (above), providing a brief synopsis on project design and TE findings, conclusions, lessons learnt and recommendations. It includes the evaluation ratings table.
2. Project Description, providing a brief overview of a) project start, duration and milestones, b) Development context in terms of environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope, c) Problems the project sought to address including threats and barriers targeted, d) Immediate and development objectives of the project, e) Expected results, f) Summary list of main stakeholders, and g) the Theory of Change (ToC).

2 http://www.unevaluation.org/document/detail/100

3. Findings, providing a descriptive assessment, as well as ratings for required criteria3. The section on findings assesses:
    - Project design (Analysis of Results Framework, Lessons from other relevant projects incorporated into project design, planned stakeholder participation, linkages between project and other interventions within the sector).
    - Project Implementation (Adaptive management, Actual stakeholder participation and partnership arrangements, Project Finance and Co-finance, Monitoring & Evaluation, Implementation and Execution, coordination, and operational issues, Risk Management incl. Social and Environmental Standards (Safeguards)
    - Project Results (Progress towards objective and expected outcomes including Relevance, Effectiveness, Efficiency, Overall Outcome, Sustainability, Country Ownership, Gender equality and women's empowerment, Cross-cutting Issues, GEF Additionality, Catalytic Role / Replication Effect, Progress to Impact)

4. Main Findings, Conclusions, Recommendations & Lessons
5. Annexes (TE ToR, TE Mission itinerary, List of persons interviewed, List of documents reviewed, Summary of field visits, and others)

3. Project Description

Biodiversity Context and Global Significance

Sri Lanka is an island nation with a land area of 65,610 km2 and additional territorial waters of 517,000 km. It's geographic location, varied climatic conditions and topography have given rise to its unique biological diversity. Along with the Western Ghats of India, the country has been identified by Conservation International (CI) as one of the 34 global biodiversity "hotspots", and while Birdlife International (BI) has identified the country as one of the world's 356 endemic bird areas. Sri Lanka's lowland rainforests, montane rainforests and south-western rivers and streams are listed in WWF's Global 200 eco-regions. However, 50 % of mammal species, about 30 % of reptile and freshwater fish species, and 20 % of bird species in the country are facing the risk of extinction.

Among Sri Lanka's rich and globally significant biodiversity, there are 677 species of native vertebrates (excluding marine forms), and a further 262 species of migrant birds. Endemism is high and 75 % of the endemic fauna and flora species depend on the wet zone forests in the southwest of the country. Species diversity is also high in coastal and marine systems. The marine fauna recorded in Sri Lanka includes 213 species of echinoderms, 228 species of marine mollusks, 61 species of sharks, 31 species of rays, 18 species of marine reptiles (including 5 turtles, 12 sea snakes and 1 salt water crocodile), 28 species of marine mammals (including 27 whales/dolphins and 1 dugong), more than 183 species of corals and 49 species of sea birds.

3 M&E Design at Entry, M&E Plan implementation, Overall Quality of M&E; Quality of UNDP Implementation/Oversight, Quality of Implementing Partner Execution, Overall Quality of Implementation/Execution; Relevance, Effectiveness, Efficiency, Overall Project Outcome Rating; Sustainability (Financial, Socio-political, Institutional Framework and Governance, Environmental, Overall Likelihood of Sustainability)

Endemism among vertebrates is about 43%, with the highest endemism quotient being recorded among the herpetofauna and freshwater fishes. Approximately 25% of the 3,771 species of flowering plants, 18% of 91 species of mammals, 7% of the 227 bird species, 83% of the 246 species of land snails, 85% of the 106 species of amphibians, 60% of the 171 species of reptiles and 100% of the 59 species of fresh water crabs found in the country are endemic.

Protected areas alone are not able to secure the effective conservation of globally significant biodiversity, due in part to the high beta and gamma diversity of the country, and the fact that the PA system is not wholly representative of the country's bio-geography. While much of Sri Lanka's biodiversity is in the wet zone, the PA network is more fragmented and has less coverage there.[4] Moreover, the loss of habitat on production lands adjacent to PAs is leading to their progressive insularisation. [5]

Key Threats to Biodiversity

Habitat loss and degradation, and over-exploitation of biological resources were identified as key threats to biodiversity to inform the design of the project.

Habitat loss and degradation is caused by an ever-increasing demand for land for human habitation and related developmental activities, resulting in loss of forests, conversion and encroachment for cultivation, reclamation of wetlands, livestock grazing in and near PAs, allocation of coastal land for construction of tourist hotels, establishment of aquaculture farms in coastal areas. Movement patterns of wildlife are affected and result in human-wildlife conflicts. Before this background, poor land use planning and weak enforcement of legislation are major factors leading to loss, fragmentation, modification and degradation of natural habitats, threatening the survival of many species.

Over exploitation of biological resources in the form of unsustainable harvesting practices have resulted in the reduction or loss of populations of many plant and animal species. Destructive fishing methods and unregulated fishing effort has had negative impacts on coastal and marine biodiversity, exacerbated by the increase in human population density in Sri Lanka's Coastal Zone. For forest resources, fuel wood collection has been particularly damaging to forests due to debarking. Extraction of wood from both live and dead plants represents a serious threat to forest regeneration. Local communities living within or near forest areas often depend on NTFPs to meet a diversity of subsistence and commercial needs, threatening the sustainability of NTFP extraction.

Barriers to Biodiversity Conservation

Key barriers to biodiversity conservation identified at project design were a) weak policy support for cross sectoral work on mainstreaming biodiversity, and b) limited know-how for biodiversity friendly ESA management that secures long term integrity and resilience of ESAs**.**

While Sri Lankan law had established ESAs through several national policies [e.g. National Physical Planning Policy and Plan (2010-2013), National Land Use Policy, and Fragile Areas Conservation Strategy (2005)], the country lacked a framework that a) defines the roles and responsibilities of key government

[4] https://groundviews.org/2020/11/23/other-state-forests-and-the-conservation-of-sri-lankas-rainforest-biota
[5] Data source: PIMS 5165 Sri Lanka ESA PIF revised 13 April 2012HNDT Aichi Targets

institutions and community organizations in land use planning and management in ESAs; and b) lays out prescriptions for different categories of areas within the ESA landscape – such as no-go areas for development in highly sensitive areas; and biodiversity conservation friendly development in the adjacent areas to protect corridors and sensitive habitats where development cannot be avoided.

Additionally, the various roles and responsibilities between different government agencies for the management of ESAs (such as planning, monitoring and enforcement) remained to be clarified. There was a need for an effective inter-sectoral coordination mechanism and means to integrate biodiversity conservation principles into development plans and production sector practices to reduce pressures on biodiversity.

The most important barrier to the operationalization of ESAs at the site level was a lack of know-how and limited examples within the country of applying land use planning and regulatory frameworks to manage development across different sectors to secure positive biodiversity conservation outcomes. Land use planning in Sri Lanka tended to be a mapping exercise rather than a participatory planning process among stakeholders and key resource users.

There was a need to develop capacities – at district and provincial level for local planning, management and enforcement, all of which are required to establish and sustain ESAs. Also, capacities within government agencies to ensure that production sector activities comply with environmental regulations and specified land use plans were limited. Last not least, there was a need to reorient baseline investments to support value addition for sustainably produced resources at community level, and make catalytic investments in alternative livelihoods, including, notably community based tourism to create a conservation compatible economy.

Rationale and Objectives of the Project

The project was designed to operationalize a new land use governance framework known as Environmentally Sensitive Areas (ESAs) as a vehicle for safeguarding globally significant biodiversity on production lands of high interest for conservation. This was to be achieved through a) putting in place the appropriate legal and regulatory framework supported by necessary coordination mechanism that facilitate setting up of ESAs for biodiversity conservation, b) defining role and responsibilities of various national and local authorities and actors in the management of ESAs, c) securing the long-term integrity and resilience of these critical habitats by demonstrating ways and means for effectively integrating biodiversity conservation objectives into production sector operations, including by i) demarcating "no go" areas for development in land use planning, ii) engaging local communities and private sector partners in adopting biodiversity compatible production practices and measures, iii) monitoring and enforcing compliance.

Using the land use planning and management framework as the entry point, the project aimed to optimize land management and ensure the compatibility of multiple land uses across landscapes designated as ESAs with biodiversity needs, to protect major habitat blocks and ensure structural and functional connectivity across the landscape. The framework was to ensure that indirect impacts of development (e.g. impacts of roads and other infrastructure) are adequately considered in decision making, as ESAs will entail a mosaic of land uses, including no-go areas for development in the most sensitive locations.

While setting up the systemic capacities to manage ESAs (plan, regulate, and enforce management prescriptions), the project was also to operationalize Sri Lanka's first ESA in the Kala Oya basin, thereby delivering immediate global benefits, while improving long term conservation prospects across the country. Two sites in the Kala Oya Region were identified as proposed ESAs. The first site (in Anuradhapura District) –Kala Wewa falls towards upper reaches of the river basin and encompasses a large water body (reservoir or tank) called Kala Wewa. The second site – Wilpattu (in Puttalam District) is located in the lower part of the basin and encompasses marine area including the Bar Reef and the estuary of the Kala Oya River. Annex 9 provides maps and key information on the sites.

Expected Results

The primary objective of the project is "to operationalize Environment Sensitive Areas (ESA)—as a mechanism for mainstreaming biodiversity management into development in areas of high conservation significance". In order to achieve the objective, the project planned on achieving two major outcomes.

Under Outcome 1 "National Enabling Framework Strengthened to Designate and Manage Environmentally Sensitive Areas (ESA)", the project was to support the development of national policy, strategy and national scale up plan for ESAs and build national institutional capacities to foster inter-sectoral partnerships and coordination to support ESA identification, management and monitoring of ESAs. Outputs under Outcome 1 included a) Effective national policies and legal instruments on conservation and sustainable management of ESAs, b) National stakeholders' capacities to support planning, implementation and monitoring of ESAs.

Under Outcome 2 "Biodiversity-friendly ESA management for long term integrity and resilience ensured at two sites in the Kala Oya Region", inter-sectoral partnerships were to be fostered at local levels at two sites in Kala Oya Region to effectively manage at least 200,000 ha [6]of landscape and seascape for long term biodiversity conservation, and for the maintenance of environmental services critical for local and national development using the ecosystems approach. Outputs under Outcome 2 included a) Institutional capacities for biodiversity friendly land-use planning, implementation and compliance at Kala Wewa and Wilpattu ESAs, b) Ecosystems Management and Restoration at ESAs

Policy Conformity

The project was designed in conformity with Sri Lanka's national policies such as the National Physical Planning Policy and Plan (2010-2013), National Land Use Policy, and Fragile Areas Conservation Strategy (2005)], The project is also aligned with the National Action Plan for *Haritha* (Green) Lanka - in particular with the specific mission related to ecosystems, as well as with large-scale community development and livelihood improvement programmes such as the *Gama Neguma* (Village Reawakening) and the *Divi Neguma* (Household Economy) programs that were operational at the time of project design. The project is in line with the National Physical Planning Policy (NPPP) where a number of areas are identified as environmentally sensitive, as well as with the Coastal Zone Management Plan.

The project was to contribute towards achievement of GEF Biodiversity Strategic Objective Two: Mainstream biodiversity, conservation and sustainable use into production landscapes, seascapes and sectors. In particular, the project will directly contribute to this Objective's Outcome 2.1: Increase in

[6] Revised at MTR to 14,000 ha according to the established ESA concept by that time

sustainably managed landscapes and seascapes that integrate and will be aligned to the core Output 2. National and sub-national land-use plans (number) that incorporate biodiversity and ecosystem services valuation.

The project will also complement the activities under the National Action Program (NAP) for combatting land degradation in Sri Lanka which has been planned under the guidance of UNCCD and promotes use and conservation of biodiversity as a means of improving the degraded lands. The project will also contribute to meeting Sri Lanka's obligations as a signatory to the United Nations Convention on Biological Diversity, particularly to several Aichi Biodiversity Targets, including targets 1, 2, 4 under Strategic Goal A, targets 5,7, 10 under Strategic Goal B, targets 11, 12 under Strategic Goal C, and target 14 under Strategic Goal D.

The project was designed in line with UNDP's Strategic Plan (2014-2017), with UNDP's Biodiversity and Ecosystems Global Framework (2012-2020)'s, and with Sri Lanka's UNDAF Outcome 4 "Policies, programmes and capacities to ensure environmental sustainability, address climate change mitigation and adaptation, and to reduce disaster risks in place at national, sub-national and community levels."

Stakeholders

The project was designed with active participation of key national stakeholders and implemented with a large number of stakeholders on all levels.

The Ministry of Environment (MoE)[7] is the implementing agency under NIM modality[8], with project coordination under its Environment, Planning & Economics Division (EPE). Within the ministry, key stakeholders also include the Biodiversity Secretariat (BDS), Forest Department (FD), Department of Wildlife Conservation (DWC), and the Central Environment Authority (CEA). Other national level stakeholders include the Department of Agrarian Development (DoAD), Sri Lanka Tourism Development Authority (SLTDA), Coast Conservation Department (CCD), National Physical Planning Department (NPPD), Mahaweli Authority of Sri Lanka (MASL).

At local government levels, key stakeholders are the Provincial Departments of Agriculture (PDOA - – North Central Province and North Western Province)), Provincial Irrigation Department (PID – North Central Province and North Western Province) Wayamba Development Authority of Sri Lanka (WDA), District Secretariat (Anuradhapura & Puttalam), Divisional Secretariat (Ipalogama/ Galnewa/ Wanathawilluwa). For planning at local level, project design had also identified stakeholders such as the Local Authorities (Pradeshiya Sabha), Archaeology Department, Road Development Authority. Stakeholders involved in co-management planning of the ESA sites Gangewadiya, Manewa Kanda and Kala Oya Riverine ESA, for which co-management plans are completed, are listed in Annex 11. Villu ESA and Wewel Kelley ESA have developed action plans, rather than Co-management plans.

Project Duration and Milestones

The project "Enhancing Biodiversity Conservation and Sustenance of Ecosystem services in Environmentally Sensitive Areas" (PIMS 5165), started in 2015, with an originally planned implementation

7 Named "Ministry of Mahaweli Development and Environment" at Project Design stage

8 Changed to Assisted NIM in 2020

period from 10/2015 to 09/2020. The project was extended (no-cost) for one year until October 2021. While the pandemic had caused some delays in implementation, the main reason for the extension was that the development of stakeholder consensus and the evolution and establishment of the ESA concept itself took three years.

In order to provide enough time to develop the policy framework based on the experiences in establishing ESAs and developing co-management structures and plans, to monitor ecosystem changes and to complete activities to required standards and formulate lessons learnt, the MTR (end 2018) had recommended to consider an extension, which was granted in 2020.

4. Findings

4.1. Project Design/Formulation

Project Logic, Strategy and Revisions to Results Framework

Based on the key threats and barriers outlined above, the overall project logic and formulated objectives were justified, namely to define a governance framework and a coordination mechanism to manage ESAs, to define roles and responsibilities of relevant national and local authorities and actors in the management of ESAs, to secure the long-term integrity and resilience of critical habitats by integrating biodiversity conservation objectives into production sector operations by declaring areas of high biodiversity as "no go" areas for development, engaging local communities and private sector partners in adopting biodiversity compatible production practices and measures, and by monitoring and enforcing compliance. Two project components, one with policy outcomes and one to pilot ESAs and support sustainable livelihood strategies on the ground, in two project areas, likewise reflected a logical overall design.

Challenges in the design, however, were to come to light in the first years of project implementation. There was a lack of clarity as the project design referred to both landscape approach and ESA concept, and there was ambiguity as to whether landscape and ESA were the same or whether ESA is a tool within landscape management. Although there was broad stakeholder consultation during design, a consensus was not achieved on an ESA concept as there was no evidence in-country for the validity of the approach or to serve as a model. This led to the project in the early years working in two PAs (as prescribed by the results framework) instead of in production landscapes.

Also, project design did not foresee the length of time it would take to reach agreement among stakeholders on an ESA concept, and the processes required for ESA planning and management. Already during the inception workshop (2016) an additional indicator "Collaborative mechanisms for ESA management is identified" had been proposed, recognizing that collaboration for developing ESAs will be hindered by complexity of institutional roles, and interests at national, provincial, district and local levels. As GEF procedures do not permit changes to Project Objective level indicators, this could not be carried forward as a revision to the results framework.

Revisions to the results framework of the project design were made following the internal and external sessions of the Inception Workshop in late January 2016 that recommended to a) review and revise the

figures of baseline and expected targets of biodiversity enhancement, b) define quantifiable targets for relevant biodiversity values with Expert Committee of Biodiversity Technical Groups.

Other revisions at inception included adjusting end of project targets such as reducing the number of approved annual work plans for pilot ESAs from 10 to 8, measuring capacity changes of the consortium of institutions to promote and manage effective ESAs rather than only the capacity changes in the Biodiversity Secretariat, and specifying targets (ha) for integrating Wilpattu National Park, Kahalle Pallekele, Ritigala, and Bar Reef Protected Areas with wider landscapes/seascapes.

While the project undertook the planned activities (and achieved the targets) under the landscape/PA approach option, it also continued to facilitate stakeholder consultations on ESA concept development and engaged experts to define technical and institutional aspects and design guidance and training resources. This process also provided more guidance for the approach to facilitating community participation and support for ESAs. Although the project design described a participatory approach, focusing on co-management committees (Local Planning Committee, District Facilitation Committee), it did not provide the project team with the full strategy for bottom-up planning, to start with a focus on selected local sites at village level and to thoroughly facilitate participatory analysis and planning to generate ownership within the community, and to target the community level rather than individual beneficiaries.

By mid-term the ESA concept was finally agreed, and in order to generate effective community participation the size of areas to be declared as ESAs was a much smaller scale than originally envisioned. Therefore, the target of 200,000 ha under ESA management was revised to some 14,000 ha as this was deemed more realistic considering the newly defined ESA concept and the challenges related to the complex institutional setting and the length of participatory planning processes.

The MTR had also emphasized that it was more practical and useful to first implement an ESA, after the concept was agreed, and then develop the governance framework based on the experience made and lessons learnt through implementation and stakeholder participation at all levels. This strategy was followed, resulting in the completion of the ESA policy framework later than envisioned in the initial project design, however grounded in practical experiences of implementation by local stakeholders. Also, the project's communication strategy, that was being implemented by the Central Environmental Agency (CEA) was recommended to be revised in the MTR and this was done by by IUCN as service provider.

Indicators of the results framework as determined by biodiversity experts were by design SMART (Specific, Measurable, Attributable, Relevant, timebound, timely, trackable, targeted). The selection of population size of four globally threatened species as an objective level indicator might seem questionable at first sight without resource allocation for field surveys on these species; however, the project has collated extensive data based on external research, on the records of citizen scientists instructed by experts on monitoring, and on observations by local community members, tour operators amounting to meaningful information for evaluation.

In summary, the fundamental logic of the project design was sound, but still required to be revisited and this then changed the implementation activities on the ground. It also meant the overall strategy needed adjustments in terms of time frame and sequence of activities, i.e. piloting an innovation like the ESA concept before developing policy and governance framework, and allowing the time it takes to develop stakeholder consensus in a complex institutional setting.

The project's theory of change (ToC) illustrates the overall project logic and confirms its validity. The ToC was formulated in detail first during inception (January 2016) through a consultative process with the stakeholders, an exercise that also served to increase understanding of project details. The ToC describes the pathways to the intended outcomes, linking the interventions on ground level to the expected results, which in turn contribute to achieve the outputs and outcomes. The ToC was revisited and updated in November 2019 to reflect the revisions after the MTR, namely that the ESA concept first be piloted in the project areas, and the policy and strategy be developed based on the implementation experience. The Toc is included as Annex 10.

Broader Development Impacts, Gender Equality and Womens' Empowerment

The project design intended "catalytic and sustainable mechanisms to mobilize national and local actions by production sectors and other stakeholders to overcome existing barriers and introduce new strategies and technologies that will improve the condition of natural resources and increase the stability, integrity and productivity at environmentally sensitive areas", thereby conserving global biodiversity values, and to promote a participatory natural resource planning and management strategy, involving stakeholders from different government sectors, community level institutions, and the private sector in a systematic way through land use planning."

Project interventions were designed to promote soil and water conservation, increase ecosystem services and products from sustainable forest management, improve capacities and linkages of and between national and local level, and mitigate human-wildlife conflicts. It was thus to create a multitude of benefits for local communities, such as improved productivity of agricultural lands through better land and water management including maintenance and conservation of water sources (tanks, and river and stream bank conservation), better management of vegetation cover and soil, conversion to organic farming and integrated pest management. Project design planned support for forest products for communities through restoration and sustainable use of forests, maintenance and restoration of mangroves and other coastal ecosystems to enhance conditions for local fisher households and develop sustainable tourism activities with coastal communities.

It could be argued though that the design, while planning for interventions with community benefits and recognizing that local communities will play a crucial role to achieve and sustain outcomes, still lacked detail in socio-economic analysis and in planning M&E with indicators other than biodiversity. It has been pointed out that while the project design described the barriers regarding the lack of a governance framework and of ESA models in-country as outlined above, it did not detail the varied "relationship of community and the environment"[9] and "that the Project has been developed primarily with the aim of the establishment of ESA related mechanism and practices, based on the knowledge on sectoral expertise, but there was no data support for where, when, why and how community relates to environmental degradation"

Project design covers gender inequality, referring to persisting gender discrimination and male domination in social, economic and political spheres, particularly in rural areas with "discrimination against women in terms of land rights, ownership, and inheritance and limits their access to employment,

9 Report of the Study on Gender and Social Inclusiveness in the Project of Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas, UNDP 2017

resources or loans as well as in decision making related to local development." Project design suggests "that women at project sites require particular attention to build their self-confidence in order for them to take leadership roles and to participate in local level decision making processes, special attention will be given on their capacity building, and alliance building with other women/ women's groups."

The Environmental and Social Screening identified risks of low involvement of women and other marginalized groups under several proposed project activities and suggested some approaches to ensure that equitable number of women and men are involved in project activities and that women are not further marginalized by project actions. The report on gender equity and social inclusion commissioned by the project in 2017 however notes that because the project "rationale is silent on the relationship of community and the environment, the project does not show its commitment of gender and social inclusion."

Assumptions and Risks

Consultations and studies during the project preparation identified several risks related to complexity of institutional roles and interests at all government levels, lack of support for policy and regulatory framework for ESA, lack of local community support for ESA for fear/misconception of losing access to resources, climate change impacts counteracting project results. Further risks were described in the Environmental and Social Screening Summary. These included further marginalization of women if they don't participate effectively in the ESA committees, neglecting of resource users who are not resident within ESA, increased resource pressure outside ESAs, ESA finance increases (tax) burden on locals/finance for BD conservation impacts social development funding, improved PA management increases hardship for poor households as resource users and increase human wildlife conflicts, and elite capture of project support by better off farmers (with larger paddy fields).

Further risks and possible mitigation measures on environmental and social aspects have been noted the Environmental and Social Screening Summary. They include risks of low involvement of women and other marginalized groups under several proposed project activities and has suggested some approaches to ensure that equitable number of women and men are involved in project activities and that women are not further marginalized by project actions. The design also points to the need that project activities consider climate change impacts and addresses the local context. Relevant activities are not only to support resilience to predicted climate change impacts, such as selection of species for restoration that are more resilient to fluctuations in temperatures and water availability. Rather, they are to support and safeguard ecosystem services in the context of climate change impacts, particularly on water provision, given the likely seasonal availabilities.

Lessons from other relevant Projects

Project design has incorporated lessons from other projects in the same GEF focal area. Lessons learnt under the UNDP-GEF "Strengthening capacity to control the introduction and spread of alien invasive species in Sri Lanka" project in the process and principles in developing national regulatory frameworks and setting institutional coordination mechanisms will inform the delivery of similar results under the proposed project. The GEF-UNDP SGP programme, which has been operational in Sri Lanka since 1994, is noted as opportunity for lessons learnt in mobilizing local communities for community-based natural resource management activities under the project. For its planned efforts in strengthening the extension system, the design notes available lessons from the UNEP/GEF project on "Mainstreaming

agrobiodiversity conservation and use in Sri Lankan agroecosystems for livelihoods and adaptation to climate change". Apart from GEF financed projects, also the IUCN/DFID “Improving Natural Resource Governance for Rural Poverty Reduction” project offers relevant lessons.

Linkages between Project and other Interventions within the Sector

Project design prescribed coordination with a number of GEF financed projects including a) GEF-UNDP project “National Biodiversity Planning to Support the implementation of the CBD 2011-2020 Strategic Plan in Sri Lanka”, b) FAO-GEF :Rehabilitation of Degraded Agricultural Lands in Kandy, Badulla and Nuwara Eliya Districts of the Central Highlands, c) UNDP-GEF: Ensuring Global Environmental Concerns and Best Practices Mainstreamed in the Post-Conflict Rapid Development Process of Sri Lanka Through Improved Information Management, d) UNDPSCCF: Strengthening the Resilience of Post Conflict Recovery and Development to Climate Change Risks in Sri Lanka, e) UNEP-GEF:Global: Enhancing the Conservation Effectiveness of Seagrass Ecosystems Supporting Globally Significant Populations of Dugong Across the Indian and Pacific Ocean Basins, f) UNEP GEF Global: Mainstreaming Biodiversity Conservation and Sustainable Use for Improved Human Nutrition and Well-being. The project was also to coordinate with the UNREDD project.

National guidelines on how to integrate biodiversity conservation into sectoral plans and actions (result 8) were to consider global approaches and guidelines such as GIZ’s methodology for the Integration of Ecosystem Services into Development Planning and ecosystem valuation from The Economics of Ecosystems and Biodiversity (TEEB).

Planned Stakeholder Participation

Project design was based on a comprehensive stakeholder analysis, and the finalization of the design during inception involved all stakeholders on national and local level.
In preparation of the Inception Workshop (December 2015) key stakeholders at provincial, district and local levels in the two project area districts of Anuradhapura and Puttalam including Divisional Secretaries of the concerned divisions and participants representing the provincial and district authorities, LUPPD, DFC, DWC, Agriculture, Environment Authority, CCD, Marine Environment Authority and NAQDA took part in two meetings for familiarization with the project design and discussions on pre-implementation arrangements.

For land use planning at the project sites, the design took into consideration all stakeholders including: Mahaweli Authority of Sri Lanka, Divisional Secretariat, Forest Department), Department of Wildlife, Pradeshiya Sabha, Archaeology Department, Provincial Department of Agriculture, Irrigation Department, Department of Agrarian Development, Road Development Authority, Coast Conservation and Coastal Resource Management Department, Marine environment protection Authority, Land Use Planning and Policy Department, Central Environment Authority, Farmer organizations, North Western Provincial Environment Authority.

Project design also described in detail the institutional arrangements for ESA Management from national to local level, including National Steering Committee, District Facilitation Committees and Local Management Committees as well as “champion agencies” at each level.

4.2 Project Implementation

Adaptive Management

With the ESA concept[10] piloted by the project being a new approach in Sri Lanka, it was important to facilitate the required process among stakeholders to reach consensus, and allow sufficient time that such a process needs. The adjustment in approach and activities along this consensus building was an exemplary practice in adaptive management by the project in order to develop an ESA concept in the country context, largely with existing systems and institutions.

The understanding of ESA at project start was more that of a landscape approach with formally declared protected areas integrated in the first project phase. By 2017, the project team had supported the Department of Wildlife Conservation to develop a Strategic Management Framework for Wilpattu Protected Area Complex, prepared a management plan for Kahalla-Pallekele sanctuary and conducted a systematic survey in the Bar Reef to develop coordinated management interventions. While these activities were not in line with what was to emerge as the ESA concept, the project team addressed them as part of the results framework in the original project design anyway while at the same time facilitating the processes of ESA concept development and policy formulation.

By 2018, a technical and institutional paper, outlining an 8 Step process for identification and the institutional framework for management of ESAs had been developed for discussion, and by end 2018, the MTR recommended to not proceed with policy formation until ESA models had been piloted as a basis for policy development. The project followed suite, and still underwent several stages of defining ESAs, finally arriving at a much smaller scale than the original clusters that ranged across several divisional secretariats. The process of narrowing down ESA identification was guided by biodiversity criteria set by experts, and the smaller scale was also more accommodating to applying participatory planning processes with the local community (at village level). Discussions at DFC, LMC and other local meetings facilitated by the project were instrumental in this decision making process.

The MTR (late 2018) had proposed an extension at no cost for 1 year; the Project Board approved the extension request to October 30, 2021 which was granted by GEF Secretariat in 2020. Despite extension the project implementation faced challenges as the pandemic had set in, particularly in tourism related implementation activities and in capacity building and awareness raising/sharing lessons learnt for the critical ESA scale up phase. The project responded with transferring certain activities (meetings/trainings) to online in order to continue towards targets. Zoom meetings were used as a communication tool in addition to frequent telecons, and skype meetings among government stakeholders.

Actual Stakeholder Participation and Partnership Arrangements

From 2015 onwards, the project established national level, district level and divisional level platforms to closely engage with primary and secondary stakeholders identified during PIF and formulation stage, and

10 The ESA concept piloted by the project is to be distinguished from the ESA model that has been implemented by the Central Environment Authority. Annex 12 provides background information on the two ESA concepts, and on EPA (Environmental Protection Area).

in addition engaged with further local stakeholders as appropriate at different sites throughout project implementation.

The project undertook extensive consultations in order to develop consensus on the ESA concept in the early phase and formulate the ESA policy in the later stage. Stakeholders like the Forest Department and the Department of Wildlife Conservation viewed ESAs as within PAs, while other stakeholders like the Departments of Agriculture, Irrigation, and Road Development had no experience, or mandate, in biodiversity conservation. The project faced a considerable challenge to build consensus on an ESA Policy and strategy and establish intersectoral collaboration for a co-management of ESAs. This was especially difficult when there were opposing ideas between community and state actor on what can be done or how it should be used. Also as there was lack of trust between these actors, thus time was needed to negotiate and find suitable options.

By 2017, the project had established an intersectoral National ESA Committee (NEASC), District Facilitation Committees (DFCs) and Local Management Committees (LMC) to facilitate implementation of the project. As the policy formulation was put on hold in 2018, the national level committee did not become active. District Facilitation Committees, headed by the District Secretary, provided oversight to ESA planning and implementation in Anuradapura and Puttalam districts. Local Management Committees established for the ESA sites were guided by the Divisional Secretary, as chairman or convener, and other divisional level stakeholders and institutions that have jurisdiction with the ESA. Feed-back from local KIs suggests that community involvement was more at the implementation stage of the actions plans rather than in the actual planning.

Key informants consulted by the TE team on local level commended the project for good practices in establishing integrated committees, which were seen as a key success factor to developing land-use plans that are both in line with project objectives and practical to implement. They also recognized the effective effort by the project team in coordination and developing stakeholder collaboration.

Following the 2018 MTR recommendations, the project revised its outreach program to enhance stakeholder engagement and common understanding of the ESA concept, raise public awareness and deliver community mobilization activities mindful of not creating unrealistic expectations. To this end, the project formed a partnership with IUCN to collaborate on updating the communication strategy. Communication and advocacy products were used to improve stakeholder comprehension and institutionalized capacity building and strengthened stakeholders to actively engage in identifying and managing ESAs. EFL a local advocacy group also supported IUCN with awareness creation.

By 2019, the project had built further momentum and created new partnerships while strengthening those already existing. In addition to stakeholders identified at project formulation, as the project began taking shape the following institutions became primary project partners: Department of Archaeology, Department of Agrarian Development, Sri Lanka Tourism Board, Provincial Department of Irrigation, North Central Provincial Council & North Western Provincial Council, Pradeshiya Sabha of pilot Divisions, National Aquatic Development Authority, Sri Lanka Institute of Development Administration, Wayamba Development Authority.

The Department of Agrarian Services took the initiative to identify Villu as ESAs and took measures in surveying and demarcation of Villus, and the Department of Archaeology came forward to conserve biodiversity in their proposed archaeological sites and facilitated Department of Forest to practice Eco-

Park concept within lands managed by Archaeology Department through a tripartite agreement between the community, Forest Department and Department of Archaeology.

Partnerships with secondary stakeholders included academic institutions, civil society, private sector and other government entities. Regional universities such as Rajarata University and Wayamba University collaborated in piloting ESAs, national level CSOs (CEJ & EFL) were actively engaged in consultations assuring that equity principles and civil society interest are reflected in ESA management. The Ocean Resource Conservation Association led community driven conservation measures at Bar Reef Marine Sanctuary and sea scape.

In partnership with the Wayamba Development Authority the project facilitated Gangewadiya ESA as a sustainable tourism destination under GSTC (Global Sustainable Tourism Certificate) accreditation and established links with SLTDA, GIZ and MAS under the sustainability plan for the ESA. The partnership facilitated among *Wanathawilluwa* Divisional Secretariat and the State Ministry of Cane, Brass, Clay, Furniture and Rural Industry Promotion lead to the establishment of the country's first Shilpa Sabha (Crafts Council) at Wewalkale ESA.

Institutionalization of the ESA concept into development policy and planning practices is supported through course modules at SLIDA, MoE, LUPPD & Wayamba University. Capacity building during the TE as well as national level coordination was limited to virtual due to the COVID-19 pandemic and related restrictions.

In the more recent stages, as the ESA policy and National scaleup plan have become available, the project reports (during the TE) that “all government departments started to engage fully and willingly.” At the same time, after the departure of key individuals who had championed the ESA concept in their institutions, the Ministry of Environment was in the process of re-establishing the National level coordinating body to lead policy implementation across agencies.

Project Finance and Co-finance

Key financing amounts were: GEF Grant USD 2,626,690, Co-financing, USD 16,650,000 (Government of Sri Lanka 10,150,000; UNDP 6,500,000) and PPG USD 100,000.
As per the latest PIR of 12.08.2021, the cumulative delivery rate against the total approved amount according to ProDoc, and against the expected delivery rate for 2021 was 85.68 %. The cumulative disbursement as of June 30, 2021 was USD 2,250,428 and reported as “mostly on track since UNDP took over procurement support of 90% of the project since October 2020”.

Following the granting of a no-cost extension for one year in 2020, the 8th Project Board Meeting (15.10.2020) re-allocated funds so as to adjust them across 2020 and 2021. This, and further previous eight budget revisions are documented as approved by the UNDP RR and the Secretary of the MoE, with the exception of revision F (2018) which was not signed by UNDP.

The project implementation modality changed from full NIM to Assisted NIM in 2020. The proportion of Assistance increased over time, with revised budget allocation between MoE & UNDP in 2020 being 22% and 78% respectively, and (according to the 2021 AWP) it was 19% and 81% respectively in 2021.

Based on the documentation provided to TE team, UNDP project management demonstrated due diligence in the management of funds including the commissioning of audits.

Co-Financing

Co-financing (type/source)	UNDP financing (US$m)		Government (US$m)		Partner Agency (US$m)		Total (US$m)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
In-kind support	6,500,000.00	6,500,000.00	10,150,000.00	6,154,333.36			16,650,000.00	12,654,333.36
Other								
Totals	6,500,000.00	6,500,000.00	10,150,000.00	6,154,333.36			16,650,000.00	12,654,333.36

Sources of Co-Financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (US$)
Select one: • *GEF Agency* • *Donor Agency* • *Recipient Country Gov't* • *Private Sector* • *Civil Society Organization* • *Beneficiaries* • *Other*		*Select one:* • *Grant* • *Loan* • *Equity Investment* • *Public Investment* • *Guarantee* • *In-Kind* • *Other*	*Select one:* • *Investment mobilized** • *Recurrent expenditure***	
Other (Implementing Entity)	United Nations Development Programme	In-Kind	Investment mobilized	6,500,000.00
Recipient Country Govt	Ministry of Environment	In-Kind	Investment mobilized & Re-current expenditure	5,929,293.42
Recipient Country Govt	District Secretariat Anuradhapura	In-Kind	Re-current expenditure	8,375.97
Recipient Country Govt	District Secretariat Puttalam	In-Kind	Re-current expenditure	17,774.29
Recipient Country Govt	Divisional Secretariat Galnewa	In-Kind	Re-current expenditure	2,823.65
Recipient Country Govt	Divisional Secretariat Ipalogama	In-Kind	Re-current expenditure	7,079.15
Recipient Country Govt	Divisional	In-Kind	Re-current	9,604.87

	Secretariat Wanathawilluwa		expenditure	
Recipient Country Govt	Forest Department	In-Kind	Re-current expenditure	2,834.58
Recipient Country Govt	Provincial Department of Agriculture NWP	In-Kind	Re-current expenditure	5,333.34
Recipient Country Govt	Land Use Policy Planning Department	In-Kind		155,278.15
Recipient Country Govt	Wayamba Development Authority	In-Kind	Re-current expenditure	15,935.94
Total Co-Financing				12,654,333.36

Clarity in the reported co-financing to substantiate in-kind and cash co-financing from all listed sources: The letters submitted by the Government agencies to report the co-financing amounts referred to the respective interventions and amounts allocated on an annual basis. They indicated in-kind/ cash contributions based on co-financing mode. UNDP has referred to sources of programmes, the respective durations and co-financing contribution of each programme. The co-financing was administered by Project Management Unit.

At time of finalizing TE report, 6,154,333.36 USD was reported as government co-financing, however DWC, DAD & MASL actual co-financing was yet to be received. MoE was in the process of following up.

Reasons for differences in the level of expected and actual co-financing: The difference in expected and actual co-financing arose from the Government contribution. The reason for difference is due to delay in obtaining the actual co-financing data from the Department of Wildlife Conservation, Department of Agrarian Development and Mahaweli Authority of Sri Lanka. Due to the Covid-19 situation, travel restrictions and lockdowns, government officials were unable to access these data and some funding sources of consolidated government funds had reprogrammed for Covid -19 subsidies considering the socio-economic crisis the citizens were facing with continued lockdown of the country.

Effect on project outcomes and/or sustainability from the extent of materialization of co- financing:

The co-financing materialization was effective in achieving project outcomes since it was instrumental in meeting the funding gaps in implementing project interventions leading to project results and co-management plans of pilot ESAs. Further, it was vital in scaling up of the successful models. The contribution of stakeholder strengthened the feeling of ownership and this led to establishing sustainability plans of respective ESAs in pilot sites.

Evidence of additional, leveraged resources that have been committed as a result of the project. Leveraged resources can be financial or in-kind and may be from other donors, NGOs, foundations, governments, communities or the private sector: ESA Co-management plans with financial plans.

ESA	Funds for Biodiversity-friendly management activities (USD)	Investments and co-financing commitments (USD)
Manawa Kanda	24,603.00	76,803.00
Riverine	33,994.00	9,050.00
Gangewadiya	96,613.00	126,704.00
Villu	10,335.00	39,000.00
Wevalkale	11,481.00	33,835.00
Galnewa		10,000.00
Pest management control across all ESAs	13,276.00	

Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)

Project design outlined a Monitoring and Evaluation plan detailing M&E activities and outputs, responsible parties, budget and time frame. The plan reflects all GEF and UNDP requirements and responsibilities. It refers to the necessary finalization/revision of the results framework during the inception workshop. Revisions to the results framework have been discussed in section 4.1.

Project design defined outcomes 1 and 2, and outputs 1 to 4. It would have been more practical to refer to output 1.1, 1.2 and 2.1., 2.2. to assign them to specific outcomes and to make the results framework more user-friendly. The 15 results formulated to contribute to outputs vary in the type of language used to describe them, and some could have been indicators.

The results framework at design did not include indicators to capture broader development impacts such as income generation, and did not have gender disaggregated indicators and targets. However, later project reporting was diligent on gender-disaggregated results and reflects the many benefits generated with and for communities. After the analysis of gender and social inclusiveness in the project was undertaken in 2017, numerous activities were designed and implemented to re-orient the project to address gender equality and womens' empowerment, and data on participation and benefits is reported gender disaggregated in the PIRs.

Gender indicators were not added to the results framework included in the PIR, but appeared in the internal project/UNDP systems, including "Community engagement in managing ESAs, particularly women", "Extent of the incorporation of knowledge on different uses of natural resources by men and women in ESA Management", and "Number of men and women engaged in social enterprises receiving support of the project"

The result framework at design is in line with GEF requirements; however its lack of output level indicators created a need for further indicators to track project implementation progress and plan forward. Therefore project management used the M&E framework introduced in 2019 with the Critical Result Pathway Tool (CRPT) as a quality assurance mechanism by UNDP to monitor progress on a quarterly basis. This system consisted of 32 indicators, including an additional objective indicator that stakeholders had recommended at inception. The M&E system used by the project to report on implementation progress (in the PIRs) is therefore indeed much more detailed than the ProDoc results framework. The 2 sets of indicators are attached as Annex 14. MTR had commented that M&E needs to be more systematized; at TE, progress reporting based on comprehensive set of indicators was at a high standard.

Included in the comprehensive documentation made available to the TE were all reports and documents required according to the M&E plan. At the time of TE, the Project Terminal Report (PTR) was still under preparation. The Project Board held nine meetings throughout the project implementation. The most recent one at time of TE dated 04.03.2021 when the oversight body discussed key issues of the final AWPB, ESA policy, strategy and Scale-up plan, sustainability of project interventions after project closure and the expedited implementation arrangements/challenges foreseen and terminal evaluation.

The rating for M&E at entry, during implementation and overall is shown in the table to the right. 11

Monitoring & Evaluation (M&E)	Rating
M&E design at entry	Moderately satisfactory
M&E Plan Implementation	Satisfactory
Overall Quality of M&E	Satisfactory

UNDP implementation/oversight (*), Implementing Partner execution (*) and overall assessment of implementation/oversight and execution (*)

Based on all records documenting procedures, standards, safeguards, and key events pertaining to project initiation, formulation and implementation/oversight, UNDP support is to be assessed as of a high standard. This notion was confirmed in discussions of the TE with project team, implementing partner and other stakeholders.

Frequent field visits by the project manager/technical coordinator are documented in “Back to Office Reports”, illustrate that project management had detailed understanding of local issues as a basis for decision making, and promoted close collaboration with stakeholders and other development partners. Likewise, UNDP CO staff undertook field visits to get first-hand knowledge of implementation and challenges, interact with stakeholders, and to ensure field staff were working under safe conditions during the pandemic.

11 Rating scales in Annex 1

Local stakeholders in the project areas spoke highly of the quality and quantity of the coordination and other support activities of project field staff and management. The implementation of the project in the face of initially weak conceptual clarity, with a very complex set of activities to undertake, and in the final years under the conditions of the pandemic was a major challenge. The achievements and in some cases overachievements of targets are testimony to outstanding competence, both technically and managerial, diligence and commitment of project team leadership.

For technical guidance, the consortium committee comprised of direct technical partners met frequently in the absence of inter-sectoral National ESA Committee to discuss the ESA concept and to guide project implementation at pilot ESAs.

Implementation by the Implementing Partner (MoE) faced challenges related to several changes of the project director. Due to the high workload of IP staff, delays occurred, for example in acting on decisions approved by the Project Board. Further delays in implementation were caused by restrictions due to the pandemic, which significantly impacted activities in capacity building, ground truthing for scale up and policy dialogue. The IP has taken full ownership of the ESA concept and leadership in the policy and strategy development. The IP is promoting the ESA concept and practices developed under the project for application in formerly “other state forest” lands that in 2020 were released by the government for development purposes. Ratings12 for implementation/oversight and execution are provided in the table below.

Risk Management

The Environmental and Social Screening (ESSP) procedure determined the project as category 3 a13, listing as risks further marginalization of women, disadvantages to local community through restricted access to resources or tax burdens related to ESA establishment. Other risks defined during project

UNDP Implementation/Oversight & Implementing Partner Execution	Rating
Quality of UNDP Implementation/Oversight	Highly Satisfactory
Quality of Implementing Partner Execution	Satisfactory
Overall quality of Implementation/Oversight and Execution	Highly Satisfactory

formulation were pertaining to the complexity of institutional roles and interests at all government levels, lack of support for policy and regulatory framework for ESA, lack of local community support. More detail

12 Rating scale in Annex 1

13 Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment

was provided in section 4.1. UNDP CO emphasized the need to maintain a risk log for effective management at the first project board meeting (26/02/2016); the ToC workshop several months thereafter established the risk log; the updated M&E framework (10/11/2019) reflects the inclusion of implementation risks for each indicator.

Based on assessments reported in the PIRs, the projects SESP categorization did not change, and social and/or environmental risks did not become more severe. The project did not receive any complaints related to social and/or environmental impacts (actual or potential).

During inception, possible mitigation measures were identified for risks relating to 12 indicators (Annex 11, Inception Report). They focus on measures to ensure consultation mechanisms are inclusive, that women participate and benefit, that local government finance in support of ESA/project activities is additional and not diminishing resources for socio-economic community support, developing of a robust human and wildlife conflict mechanism and alternative livelihood strategies, and considering off-site resource users. With regard to climate change impacts, risk management was to not only build resilience but to support and safeguard ecosystem services in the context of climate change impacts, particularly on water provision.

In 2017, risk was rated “moderate”, based on the complexity of institutional roles, and interests at national, provincial, district and local levels. To manage this critical risk, the project constituted an inter-sectoral National ESA Committee. In 2018, the project identified as risk that stakeholders would misunderstand ESA as another PA category and oppose, and as measures enhanced stakeholder engagement and dialogue.

The risks related to lack of stakeholder support on all levels have been addressed throughout the project, with the adjustment of participatory planning processes to village level, coordination among local stakeholders to create the LMC and DFC and strengthen their work, and extensive national stakeholder engagement, particularly from 2018 onwards in consolidating the ESA concept and developing the policy framework. Womens’ participation in all activities and at all levels has been promoted according to the gender action plan developed in 2017. The project’s support to rehabilitating cascade systems was an important measure to address climate change impacts regarding water provision. Local level risks/threats and mitigation were addressed in detail and in a participatory process in workshops on biodiversity assessments as part of identifying ESAs and developing management regimes, such as a the workshop on Biodiversity Cluster (Terrestrial & Water), 8th August 2019, Puttalam.

Several unforeseen risks to achieving objectives occurred, a maritime disaster and the Covid-19 pandemic. Responses by project management to the pandemic and related restrictions are covered under in the sections on adaptive management, and effectiveness. With the MV X-Press Pearl Maritime disaster in May 2021, large quantities of chemicals were released to the sea and reached the seascape of project areas, posing a potential risk to marine species. At TE time, impacts of the disaster were yet to be assessed, however no deaths of Sousa chinensis or Dugong dugong (identified species of objective indicators) had been observed to date. The risk was duly reported in the relevant sections of the PIR (2021).

4.3 Project Results

Progress towards Objective and Expected Outcomes (*)

Progress towards project objectives has been documented in the table below and each indicator has been assessed. In summary:

- The project objective has been exceeded, with 5.5 % of Sri Lanka's land area identified for ESA designation (against the 5 % target)
- Outcome 1 is on track to be achieved before project closure
- Outcome 2 has been exceeded

Project Objective: To operationalize Environment Sensitive Areas (ESAs) as a mechanism for mainstreaming biodiversity management into development in areas of high conservation significance	
Indicator 1	% of land area identified nationally for Environmentally Sensitive Area designation
Baseline	0 %
End of Project Target	At least 5% (328,050 ha) of Sri Lanka's land area
Within the project area, the Kala Oya Basin, **33,341 ha** of lands have been identified as ESAs. These include a) 11,159 ha of land within the Wanathawilluwa Divisional Secretariat Division (DSD) (i.e. **Gangewadiya ESA**, Villu ESA, Wewalkale ESA); b) 800 ha of land area within the Ipalogama DSD (i.e. **Manawekanda ESA & Riverine ESA**), c) 6137 ha of land area in Galnewa DSD (i.e.Habarawatta, Kandegama, Medawachchiya Wewa, Kumbuk wewa, Siyambalawa and Musnewa); 3175 ha of land area in Palagala DSD . (i.e. Hinguruwelpitiya, Narangaswewa, Dematagollagama, Morottegama & Ulpathgama), 900 ha of land area in Nochchiyagama DSD. (i.e. Halmillakulama), and 11,170 ha of land area in Karuwalagaswewa DSD. (i.e. Pahala Puliyankulama and Ihala Puliyankulama). The project has also identified **328,000 ha of land area nationwide**, outside the Kala Oya Basin through the ESA scale up plan in partnership with the Wayamba University of Sri Lanka.	
End of Project-Status	**361,341 ha of lands (5.5. %)** within Sri Lanka has been identified nationally as Environmentally Sensitive Area designation **(110% of the target).**
Indicator Assessment	**Exceeded**
Indicator 2	Populations of globally threatened species within Wilpattu and Kala Wewa ESAs
Baseline	Elephas maximus (600), Panthera pardus (113), Sousa chinensis (TBA), Dugong dugon (TBA)
End of Project Target	Annual target; 100% maintenance of reported populations through supporting the enabling policy/legal//institutional framework and threat reduction to the populations.

The indicator is measured by the threat minimization to the habitats of the proposed species. Specific surveys on the species were not carried out (and not planned as project activity), however the assumption that the target was achieved is supported by numerous measures including the co-management plans for ESAs, as well as by secondary resources including rangers logs, independent researchers' findings and trained citizen/community scientists' observations.

Documentations include newspaper articles, https://wilpattu.com and log reports of DWC rangers. As national parks were closed, sightings of panthera pardus with cubs were recorded, a researcher provided photographic evidence of 118 individual leopards in Wilpattu NP (Source: https://www.wilpattu.com/). Sousa chinensis: (tourist guides reported sightings of a group close to the Puttalam lagoon). Dugong dugong: random by-catch data of last 12 months show presence of 11 dugongs in the project area.

The impacts of the maritime disaster of May 2021 (MV X-Press Pearl) when large quantities of chemicals spilled into the sea from the burning vessel MV X-Press Pearl off the coast of Colombo, have not been assessed in detail yet. The spill reached the seascapes of the project area. No deaths of Sousa chinensis or Dugong dugong have been reported to date.

End of Project Status	Co-management in selected ESAs in the landscape and seascape within the Kala Oya region to reduce threats to the targeted populations (co-management in Gangewadiya not fully functional yet) and Wild Animal Human Conflict strategy under implementation 100% maintenance of reported populations likely based on threat minimization measures and secondary sources.
Indicator Assessment	Achieved
Indicator 3	Areas of critical habitats under management within Wilpattu and Kala Wewa ESAs for connectivity and resilience
Baseline	Salt Marsh 250 ha, Mangrove forests 620 ha, Riverine forests 400 ha, Moist Mixed Evergreen Forest 2000 ha, Scrub on floodplains 100 ha
End of Project Target	100% maintenance of 620 ha of Mangrove forests, 400 ha of Riverine Forests: 2000ha of Moist Mixed Ever Green Forests, 250 ha of Salt Marshes and 100 ha of Scrub on flood plains through the interventions taken to minimize threats to these habitats.

Interventions for maintenance of critical habitats/minimizing threats to ecosystems included:
• Preparation and (begin of) implementation of Co-management plans of gangewadiya, Wewalkale, Villu, Manawekanda, and Kala Oya riverine ESAs and habarawatte.
• 250 ha of Salt Marsh and 620 ha of Mangrove forests management is prescribed by Gangewadiya Co-Management Plan.
• 400 ha of Riverine forests are managed according to Gangewadiya ESA (320 ha) & Riverine ESA (80 ha) Co-Management Plan.
• 100 ha of Scrub on flood plains are managed based on Gangewadiya ESA (100 ha) & Villu ESA (46 ha) Co-Management Plan
• **16,239 ha (exceeding target of 2000 ha**) of Moist Mixed Evergreen Forest are managed, through the Wewalkale ESA (47 ha), Manawekanda ESA (700 ha) co management plans and the management plans of 8 forest clusters including in Kadiyangalla, Kanduboda, Kahalla, Nelliyagama, and other locations (15,492 ha).
Specific measures under the Co-management plans to reduce threats to ecosystems include:
• Completing the demarcation of the mangrove forest, development of the monitoring protocol and establishing a joint monitoring center/visitor facilities within 1,000 ha of critical coastal habitats and riverine forests, in line with the validated action plan of the Forest Department on Mangrove Conservation.

• Developing Minimum Standards & Guidelines for tourism within sensitive mangrove, riverine forests and estuary ecosystems. • Lobbying and facilitating a partnership between the Department of Wildlife Conservation and GIZ to adopt and link the ESA guidelines with coastal zone management of the seascape. • Demarcation of the Villu ecosystem across 46 ha and introducing best practices in soil and water management for agriculture to minimize threats on depletion of soil biodiversity, degradation of ecosystem and pollution. • Demarcation of 15,492 ha of forests, in "Kadiyangalla" Kanduboda, Kahalla, Nelliyagama forest clusters, assisting 50 ha of natural regeneration at the Palagala Divisional Secretariat Division, 12 ha of Farmers Woodlots at Kadiyangalla (Ipalogama) and controlling Invasive Alien Species in 2,090 ha in Nelliyagama (Kekirawa).

End of Project Status	The end of project target has been achieved with the 100 % maintenance of the 620 ha of Mangrove Forests, 400 ha of Riverine Forests, 16,239 ha of Moist Mixed Ever Green Forests, 250 ha of Salt Marshes and 100 ha of Scrub on Flood Plains through the interventions taken, namely under ESA co-management, to minimize threats to these habitats.
Indicator Assessment	Exceeded
Assessment of Achieving Objective	Exceeded

Outcome 1: National Enabling Framework Strengthened to Designate and Manage Environmentally Sensitive Areas (ESA	
Outputs 1 and 2: Effective national policies and legal instruments on conservation and sustainable management of ESAs. National stakeholders' capacities to support planning, implementation and monitoring of ESAs (strengthened)	
Indicator 1	Appropriate Policy and legislative mechanisms developed to guide identification, declaration management, conflict mitigation and monitoring of ESAs
Baseline	Environmental Protection Act and several other Acts and policies exist that support biodiversity conservation, (providing the legal basis for ESA, no policy and mechanism to operationalize). Policy on human elephant conflict exists.
End of Project Target	National Policy and Strategy on ESA National ESA Scale Up Plan Updated policy to address human wildlife conflicts
A first draft of a **ESA policy** was prepared in 2017, following a gap analysis of existing policies and laws relevant to biodiversity conservation & sustainable use of natural resources outside Protected Areas in Sri Lanka. After consultations on national and local level, a technical paper was developed to clarify the ESA concept in the country context. Then, a second draft ESA Policy and Strategy was prepared and discussed at the Policy Committee in August 2018. The MTR in September 2018 recommended that the ESA Policy be finalized only after ESAs and their management options had been piloted on the ground so that best practices and lessons learnt can be incorporated into the policy. Accordingly, the policy formulation process resumed in July 2020 with key informant interviews and a dialogue with experts, policy and decision makers, the private sector, CSOs and local communities. A policy brief was developed, and a third version of the ESA Policy was presented in November 2020, enriched with aspects on environmental resilience and equity principles, in national level consultations. Having addressed feedback from these, the ESA Policy was validated and opened for public comments in July 2021.	

Under the policy, "Guidelines on Identification and Management of Environmentally Sensitive Areas" have been drafted by the IP, who has taken full ownership of the ESA concept and leadership in the policy and strategy development. The IP is promoting the ESA concept and practices developed under the project for scale-up nationwide. In particular, the MoE views the scale up of ESAs in formerly "other state forest" (OSF) lands that in 2020 were released by the government for development purposes (November 4th 2020, circular MWFC/1/2020 revoking the circular 5/2001 of August 10th 2001) as a crucial instrument to safeguard conservation values in these areas covering approximately 338,229 ha (about 5% of the island's land mass); while they were not formally designated protected areas, they included areas adjacent to PAs or those with high biodiversity and also are elephant corridors, and thus hold important functions for connectivity and biodiversity conservation. While awaiting cabinet approval of the policy, the IP was lobbying for the ESA concept to be scaled up by development partners and through ongoing/upcoming projects (GEF VI, VII, BioFin, GIZ).

Under the **national ESA scale up plan,** 328, 000 ha of land have been identified for ESA designation, beyond the project area and outside existing Protected Areas. Through partnerships with academic and educational institutions, the project engaged a team of experts in biodiversity and ecosystem services to develop a methodology to identify ESAs. Data was gathered in 1km*1km grids and GIS maps were developed for a series of parameters. The overlay of the specific maps provided the key to identifying ESAs. The extensive data base on biodiversity and ecosystem services is now available to all sector agencies and to the public as a resource for planning. To build capacity for the scale up, online training modules have been developed and launched to enable Land Use Policy Planning Department and the Ministry of Environment. (Wayamba University and LUPPD providing online courses on a) ground truthing and b) ESA identification. MoE e-learning course on ESAs was to go live soon at TE. SLIDA had developed a 16 module ToT course). In-person trainings could not be delivered for the scale up plan due to the pandemic.

In 2018, the project supported the Department of Wildlife Conservation to review the **National Wild Elephant Conservation and Management Policy & Strategy.** The revised version was approved in 2019. As there were no policy directives to address wild animal- human conflicts, the project supported the development of policy directives, and the National Wild Elephant Conservation and Management Policy & Strategy was updated to address compensation and insurance issues of damages done by wild elephants and alternative approaches of human elephant co-existence. The update and policy directives were approved by the Cabinet of Ministers in 2020. The policy directives provided the framework to address species/groups of species and location specific HWC. This achievement also contributes to meeting the Sri Lanka's commitment to biodiversity conservation and the sustainable development goals while recognizing the rights and needs of people as well as animals deemed to cause HWC.

End of Project Status	At time of TE, the "National Policy on Environmentally Sensitive Areas in Sri Lanka" (2021 07 09 DRAFT Version) (Annex 15) had been drafted. Public review/discussion was ongoing including live/online forum from Department of Government Information (Sept. 2, 2021). The policy was awaiting cabinet approval. National scaleup plan was close to completion/on track for operational closure. National Wild Elephant Conservation and Management Policy & Strategy was approved in 2019, update/policy directives to address HWC approved in 2020.
Indicator Assessment	On track to be **achieved** before project operational closure
Indicator 2	Number of inter-sectoral plans approved and financed by cross-sectoral National ESA Committee

Baseline	0
End of Project Target	At least two ESA land use plans At least 10 annual work plans (one for each pilot ESA) approved by national ESA Committee, along with joint policy guidance for ESA management.
4 ESA land use plans (2 in 2019 and 2 in 2020) prepared for Gangewadiya, Manawekanda, Riverine, Wewalkale, Villu ESAs. 10 annual work plans for Gangewadiya, Manawekanda, Riverine, Wewalkale, and Villu ESAs for 2019, 2020, 2021 have been presented to and approved by Local Management Committees (LMC) and District Facilitation Committees (DFC)[14], the relevant governing bodies at divisional and district level for ESA management, respectively. Co-management and annual workplans were discussed and validated at LMCs and with endorsement of DFCs implemented with stakeholders, with the exception of the annual work plan and Co-management Plan of Habarawatte cascade system which due to Covid pandemic related public gathering restrictions was not approved yet.	
End of Project Status	4 ESA land use plans (2 in 2019 and 2 in 2020) prepared for Gangewadiya, Manawekanda, Riverine, Wewalkale, Villu ESAs. 10 annual work plans (2019, 2020, 2021) for Gangewadiya, Manawekanda, Riverine, Wewalkale, Villu ESAs approved by divisional and district level governing bodies for ESA management. Ministry of Environment provided policy guidance. Finances available to implement plans through multiple sources including the GEF grant, Government co-finances, and private sector and community contributions.
Indicator Assessment	on track to be achieved
Indicator 3	Capacity of the Biodiversity Secretariat to act as the national lead agency to promote effective ESA implementation
Baseline	UNDP Capacity Scorecard[15]
End of Project Target	20% increase in capacity scorecard from baseline
Capacity building activities and achievements since mid-term include: **2018** - Capacity Needs Assessment recommended by MTR once the ESA concept and management was established. **2019** - Capacity assessment was undertaken and ESA Operational Manual/ Resource Book developed. **2020** - training session plans developed based on the ESA Resource Book for different target groups in government, non- government and community stakeholders; partnership with the Sri Lanka Institute of Development Administration (SLIDA) to institutionalize the ESA capacity building process. Development and delivery (ToT) of training modules for ESA identification, planning, management, and monitoring processes targeting Divisional Administration and Local Governments. **2021** - Resource Book translated into local languages and printed. Online training options were developed including, a) e-Learning Platform in the Learning Management System of Wayamba University of Sri Lanka in partnership with the Land use Policy Planning Department to provide knowledge to land use planners on ESA Identification, ground truthing and land use governance, b) a self-paced certificate course on ESA governance to further promote the ESA concept and popularize the approach, to be hosted on the Ministry of Environment's website, under development at TE time. c) Project facilitated incorporation of ESA management within Natural Resource Management courses at master's level and in the Certificate Course level at the Open University of Sri Lanka starting in	

14 The National ESA Committee (NESAC) had been established (and re-established recently since it had not convened due to the pandemic) with the mandate of providing policy directions while LMCs & DFCs take implementation decisions at ESAs.

15 Included as Annex 13

2021, d) partnership has been established with the Wayamba Development Authority attached to the North Western Provincial Council to integrate ESA trainings through regular training programs conducted by Wayamba Development Authority.	
End of Project Status	Final capacity assessment re-scheduled for September 2021, as training programs were delayed dye to pandemic. Therefore changes in capacity scores not available at TE time. Capacity building program was significantly impacted by the pandemic, as (almost) all trainings had to be online.
Indicator Assessment	Assessment based on scorecard not possible. KIs, completion of co-management plans, ongoing ESA management in project area, stakeholder engagement in ESA policy dialogue are testimony to **significant increase in all 5 capacities** identified in the score card, though it cannot be quantified.
Indicator 4	Decision Support System available to practitioners for managing multiple land uses in ESAs
Baseline	none (no decision support system)
End of Project Target	National guideline to integrate biodiversity conservation and sustainable use into land use planning Guides (in Sinhala, Tamil, English) for field practitioners on integrating biodiversity conservation into sectoral plans and actions, (agriculture, forestry, coastal development and tourism) Online integrated biodiversity assessment tool available to identify biodiversity hotspots nationwide, building on national and internatl. data
2017 - national guidelines to integrate biodiversity conservation and sustainable use into land use planning were completed, and guidebooks made available in Sinhala, Tamil and English to aid field practitioners with integrating biodiversity conservation into sectoral plans and activities in agriculture. **2019** – guidelines submitted to the Department of Agriculture for integration. **2020** – tool/steps of a decision support system for the identification and management of environmentally sensitive areas in Sri Lanka developed; Upon validation this was incorporated into the ESA Resource Book and translated into local languages (2021) **2021** - to begin the development of the decision support system as an online integrated biodiversity assessment tool, the BDS and the PMU of the MoE designed the template for the database and compiled the biodiversity data in excel sheets with GPS references to be incorporated in online tool. Following delays due to the pandemic, MoE requested UNDP to take over the procurement process for the service provider, and UNDP established a partnership with Wayamba University of Sri Lanka to deliver the Online Integrated Biodiversity Assessment Tool and enhance Clearing House Mechanism. The interface “Biodiversity Environment Sensitive Areas Sri Lanka (BESASL)” has been developed and ESA information is being updated for the whole country in line with the ESA National Scaleup Plan. It is scheduled to be completed by the end of September 2021 and thereafter be managed and updated every three years by Wayamba University of Sri Lanka (WUSL), under a Memorandum of Understanding between MoE and WUSL.	

End of Project Status	National guidelines to integrate biodiversity conservation and sustainable use into land use planning Guidebooks for practitioners available in Sinhala, Tamil and English. Online Integrated Biodiversity Assessment Tool **"Biodiversity Environment Sensitive Areas Sri Lanka (BESASL)"** scheduled to be completed by end September 2021, and managed through 3 year MoUs between MoE and WUSL in the future.
Indicator Assessment	On track to be achieved before project closure
Assessment of Achieving Outcome	On track to be achieved before project closure

Outcome 2: Biodiversity-friendly ESA management for long term integrity and resilience ensured at two sites in the Kala Oya Region.	
Outputs 3 and 4: Institutional capacities for biodiversity friendly land-use planning, implementation and compliance at Kala Wewa and Wilpattu ESAs. Ecosystems Management and Restoration at ESAs .	
Indicator 5	Area under management with inter-sectoral partnership and quantifiable biodiversity conservation targets
Baseline	0
End of Project Target	200,000 ha at project design, revised after MTR to 14,164 ha

By mid 2020 - Identified biodiversity clusters with quantifiable biodiversity conservation targets included Gangewadiya ESA, Villu ESA, Aruwakkalu ESA (Paleo biodiversity), Manewa Kanda ESA and Kala Oya Riverine ESA covering **11,912 ha.** Inter-sectoral partnerships[16] were set to manage **11,112 ha** in Wanathawilluwa Divisional Secretariat Division and **800 ha** in Ipalogama Divisional Secretariat Division.

Community conservation plans and institutional plans feeding into inter- sectoral plans cover another **974 ha** including 55 gene diversified and pepper planting home gardens, waste management, live fences (HWC) for two schools with lime and mango plants, support for green livelihoods to mitigate illegal encroachment through inter-cropping and marketing support, and pilot testing sustainable chena models.

By June 2021 - 47 ha of forest habitat in Wewelkele ESA was placed under co-management with intersectoral partnerships among Divisional Secretariat, National Crafts Council, Community and Forest Department.

1, 231 ha of Habarawatte ESA in Kadulugamuwa GND was placed under co-management with intersectoral partnerships[17] .

Other activities included a) Awareness programmes (sign boards, replanting) with the Department of Archaeology for integration of biodiversity conservation within 15 proposed archaeological sites; b) Participatory Demarcation of the reservation of Yodha Ela by Arecanut plants (Areca catechu) (13,500) and Ranawara plants (Cassia- auriculata) (450) helped to secure community contribution and support in demarcating the reservation areas to protect the river banks.

16 Department of Agriculture, Department of Agrarian Development, Forest Department, Wildlife Conservation Department, Provincial Councils, Wayamba Development Authority, District and Divisional Secretariats, Coastal Conservation Department, Fisheries Department, Community, Civil Society Organizations, Universities and the Private Sector

17 Department of Agrarian Development, Provincial Department of Irrigation, Provincial Department of Agriculture, Divisional Secretariat, with three Farmer Organizations and community.

Co-management planning processes included biodiversity assessments, threats/trends assessment, participatory planning, assessments of trends of socioeconomic and environmental risks to the biodiversity, considering changes in population, economy and social development.	
End of Project Status	Revised end of project target has been achieved. 14,164 ha under management with inter-sectoral partnerships and quantifiable biodiversity conservation targets.
Indicator Assessment	Achieved
Indicator 6	Stakeholders' capacities to implement ESA's land use/seascape plans for conservation
Baseline	Limited training and awareness such as through Environmental Pioneer Programme and Eco Clubs
End of Project Target	Redesign outreach and communications strategy and plan (after MTR) General awareness amongst school children, peri urban dwellers, and local leaders increased by 100% over baseline At least 2300 people trained, based on their training needs assessment At least 20 women's development organizations' capacities increased and involved in ESA management activities
2019 – According to MTR recommendation, communication strategy was revised, with IUCN as service provider; in 2021, a rapid communication campaign was launched through mass/social/print media (as options under pandemic) to educate public on ESA scale up. Throughout implementation, the project undertook a wide range of capacity and awareness building activities for the general public, school children, local communities and government officers, including: ESA awareness campaigns (1598 local community members) in Anuradhapura and Puttalam districts, street drama by youth groups in Kalpitiya area, focus group discussions (FDGs) with the Kalpitiya Tourism Boat Society and Fishing community, training for Economic Development Officers (EDOs) on the ESA mobilization process, assigning three community mobilizers to work with local leaders and EDOs, community consultations at village level on benefits of co-management of a sensitive landscape and knowledge of permissible land uses and sustainable livelihoods within ESAs, FDGs with government stakeholders on the ESA concept, management, and co-financing, activities conducted for National Mangrove Day 2020 and follow-up collaboration with community, private sector such as MAS Holdings, Forest Department, Divisional Secretariat and the Sri Lankan Navy, ecosystem and biodiversity surveys on species diversity associated with Villu and Wewalkale Ecosystem by IUCN and production of information boards, leaflets and posters, awareness sessions with farmer organizations, tourism board associations and government sector stakeholders, discussions with MAS Holdings on establishing a partnership with UNDP to support ESA management and replication, school awareness programmes to develop environment conservation literacy within the younger generation, WhatsApp group among school children and the ESA Community volunteers to facilitate technical know- how on intercropping, pest and disease control, Villu awareness programme with production of booklet and leaflets on student activities in the Villu ESA, DOA was successfully lobbied to demarcate the Villu eco-systems as a conservation area. Between 2016 and 2021, 1963 people were trained, based on their training needs assessment. Gender disaggregated data on training and participation has been reported in PIRs. Details are provided under the section on gender.	
End of Project Status	Outreach and communication strategy was revised in 2019, and rapid communication campaign was launched in 2021 through mass media, social media and print media to reach out majority of Sri Lankans on ESA scaleup under the pandemic conditions. General awareness amongst school children, peri urban dwellers, and local leaders living in ESAs were increased by 100% above the baseline.

<table>
<tr><td></td><td>1963 people were trained, based on their training needs assessment during project period.
25 women development organizations were involved in ESA management activities and capacities of these organizations were increased in the form of training and awareness and capacity building programmes in 2020/2021.</td></tr>
<tr><td>Indicator Assessment</td><td>The revised end of project target has been achieved, with minor shortcomings as a number of capacity building and awareness raising activities, including school programmes could not be organized as planned (in-person) due to the pandemic.</td></tr>
<tr><td></td><td></td></tr>
<tr><td>Indicator 7</td><td>Increase in funding available to support biodiversity friendly ESA management activities</td></tr>
<tr><td>Baseline</td><td>At least 150,000 USD per annum being invested in promoting organic farming and in protected areas management</td></tr>
<tr><td>End of Project Target</td><td>At least 20% increase in funding from baseline by various sectors compatible with land use / seascape plans - at least 4 sectoral plans (Agriculture, Forestry, Fisheries, Water resources management)
Two long term financing plans – one for each ESA endorsed by all relevant parties</td></tr>
<tr><td>Key Activities</td><td></td></tr>
<tr><td>End of Project Status</td><td>In 2020 and 2021, a total of USD $485,694 had been invested by August 2021. This represents an increase of nearly 224 % against the baseline. Co-management plans, including Financial Plans, were for 4 ESAs, including Manewa Kanda, Kala Oya Riverine, Villu, and Gangewadiya.

<table>
<tr><td>ESA</td><td>Funds for BD friendly management activities (USD)</td><td>Investment and co-financing commitments (USD)</td></tr>
<tr><td>Manewa Kanda</td><td>24, 603</td><td>76,803</td></tr>
<tr><td>Riverine</td><td>33,994</td><td>9,050</td></tr>
<tr><td>Gangewadiya</td><td>96,613</td><td>126,704</td></tr>
<tr><td>Villu</td><td>10,335</td><td>39,000</td></tr>
<tr><td>Wewalkalaya</td><td>11,481</td><td>20,000</td></tr>
<tr><td colspan="3">Across all ESAs: 13,276 for eco farming and integrated pest management</td></tr>
</table>
</td></tr>
<tr><td>Indicator Assessment</td><td>End of project target exceeded.</td></tr>
<tr><td></td><td></td></tr>
<tr><td>Indicator 8</td><td>Area of protected areas whose management is integrated with wider landscapes/ seascapes to minimize threats from outside PA and to mitigate land and resource use conflicts at ESAs.</td></tr>
<tr><td>Baseline</td><td>0</td></tr>
</table>

End of Project Target	Revised target at inception: Integrating – 1. 131,667 ha Wilpattu NP; 2. 21,690 ha Kahalla pallle kale; 3. 1528 ha Ritigala; 4. 30,600 ha of Bar Reef[18] with wider landscapes/seascapes
Key activities included: Management Plans prepared under the leadership of Department of Wildlife Conservation, and with other stakeholders including the community for Integrating 131,667 ha of Wilpattu NP; 21,690 ha of Kahalla pallle kale; (1528 ha of Ritigala; and 30,600 ha of Bar Reef with wider landscapes/ seascapes to minimize threats from outside the PA and to mitigate land and resource use conflicts at ESAs, lobbied for implementation process. Piloting a virtual automated early warning system of wild elephants was pilot tested in Theva Nuwara, Puttalam. It was suspended due to security concerns on using high frequency electronic equipment after the Easter Attacks in 2020. Facilitation & oversight of co-management efforts on the restoration of the Bar Reef Marine Sanctuary (BRMS), strengthening community monitoring system (men and women divers from the Kalpitiya communities) Monitoring of restoration efforts and minimizing threats to the live coral patches within BRMS in partnership with Ocean Resource Conservation Association (ORCA) and government stakeholders led by the Department of Wildlife Conservation (DWC), Marine Environment Protection Authority (MEPA), and Coastal Conservation Department (CCD). During the assessment year, improvement in the Bar Reef Coral regeneration process was observed. Impacts from maritime disaster (MV X-Press Pearl) still to be assessed. Facilitated BDS to work with the Department of Archaeology on gazetting 22 ha of archaeological reserve in Aruwakkalu ESA [19], awareness boards were positioned at this first ever paleo biodiversity archaeological site gazette in Sri Lanka.	
End of Project Status	Management Plans prepared with the leadership of Department of Wildlife Conservation, and stakeholders including the community for Integrating 1. 131,667 ha of Wilpattu NP; 2. 21,690 ha of Kahalla pallle kale; 3. 1528 ha of Ritigala; and 4. 30,600 ha of BarReef with wider landscapes/ seascapes. The four revised end of project targets were achieved in 2019 and exceeded by end of project.
Indicator Assessment	Exceeded
Indicator 9	Critical biodiversity habitats outside protected areas under effective management regimes within the ESA for habitat connectivity, integrity and resilience
Baseline	25,000 ha under community forestry
End of Project Target	Revised at inception: Protecting, rehabilitating and managing additional 17,500 ha of habitats - (i) 8000 ha of critical forest habitat; (ii) 7000 ha

18 MV X-Press Pearl Maritime disaster in May 2021, caused large quantities of chemicals, including hazardous and noxious material, oil, and plastic to spill, reaching seascape of the project sites. Impacts are not assessed yet.

19 Excavation site situated in the Karativu village, Pomparippu Pattuwa Minor Division, Aluth Eluvankulama Grama Niladhari Division of Wanathavilluwa Division

	catchments & tank cascade landscape; (iii) 1000 ha of critical coastal habitat; and (iv) 1500 ha isolated hills.
Key activities included: Facilitated implementation of Co-management plan of Wewalkale ESA, following completion of a biodiversity survey and demarcating the forest habitat (47 ha) with community to control encroachment by external parties. The Wanathavilluwa Divisional Secretariat had highlighted the BD value of the area. To promote sustainable livelihood, project supported cane nurseries. DSD provided exceptional support to local craftsmen to develop craftsmanship and to link them to markets. Under patronage of State Minister of Cane, Brass, Clay, Furniture and Rural Industry Promotion the country's first Shilpa Sabha (Crafts Council) was established. Supported development of sustainable tourism through a) established monitoring center at Eluwankulama to facilitate joint monitoring of tourism in critical coastal and freshwater habitats and visitor facilities at Eluwankulama to minimise threats to the natural ecosystem, b) training module on destination management and eco-tourism for community members, c) draft guidelines on destination management (tour boat operations, health & safety, eco-tourism) and minimum standards to promote sustainable tourism in Gangewadiya, (training modules in local languages). d) action plan to enhance the Manewa Kanda Eco-park as a sustainable and viable business model. Support to womens CBOs (compost production using IAS in village irrigation systems, handicraft (handbags, hats) and market access.	
End of Project Status	The end of project status is a total of additional 30,008 ha of habitats under effective protection, rehabilitation and management regimes addressing deforestation, encroachment and unsustainable agriculture and tourism practices, cascade and Villu management in critical forest habitats, catchments and cascade systems, critical coastal habitats and isolated hills.
Indicator Assessment	Exceeded
Indicator 10	Extent of land brought under biodiversity compatible agricultural production practices
Baseline	340 ha under organic farming, and IPM
End of Project Target	25,000 ha (including paddy, chena land and homesteads) under eco-friendly production practices.
By mid 2020 - 23,763 ha were under biodiversity compatible agricultural production practices, and innovative agriculture models across 168 ha suitable for Environmentally Sensitive Areas in area of interest in Puttalam & Anuradhapura districts had been pilot tested. By August 2021, an additional 1069 ha were brought under biodiversity compatible agricultural production practices through a variety of activities including: traditional rice varieties were introduced; ecological agricultural practices were practiced with 74 farmers over 40 ha; 4 farmers, on 3 ha, adopted water use efficiency interventions; 500 ha of home gardens of 398 farmers were covered by the Seed Bank Programme; 22 home gardens over 11 ha within Wanathawilluwa DSD championed good practices as per recommendations of DoA; Training was given on value addition and production for fruits and vegetables by the Provincial DoA to 45 participants cultivating 200 ha; harvest yield was increased by 3-6% over 315 ha through compost production in Ralmaduwa, Aluth and Parana Eluwankulama.	
End of Project Status	25,000 ha have been brought under eco-friendly production practices
Indicator Assessment	Achieved
Outcome Assessment	Exceeded

Relevance

The project addressed priority needs of the country regarding biodiversity conservation and maintaining ecosystem services and livelihoods in the face of accelerating economic development with increasing pressure on land, natural resources and conservation values. Much of Sri Lanka's biodiversity, including endemic species of global significance, is in the wet zone and outside formally protected areas. Therefore, a new approach was urgently needed to bring together relevant government organizations, namely the ministries of land, environment and forests/wildlife conservation, and engage with all stakeholders and local communities. The team leader for the national scale up of the ESAs expressed this notion[20]: "Fences cannot maintain our biodiversity".

The project's outcomes and lessons offer some options that can be adopted towards green development, and specifically offers guidance to the presidential task force established to drive the transformation to green development of Sri Lanka under the national framework "Vistas of Prosperity and Splendour". The relevance to conformity with national policies on land use and conservation has been detailed above under Section 3. Project Description. The project contributes to fulfilling Sri Lanka's commitments to safeguard global biodiversity values as a signatory to CITES and the CBD. The project is particular relevant in the context of the next UNDP Country Programme with a focus on Green Economy, Recovery and Growth, promoting climate- and nature-based solutions. Further relevance for UNDP and GEF priorities have been detailed under Section 3. Project Description.

The models piloted, policy developed and information base created with project support gained particular relevance when in 2020 circular MWFC/1/2020 revoked the circular 5/2001 of August 10th 2001 and transferred management responsibility of approximately 338,229 ha (about 5% of the national territory) of "other state forest" (OSF) lands from the Forestry Department to local administrations.. The project practiced good adaptive management in this situation, making funds available for the studies under the scale up plan that compiled and superimposed in GIS 10-15 parameters to assess environmental sensitivity.[21] The ESA concept can be used in these areas as a key instrument to safeguard biodiversity, ecosystem services and local livelihoods, as is seen by the MoE as a "solution package" to this challenge. It has provided models for institutional arrangements and planning processes spanning sectors and different administrative levels, and for biodiversity compatible agricultural practices and has generated data bases, curricula and public awareness for the ESA concept.

While stakeholders differed in the assessment of the sustainability and applicability of all project outcomes, there is a consensus that it made a significant contribution towards an enabling environment for intersectoral planning that considers biodiversity. Interviews and a survey undertaken by the TE team among local stakeholders including community members showed in general satisfaction with the project, beneficiaries referring to new sources of income generation, improved water supply and benefits through introduced agricultural practices. With regard to local planning, the perception that plans were largely completed by the time local communities/beneficiaries were engaged to be part of the projects but this

[20] Prof. Sevvandi Jayakody, Sept. 2, Panel Discussion on National Policy on ESAs

[21] an extensive mapping exercise, known as "GAP analysis" that undertaken in 2008 – where areas were identified as sensitive areas based on biodiversity values, including in "other state forests".

is not uncommon. However, community involvement in ESA management was considered successful by the majority of survey respondents. It was considered successful by 8 (of 11) respondents in Ipalogama, and by 7 (of 9) in Wanathavillu. (see Annex 5 for survey result summary).

Local Stakeholders' Views

Stakeholders at all levels recognised that ESAs created opportunities to demonstrate ways to curtail unsustainable practices, and the ESA concept was seen as aligned to the development objectives of the Province/District when it supported main income earning opportunities like tourism, and where better managed/safe/sustainable tourism that meets international standards was seen as a win-win as a more marketable option. The ESA potential to develop tourism and the benefits (incentives, funding, training, awareness) were recognised, and so was the concept as a tool to address threats to BD outside PAs.

At the same time, stakeholders (district level planning officers) expressed the need for greater political will, legislation and awareness among higher level decision makers if the concept is to be scaled up widely, as much profit from development is at stake, through activities like natural resource mining. Poverty poses a challenge to scale up; not only directly as poor people rely on natural resources for their livelihood, but they are also exploited for employment by business such as mining.

Local stakeholders' views in KIIs was that the overall design of the project, the geographical area and the type of intervention (i.e agriculture, tourism, tank renovation) was determined by the project team/consultants but there were consultations at the DFC level and sectoral level on more specific activities. Local implementers such as the Agriculture Department and the Irrigation Department contributed ideas. However, the project team needed to ensure that the ideas selected met the criteria for the ESA. For example, the Habarewatta cascade system involved the PID in site selection but the final decision was based on projects objectives and criteria of biodiversity, budget, link to community, but local stakeholders supported the project. . And in the implementation process, local KIs agreed there has been a regular mechanism and good interaction with both state and community – for coordination, decision making and implementation.

Relevance is rated as **Highly Satisfactory (HS)**

Effectiveness

The high degree of achievement of objectives has been documented in the section on Progress towards Objective and Expected Outcomes above. The piloting of co-management arrangements for ESA governance has contributed to institutional development, namely with the processes for local planning and inter-sectoral coordination in land use planning and the respective committees (LMCs, DFCs). While the national level steering committee could not assume its role during most of the implementation, its current re-establishment constitutes a key element for political support and national level coordination for the scale up of ESAs.

The contributions to national, UNDP and GEF priorities already have been discussed earlier in this document (policy conformity, relevance). The achieved outcomes were commensurate with what was

planned; all revised targets have been achieved or exceeded, or are on track to be achieved. Ceasing the opportunity and making funding available for the national scale up plan that creates opportunities to safeguard biodiversity and ecosystem services in the former "other state forest" lands became an effective measure to broaden the impact of the project. The Secretary of MoE referred to this in the public forum on September 2, as "the project came to the rescue".

A lack of clarity on the ESA concept and a clearer distinction from a landscape approach in project design resulted in longer than expected consensus building among stakeholders, and the move to first work on the ground and then develop policy, which in hindsight was the most effective approach in the given situation. More effort should have been made at design stage on the policy dialogue to pave the way to stakeholder consensus and have stronger support from policy level while piloting models.

Factors contributing to achieving/exceeding planned outcomes include the strong presence in the field of the project, with the pro-active role of the field coordinators in bringing stakeholders together, frequent visits by the project manager/technical coordinator, and the placement of community mobilisers in the project areas in the last phase of the project. Public awareness and education tools used were comprehensive and adapted to a diverse audience, and to the restrictions posed by the pandemic, using social, broadcast and print media as well as on site interpretive facilities. The selection of partners/service providers for technical tasks such as communication strategy and scale-up, drawing on top expertise in the country on biodiversity and conservation, was another important success factor.

Last but not least the skills, hard work and commitment of the project team, with very capable leadership, drove the effective implementation and achievements of results under adverse conditions. The restrictions due to the pandemic had significant impact on the way the project could operate, with the greatest impact on the capacity building activities and assessment. Still, related objectives are on track to be achieved. The pandemic and the Easter Attack have affected tourism-centred ESA projects in particular as tourist arrivals declined sharply.

Local Stakeholders' Views

In an exercise conducted with provincial, divisional, and community level officials, effectiveness parameters were tested based on community participation in the project, coordination, sustainable land use planning, improvements to livelihoods, biodiversity conservation, monitoring and evaluation, and the ability to replicate ESA model elsewhere. Overall, coordination parameter received the most favourable response from participants, with other parameters too receiving positive weightages. High weightage given for coordination stems from the facilitation of cooperation between various state institutions and efficiency of LMC/DMC in providing a platform for community and divisional level stakeholders to come together.

In discussions with the TE team, local government officers described that through the co-management mechanisms, they worked better with the community - who were engaged as decision makers not just beneficiaries. Co-management implies that local communities manage but also benefit. This means that some level of monitoring, management of the sites must also involve the communities – that they are not only beneficiaries. local government officers described that through the co-management mechanisms, they worked better with the community and that this offered a way for them to be decision makers – on certain activities. In Galnewa/Habarawatte community said they were involved in monitoring the restored cascade, while in wewel Kelley the action plan indicates that the community will be involved in planting

of vines. In Kalpitiya the community is engaged with the DWC in monitoring the health of the replanted corals and also report back on illegal actions – in an informal manner.However management and monitoring and certainly enforcement has remained within the regulatory purview of the responsible organisation under the ESA management arrangements. This is what the agencies believe is the best way forward. However, in Gangewadiya ESA, disagreements over who is in "in control" and what should be managed, by whom , and should it be through regulation and what type of activities were apparent.,. However through negotiations and discussions, an agreement was reached on the locations, and to work on ecotourism training and the sustainable tourism destination development with WDA. Due to the pandemic, this of course experienced set-backs as almost no travellers could visit.
While there were some concerns among local stakeholders that planning was already advanced by the time they were consulted, local stakeholder participation was overall effectively facilitated. The local level survey examined satisfaction with community participation as perceived by local community and government representatives. Of 20 respondents, 14 were very satisfied, 3 were satisfied, 2 were unsatisfied, and 1 was very unsatisfied. Reasons for satisfaction were increased skills, knowledge and awareness provided to the community, inclusive approach including empowerment/participation of women and benefits to livelihood such as improved water supply and new practices in farming. Dissatisfaction was rooted in incidences/perceptions of community members being disadvantaged due to racial exclusion or not having their ideas taken seriously. More detail on gender aspects are provided under the relevant section below.

The TE team found that stakeholders would refer loosely to the plan "salasma" or that they have a plan for their society (i.e tourism society in Mahnewa ESA). It was also found that there were several types of plans developed at different stages for different ESAs (co management plans vs actions plans – which are to be done annually). Some co-management plans are still in process of being formulated (i.e for Galnewa/Habrawatte).Thus it was not clear what plans was used and what is currently being monitored.It also shows the need for such plans to be in place for the future.

The greatest achievements of the project are the a) development and implementation of the ESA concept as a tool to pursue "wise use" rather than the fortress approach of PAs as the more promising approach to safeguarding BD across landscapes into the future, b) capacity building framework established with partners in academia (SLIDA, WULS) and government (MoE, LUPPD), c) extensive database on BD and decision making guidance available to all sectors and the public, d) policy framework. In summary, very significant achievements on ground and policy level that are timely in the socio-economic and political context. Challenges in scaling and sustainability are recognized by stakeholders, more detail is discussed under the relevant sections below.

Considering difficult implementation conditions (pandemic, government change) the effectiveness in achieving objectives is rated as **Highly Satisfactory (HS).**

Efficiency

The project achieved the global and development objectives (or is on track to achieve all by project closure) with a one year, no cost, extension. As has been detailed before, the main reason was in the design which could have undertaken more policy dialogue during project formulation, or provided a more realistic time frame for the project to develop stakeholder consensus on the ESA concept.

The evidence from regular reports, interviews, focus groups and project outputs suggests that resources and inputs were allocated efficiently to generate results while applying adaptive management in response to emerging challenges and opportunities, such as first piloting models, then develop policy, revising the communication strategy, and ceasing the moment to take forward the ESA scale up for application in previous "other state forest"; the latter being a best practice in strategic allocation of resources.
The fact that activities originally planned such as developing a Strategic Management Framework for Wilpattu Protected Area Complex and preparing a management plan for Kahalla-Pallekele sanctuary were still completed while the shift to the final ESA concept (outside PAs) was being managed, also speaks to a high level of efficiency in the manner results were achieved.

It is fair to assume that had project design included the aforementioned aspects that no extension would have been needed considering the apparent efficiency in implementation. With the delays caused by Covid related restrictions for travel and gatherings, the extension of course was even more fitting. The final year in fact could be assigned the highest level of efficiency as the project reacted to the need/opportunity to support national scale up, to deliver the rapid communication strategy, to accelerate the policy dialogue while completing interventions on the ground and producing an impressive body of knowledge products and publications.

The M&E system used for tracking project progress, planning forward and reporting on achievements was effective in capturing progress in more detail than the 10 indicators in the results framework would. The comparison of the indicators in the results framework and of the indicators of the internal (UNDP) system for CRPT was provided earlier in this report (section M&E). Disbursement rate was reported as on track in the Finance/Co-Finance section earlier in this report.

The project invested into a gender analysis (2017), from which indicators and guidance were taken to plan, implement, monitor and report all activities considering gender equality. Three gender indicators were added to M&E (see section on M&E), PIRs report gender disaggregated data. Further detail on how gender equality was addressed following the gender analysis and action plan and local stakeholders' and beneficiaries' perceptions are shared in the separate section on Gender below.

Efficiency is rated as Highly Satisfactory (HS)[22]

Overall Project Outcome

Based on the ratings for "relevance", "effectiveness" and "efficiency", the overall project outcome is rated as **Highly Satisfactory (HS).**

Outcome achievements and previously achievements towards targets in the results section have been assessed based on the revisions to the results framework. The revisions are depicted in the table below.

It should be noted that the revision of the target for indicator 5 does not reflect a scale-down of target as it may appear superficially (from 200,000 ha to 14,164 ha), but rather an appropriate adjustment according to the conceptual evolution (from landscape approach to ESA concept). The same is true for the

[22] Rating Scale in Annex 1

target for indicator 9, which was defined by experts to be more meaningful (SMART). The targets for both these indicators were achieved and exceeded, respectively.

#	Indicator	target at design	revision at inception	revision at MTR
5	Area under management with inter-sectoral partnership and quantifiable biodiversity conservation targets	200,000 ha		14,164 ha
8	Area of protected areas whose management is integrated with wider landscapes/ seascapes to minimize threats from outside PA and to mitigate land and resource use conflicts at ESAs	160,000 ha	Integrating - (i) 131,667 ha Wilpattu NP; (ii) 21,690 ha Kahalla pallle kale; (iii) 1528 ha Ritigala; (iv) 30,600 ha of Bar Reef with wider landscapes/seascapes	
9	Critical biodiversity habitats outside protected areas under effective management regimes within the ESA for habitat connectivity, integrity and resilience	Additional 25500 ha of habitats under effective protection, rehabilitation and management regimes	Protecting, rehabilitating and managing additional 17,500 ha of habitats - (i) 8000 ha of critical forest habitat; (ii) 7000 ha catchments & tank cascade landscape; (iii) 1000 ha of critical coastal habitat; and (iv) 1500 ha isolated hills	

Country Ownership

The project concept arose from the need to effectively safeguard BD in areas outside protected areas, as expressed in the National Biodiversity Strategy and Action Plan 2016 – 2022 (NBSAP). It is the intent of the ESA policy to incorporate project outcomes into sectoral and development plans. With the MoE as the IP and as the "champion" agency to take on the ESA scale up, country ownership is high.

Country ownership was enhanced through both the policy formulation and the ESA piloting processes. The ESA policy formulation process involved active participation of all relevant national government stakeholders, academia/experts and NGOs. Broad stakeholder involvement in project design and implementation has been described in previous sections.

The project took the time, as recommended in the MTR, to develop the ESA concept in the country context; this made the process more lengthy, including piloting models and developing institutional arrangements on local level with government, communities and CSOs, but contributed to enhancing local ownership.

Sustainability

Through the piloting of ESA models in the project areas, extensive awareness campaigns locally and nationally, and the policy dialogue which during the TE time was highlighted by a public forum "National Policy for Environmentally Sensitive Areas" the ESA concept has been accepted as an option for BD and landscape management among government stakeholders, embedded in public awareness as tool to safeguard the nation's globally significant BD values and translated into benefits for local communities in the project areas.

A solid foundation has been created through the project outcomes on which to build to scale up ESAs nationwide. The pro-active manner in which the IP (MoE) is championing the ESA policy and the MoE's current position as lead agency of the presidential task force to guide the transition of the country to a green economy provides it some leveraging opportunity. The degree of sustainability is likely very different for different objectives, namely between the on-site ESA models vs the ESA scale up nationwide.

The likelihood of sustainability of ESAs piloted with project support, where the institutional arrangements are in place and stakeholder cooperation has been facilitated and strengthened, where communities are participating and benefitting, to various degrees, and where co-financing commitments have been realized (details in co-financing section) is reasonably high. For some site activities good progress has been made – they are at the stage where monitoring is enough – i.e Galnewa/Habarewatte, Riverine ESA and Manewa Kanda have advanced– but still require some activities to completed or the agriculture interventions to bear fruit. In Puttalam – Wewel Kelley it seems to be on a strong footing with some interest in marketing and replanting from the Ministry of small industries.

However it is not well established in Gangewadiya/eluwankulama and Villu. These areas also seem to require a bit more time building trust amongst the different parties. Thus this will require greater commitment from the management committees in place to ensure that the activities are taken forward. There is also the question of more financial support that is needed for any infrastructure enhancements.

There maybe changes in exact institutional arrangements, namely with regard to the District Facilitation Committees (DFC), whose role could be taken over by other sectoral district level committees that are convened as they have much of the same membership and mandate as the DFC. This is for the existing ESAs. It is likely that local stakeholders already in the DFC will determine which committee is best suited to take on the functions of the DFC in their local context. In the context of scale up the opinion on this was mixed.

In local (online) meetings with the TE team, each sector suggested that the ESA be placed in their committee.. One of the reasons for success could have been that the DFC was chaired by the District Secretarieswho did not have a main implementation role. So the main implementers also had to be report to them. The need for a strong coordinating role is key for sustainability as well.

The Local Management Committees (LMC) by contrast are perceived by stakeholders including local communities as a necessary planning body on local level, with unique opportunities for community engagement that cannot be replaced by other mechanisms, at least not for ESA establishment. The support by the UNDP coordinators was also well acknowledged.

In the survey carried out by the TE, 8 (of 10) respondents in Ipalogama and 9 (of 10) in Wanathavillu were confident that they "can continue ESA after the project lifetime comes to an end". While they felt that a foundation of improved knowledge, skills, cooperation and participation had built opportunities to sustain ESA management, financial constraints were noted most frequently as the key challenge. The need for continued support from divisional officers/DOs/EDOs was recognized as an important factor to continue successfully into the future. The importance of continuity when officers are changed/transferred was also emphasized in key informant interviews at district level. The need to maintain and manage the relationship with the communities on an ongoing basis was emphasised.

As these ESAs also compete with livelihoods, some stakeholders saw a probability that poverty, the loss of income can lead to a reversal of the actions. Particularly at a time when COVID and droughts (affecting crops in Anurdhapura), wildlife attacks (Puttalam) were having an impact on the gains from some of the interventions in place. This underlines the need for continued engagement with the community and with other actors, especially Political Authorities and key decision makers and for continued awareness building. More detail from local KIs and the survey on local perceptions of sustainability and other criteria are provided in Annex 6.

A strong framework has also been developed for the national scale up of ESAs, with the development of guidelines for mainstreaming BD in land use planning (in the early phase of the project), of capacity building resources and programs/courses of academic institutions and at MoE, of the online decision making tool for planners, and of the Online Integrated Biodiversity Assessment Tool "Biodiversity Environment Sensitive Areas Sri Lanka (BESASL)", identifying 3,361,341 ha of lands for ESA designation.

Enabling conditions for scale up are further enhanced by the ESA policy and strategy (approval by cabinet imminent at time of report writing), the resolve of the MoE to take the scale up forward, particularly as a solution to the transfer of "other state forest" to local administrations, and the newly attained leadership role and thereby leverage of the MoE in the presidential task force. The MoE was also in the process to include policy implementation activities into the National Environmental Action Plan (NEAP) 2021 – 2030, and plans to issue a circular on the ESA Guidelines and to assign Environment Officers to each institution / division that will be part of the ESA governance modalities.

MAS Holdings, a key private sector apparel industry, has signalled interest in establishing a partnership with UNDP to support ESA management and replication of the ESA concept as part of their CSR commitments. MoE is lobbying and facilitating a partnership between the Department of Wildlife Conservation and GIZ to adopt and link the ESA guidelines with coastal zone management of the seascape. The MoE is also promoting ESA scale up activities in the framework of other projects; the ESA concept has been embedded in GEF VI and VII cycle projects ("Managing Together" ," Healthy Landscapes") as well in the BIOFIN project of UNDP. The design of the Managing Together Project suggests to build on the Anuradhapura District Facilitation Committee established under the (ESA) project, and to establish ESAs in its trial landscapes.

However, there are significant challenges for the implementation of the national ESA scale up plan. These include:

- Allocation of Government funds (Ministry of Finance) and on district and divisional level is not guaranteed. Allocation of Government funds through the consolidated fund is a challenge for the Government in the current fiscal situation
- While the MoE is committed to promoting the ESA scale up, the support of other key national planning and finance agencies or other economic and social development sectoral players including the Ministries of Economic Development, Agriculture, Tourism still need to be gained.
- ESA governance institutions need to be mainstreamed at district and divisional levels. Establishment of the local management committee and District Facilitation Committee needs to be part of the mandate of the Divisional and District Secretaries. The policy has provisions to issue circulars and regulations, but this still needs to be done by MoE and brought into effect.
- How will the ESA concept be applied on lands under private ownership? The FD has reservations as there are no legislative mechanisms, thereby no enforcement of ESA co-management agreements possible, neither with local communities, nor private land owners.
- The ESA governance arrangements and community participation for co-management require significant facilitation and coordination support; it is questionable whether/how this support will be provided without a dedicated project team. Who will take on the tasks of stakeholder coordination and community mobilization?
- Sustainability is a concern also with regard to the scale of the ESAs and the level of management required.
- With the Policy and strategy an implementation framework has been identified broadly and mechanism using existing frameworks – the DCC and Div. Env. committee that are established (as opposed to DFC). The concern is that DCC and other committee meetings can be taken over by politicians and then the needed decisions are not taken. In the DFC there was no political representation.
- Training (of Trainers) by SLIDA is currently only reaching 90 of 338 Div. officers islandwide. Thus a scale up plan is also required.

Considering these open questions regarding the financial, socio-political, and institutional sustainability of ESA scale up, there are also concerns for the environmental sustainability as ESA mechanisms may not become effective in time to safeguard environmentally sensitive areas and key conservation values in the face of rapid economic development and pressure on land and resources.

Sustainability ratings are provided here separately for the ESAs piloted and for the national ESA scale-up to reflect the reality described above. Rating scale for sustainability is provided as Annex 1.

Sustainability	Rating	
	ESAs in Project Areas	**National ESA scale up**
Financial resources	Likely (L)	Moderately Likely (ML)
Socio-political	Moderately Likely (ML)	Moderately Unlikely (MU)
Institutional framework and governance	Likely (L)	Moderately Likely (ML)
Environmental	Likely (L)	Likely (ML)
Overall Likelihood of Sustainability	Likely	Moderately Likely (ML)

Local Stakeholders' Views

Good Practices

- Coordination mechanism. Much credit was given to the coordinating and collaborative role of the DFC/LMC process and some stakeholders felt that this should continue for the establishment of new ESAs (Ippologama /Galnewa Div Sec and others) as this would help the smooth functioning and managing of the many components – especially at the early stages. Other suggestions were that it can start as a DFC and then gradually be handed over to an existing committee (i.e Agriculture). While others felt that in the scale up of ESAs one of the district committees can oversee, others can also know about the ESA and monitor it, while an LMC would be needed for the ground level work and to link with the community (Dis Sec – Put, and Dis Sec Anu).
- Partnerships. Having partners and others interested was seen as positive step (WDA, SLIDA, Other ministries) and these can bring funding, marketing, technical skills.
- . In wewel Kelley (land under the Div.) planning to gazette it while allowing community to benefit for a fee. Areas of use have been demarcated. A different co-management idea.
- Tourism has good potential but loans and livelihood strategies not reliant on natural resources are also important.
- Doing the boundary markings (wewel Kelley), demarcating the riverine areas (galnewa and riverine area), designating Manewa Kanda as a park are seen as ways to stop bad practices/encroachments and good for sustainability.

Challenges and Concerns

- Uncertainty of funding to continue work or expand activities. For example in Manewakanda tourism enterprises feel they would like to expand on the cabanas, build a store room for the equipment given but have not generated income to do these themselves, while in some of the

other sites further investments in equipment, infrastructure or for marketing is not guaranteed. Thus there is an uncertainty regarding new/future funding among local stakeholders.

- What is the dispute resolution mechanism in the future if people want to dispute a proposed ESA?
- In scale up it is important that there is greater adoption of good practices (agricultural models) into the routine work of agencies; this will promote sustainability. (Irrigation Dept. is doing it, Agr. Dept is trying)
- In Kalpitiya, LMC should be formalized, for stakeholders to have better mandate to work with community – as they cannot manage the seascape without community and some of the laws of DWC was not conducive for this.
- FD (District level) sees need for ESAs to be gazetted and given better protection under the law
- Decision making role at district level needs strengthening to enhance commitment and promote integrated projects

Gender Equality and Women's Empowerment

The UNDP ATLAS Gender Marker Rating for the project was initially GEN1 and was upgraded to GEN 2 (Gender Equality as significant objective). The development of the Gender Action Plan is included as Annex 19. Contributions to closing gender gaps in access to and control over resources and improving the participation and decision-making of women in natural resource governance are evident within the project.

A gender analysis of the project in 2017 examined gender sensitivity of the ESA Project, under the that "Gender analysis in biodiversity conservation initiatives needs to look at the use of natural resources (e.g. water, forest), consumption of services and goods (e.g. food, firewood), and experiences of degradation of biodiversity (e.g. pollution, natural disasters)..[23]

The study looked at design, implementation mechanisms, practices, deliverables, and M&E. It found that design considered ensuring gender equity aspects in all project activities for women and men to participate and benefit from project activities equitably. Accordingly, capacity building for leadership and decision making and networking of women/women groups had been identified as one of the priority area. Even though the lack of participation of women in the project activities was identified as a risk factor, no mitigation measures had been planned in the design.

The study recommended sets of actions to a) assure 'gender equality' in participation39, as well as gender equality in Project outcomes/impact, b) empower women for gender equality, and c) promote women as change makers. Accordingly, project implementation activities sought to ensure equal access to project benefits and opportunities.

Economic empowerment:

- The economic development projects, namely in agriculture, and other livelihood development activities, including tourism, provided equal opportunities and opportunities for women to

[23] Report on the Study of Gender and ESA Project, 2017, page 20

transform their traditional roles and engage in new activities/employment/income generation. In Weval kale ESA, the majority of women has become involved in weval based production.

- Women have been trained as certified tour guides, a type of job that was only performed by men earlier
- Women economic engagement contributed to environmental conservation i.e. they used invasive alien species (IAS) which were growing and stifling the water bodies as raw materials for their green product development which helped to control IAS while generating extra income for families.
- Knowledge and skill building programmes were conducted targeting Sithamu Women based Organizations in Puttalam and Anuradhapura districts, to provide business startup support for women, who engaged in handicrafts production using IAS to earn income while reducing threat of IAS.
- A sales outlet was established for home garden products of 23 women.
- Five women came forward in producing value added cane products and it has contributed to their economic empowerment within the family, which led to their active involvement in household decision making.
- Trainings on value addition of fruits and vegetables and supplying of dehydrating equipment via Provincial DoA for 45 men & women representing Sithamu Women Farmer Organizations and Farmer Organizations supported economic empowerment of women.
- Nearly 1,100 unemployed women; women heads of households (and 550 men) are supported with income generation through community-based enterprises.

Gender Mainstreaming in Capacity Development, Policy Formulation:

- Gender is incorporated as a module of the 16 training topics in the ESA Course Module by SLIDA for capacity building via ToT for administrative officers from national to local level.
- Gender responsive programming was discussed at District Facilitation Committees and Local Management Committees and gender responsive planning was adopted through ESA Co-Management plans
- Gender is incorporated in the content of the E-learning platform of Wayamba University of Sri Lanka in Partnership with Land Use Policy Planning Department, namely in the second module (Environment and Environmental Services Focused Land Governance.) E-Learning also provides a conducive environment for women officers to obtain the required skills, while being at home in roles.
- The E-learning course at MoE provides opportunity for women, men, girls, and boys to obtain knowledge on ESA management without hindering their distinct roles and encourages more women participation
- The ESA policy of Sri Lanka includes elements of gender equality in the objective 01, 03 and Policy Statement 6.1 , 7 , 8. and 9 which enables access to natural resources and management in Environmentally Sensitive Areas.

Women in Leadership, Decision Making, Management:

- In the management of newly declared Environmentally Sensitive Areas, UNDP has engaged women, including 3 (or more) women-led CSOs
- Women scientists have had leadership roles in ESA scale up plan development, and women champions from local communities promote ESAs. The project Management Unit was led by women and 75 % of the staff are female.
- Most of the Economic Development Officers (EDOs) responsible for ESA community level planning and implementation were female. The project provided transportation and other facilities for all capacity building programs, meetings and field work for them to easily manage their gender roles.

Gender Sensitive Planning and Implementation:

- Times and locations of community meetings were planned so as to promote womens' active participation. A quota system was used for selection of beneficiaries, providing equipment, etc.
- In the co-management planning stage women had expressed the need for separate bathing places which were provided by the project.

The PIR 2021 provides gender disaggregated data on participation of men and women in capacity building activities, and on outreach to womens' organizations. Details are provided in Annex 16.

In the local survey conducted with 20 participants in Ipalogama and Wanathavillu, 12 respondents found that womens' participation in ESA management had been "very well encouraged"; 7 found it was "encouraged", and 1 found there had been "no such opportunities". The question whether women benefitted through ESA, was answered with "Yes" by 14, "Somewhat Yes" by 1 and "No" by 5 respondents.

Assessments of "how women benefitted" by the same survey respondents resulted in the following ranking of perceived benefits for women: 1) "Access to/control of natural resources", and "Social Status"; 2) Access to Information; 3) "Income Generation" and "Membership in Organizations"; 4) "Decision making", and 5) "Other", including "guide training", "women used to just stay at home, but now they are engaged in activities", and "knowledge generated". Out of 20 beneficiaries surveyed, 14 reported access to/control over resources, 12 reported memberships in organizations, and 10 reported women's ability to make/influence decisions and be in leadership positions

Incidences of gender discrimination were also shared: In Gangewadiya attempts had been made to reduce the number of members in women's societies from 40 to 15.The proposal to redirect the water supply and build a channel for unused water presented by the president of the Eluvankulama Farmers' Organization (female) was mocked and denied by the state officials; (During the community survey, the need for a channel in Eluvankulama was corroborated)

Cross-cutting Issues

The project made contributions towards UNDP Country Program strategies and SDGs (as has been referred to in sections relevance , policy conformity, country ownership.) and its best practices and ESA

scale-up plan are potential contributions as nature-based development initiatives in the context of UNDP's support to transforming Sri Lanka's economy into a green socio-economy under the upcoming country program. The project has contributed, or built an enabling environment to contribute, in relation to several cross cutting themes namely governance, co-management, climate change adaptation and mitigation, water management, livelihoods development, capacity development, and rights based approaches.

Governance The significance of the project contribution is not only in piloting of ESA governance institutions (committees) but also broader in introducing processes for decision making (in land use planning), and cross sectoral – community collaboration and coordination.

Climate Change Adaptation and Mitigation. A successful ESA scale up as outlined in the plan, would place over 5 % of the country under management that enhances "resilience to climate change" (ESA policy, mission statement). ESA scale up would have long term mitigation impacts as ecosystems and their services as carbon sinks are maintained. The policy explicitly states that "ESA Identification shall be based on (a) significance of biodiversity and vegetation types, (b) ecosystem services and (c) significance of land for the resilience for climate change and disaster risk reduction".

Project activities with communities in improving agricultural practices are contributing to resilience and adaptive capacity; these include agroforestry, introduction of resilient crop varieties, rehabilitation of water supplies/irrigation, and introduction of water use efficient practices. Sixe models for sustainable farming have been tested, including rain water harvesting, environment friendly agriculture, traditional methods for pest and disease control, IPM Method, live fencing and organic fertilizer and bio diversity conservation

Capacity Development

The project contribution to capacity development has not been fully realized yet due to restrictions during the pandemic. However, through "learning by doing" capacities have been built for co-management, sustainable practices, and the development of curricula, e-learning platforms, ToT approaches, as well as the BD data base developed under the scale up plan and the decision making tool available to planners constitute a significant development in capacity to identify and manage ESAs and to mainstream BD conservation in land use planning.

Rights-based approaches. The gender analysis applied a rights based approach in assessing gender-sensitivity in project design, implementation and M&E. It looked at the Rights Based Aspects of Gender Integration, assessing how much the ESA Project considered the rights of different people/communities to participate in, contribute to project activities or receive socioeconomic benefits.
The ESA policy as a key output of the project embraces a rights-based approach in Policy Statement (6): "Management of Environmentally Sensitive Areas, at all levels, shall adhere to the key principles of environment governance, including a rights-based approach in natural resource management and public – private partnerships."

Catalytic/Replication Effect

Scaling up. As described in previous chapters, the project has supported a national scale up plan key components of which are the online data base (BESASL) hosted by Wayamba University, the capacity building programs that are available online (some to be completed before project closure), an online decision making tool for planners, the national policy on ESAs and the public awareness on ESAs created. A foundation for scale up has been created; however, as detailed under the sustainability section, significant challenges remain pertaining to support by other sector ministries, funding by central government, as well as mandating establishment of ESA institutions and enforcing co-management agreements in areas under different land ownership including private

Replication. Replication is being promoted as the establishment of ESAs has been incorporated into the design of the GEF VI project (Managing Together: Integrating community-centered, ecosystem-based approaches into forestry, agriculture and tourism sectors, PIMS 5804). More specifically, the project document (PIMS 5804) refers to "entry points" that built on models developed under the ESA project, such as District level committees for cross-sectoral coordination, referring to the precedent that exists in the Anuradhapura District Facilitation Committee as a good starting point in the trial landscape 1 of the project; within the landscape approach of the project, ESAs are also mentioned as one element to be established. Working cross-sectoral and community based in the sectors of forestry, agriculture and tourism, and with a portion of the project area in Anuradhapura District, the "Managing Together" project can built on the cross sectoral coordination and specific practices piloted in forestry, tourism and agriculture under the ESA project. The MoE as the IP is actively promoting the replication of models in the GEF cycle VI and VII projects. Replication of the six agricultural models for sustainable farming is expected in ESA scaling up by the Agriculture Department, NC province.

Demonstration. Besides abovementioned training courses, the project has produced A Resource Book[24], and numerous awareness and information products. With the rapid communication strategy (adapted to pandemic conditions), social/print and broadcast media were used. A high profile public event in the final stage of the project was the online Panel/Forum on the National ESA Policy. Sept. 2. (recording available at https://www.facebook.com/watch/mcnd.lk/).

The recently published "Compendium of Case Studies and Good Practices on Protected areas and other effective area-based conservation measures from the South Asia sub-region"[25] includes chapter 2.9.3 "Working together to bring back life to the Bar Reef Marine Sanctuary", authored by the Technical Coordinator Sugandhi Samarasinghe of the ESA project, highlighting how Community engagement played an important role in restoring the degraded reef and restoring ecosystem services, and that multi-stakeholder engagement is key in managing threats and achieving outstanding outcomes.

Knowledge management The established learning platforms share theoretical, conceptual and managerial knowledge on ESA management. Training modules were incorporated into government training platforms

[24] Identification and Governance of Environmentally Sensitive Areas in Sri
Lanka Resource Book. By Malcolm A. Jansen ISBN 978-955-0000-00-0 1st Print in 2020 © ESA Project, Ministry of Environment

[25] IICIMOD and UNDP (2021). Compendium of case studies and good practices on protected areas and other effective areabased
conservation measures from the South Asia sub-region. Available at: www.icimod.org/himaldoc

including the Sri Lanka Institute of Development Administration (SLTDA), Department of Agriculture, Wayamba Development Authority and a E-Learning courses at Wayamba University of Sri Lanka. Meanwhile, an online web portal is created on ESA Identification and management with open and free access for self-learning. At project sites, information boards have been placed; posters, leaflets and booklets have been produced in English, Singhalese and Tamil language, articles have been published in newspapers/magazines in Sri Lanka.

In summary, the project has created a solid foundation upon which national scale up of ESAs could be built. While challenges for scale up are significant, replication of the ESA models is promoted by MoE and incorporated in GEF VI and VII, as well as in UNDP BIOFin projects. Capacity building resources, namely online platforms that are integrated on government platforms, offer comprehensive training packages on ESA identification, management and monitoring. Through social media and other strategies adapted to the pandemic (online public events), on-site information and various print publications for the general public the project has generated heightened awareness in-country of the ESA concept; and shared experiences of community engagement and stakeholder cooperation in a recent publication by ICIMOD/UNDP.

Progress to Impact

According to the updated (after MTR) Theory of Change of the Project, the ultimate goal is “Sustenance of Ecosystem Services (in to Development) in ESAs”.

Production Sectors/Ecosystem Services primarily and directly targeted by the project include Agriculture, Fisheries, Forestry and Water Resources Management. Tourism is listed in the GEF Tracking Tool as secondary or incidentally affected.

Ecosystem services. At project completion, 202,788 ha were affected directly where PA management plans (Bar Reef Sanctuary and Wilpattu PA complex) and ESA co-management plans have been developed and are being implemented. A total of 615,350 ha were indirectly affected, including 287,300 ha of Kala Oya Basin for which integrated land use planning and ecosystem management has been introduced in the first phase of the project (to MTR), and 328,050 ha that have been identified for ESAs designation for national scale up.

As important part of the scale up plan, a comprehensive assessment of ecosystem and BD parameters has been carried out nationwide, and a database is now available online for professionals and the public as a basis for decision making in land use and development planning, and information source on habitats, species and ecosystems.

Production Systems. At project completion, management practices that integrate biodiversity considerations had been introduced over a total of 44,690 ha. Of these, 19,890 ha were under landscape restoration/management through cascade system and catchment rehabilitation, community forestry, assisted natural regeneration, agroforestry, Villu rehabilitation, and forest landscape restoration; 24,800 ha were under biodiversity friendly agroecosystems management through ecological farming practices some of which obtained “Good Agricultural Practices (GAP) Certification”.
The six agricultural models for sustainable farming all built resilience of the communities.

As detailed in section/table on achievements towards targets, the maintenance of target species and habitat protection, though not assessed by specific surveys, was documented through secondary sources (independent researchers, citizen scientists, local knowledge, bycatch data etc.) and supported through the implementation of management plans, increased awareness and monitoring of co-management agreements. The impact on indirectly covered areas such as the 328,050 ha for ESA designation under the scale up plan is yet to be realized and challenges have been discussed in the section on sustainability.

Unintended Impacts. However, it should be noted that a significant unintended outcome has been achieved with the comprehensive data base that has been produced for the scale up. The availability of these data, for government planners, private sector developers and civil society was mentioned frequently in KIs, and regardless of the individuals assessment of the suitability and potential of the ESA concept and policy, this was univocally regarded as a very important outcome of the project.

Another unintended outcome was the documentation of and increased attention to traditional practices that represent intangible cultural values; as a result of consultations and work with local communities in the framework of ESA identification and developing co-management, sensitive biocultural knowledge and practices that have not been documented before have been brought to the attention of the MoE. This applies to the tank cascade systems, but also to other traditional practices in fish catching, harvest sharing and many others.

Policy and governance frameworks, capacity building.

Project supported capacity building and policy formulation, and the challenges of the policy as a tool to scale up ESA sustainability have been discussed earlier. Nevertheless they constitute important progress towards long term impact of “sustenance of ecosystem services”.

In summary, by creating models for ESA governance and BD friendly production methods, science based tools and data base for land use planning, capacity building programs, and a policy on ESAs, has established a workable framework for government and civil society to progress towards the sustenance of ecosystem services using the ESA concept, while further developing and applying effective regulatory mechanisms and continue efforts to secure financial sources from government, through PPPs and local community support to scale up ESAs.

Livelihood and Conservation Benefits for Local Communities

Group discussions and KIs with local stakeholders during the TE provided insights into benefits that communities in ESAs received: The project has yielded multiple livelihood and environmental conservation benefits in ESAs. For example, interventions to promote water hyacinth – e*ichhornia crassipes* – based production have helped remove Invasive Alien Species (IAS) from tanks and have facilitated better water supply to nearby agricultural lands. Additional income to families was generated by providing them access to a niche product market and by facilitating the conversion of water hyacinth waste into compost which they can sell or use in their agricultural plots. This is then also contributing towards a new national policy directive for the production and use of increasing organic fertilizer – albeit in very small quantities.

Benefits are also provided in the form of in-kind grants and livelihood assistance – such as plants and seeds, bee keeping boxes, and systematic dissemination of knowledge. However, in some cases involving

home gardening interventions, financial benefits have not yet materialised owing to the short period of time passed since its inception. However, the community is hopeful that the plants will yield an income in the future. Where plants have yielded crops, the community was benefitted through reduced food related expenditure.

While promoting livelihood improvement opportunities, the project also takes into consideration minimizing the pressure on ecosystems. Recipients of the Weval Kaley ESA livelihood development interventions are made aware that they would continue to benefit so long as weval (kane) is available to them if only it not over exploited. Therefore, recipients have taken initiative to diversify weval-based production from crates to bags which "uses less inputs and generates less waste". In addition, the community is supported and guided by the Small Industries Department in the area. Local stakeholders found that, the Weval kaley eco system has been restored to its initial state. Similar interventions are present in Gangewadiya and Villu ESA where state-led demarcation of land is expected to prevent future encroachment.

The project has also promoted sustainable farming practices and transitioning towards organic farming. Prior to the project, encouraging farmers to adopt organic farming has been difficult. However, as the project has kick started the community has been encouraged to shift to using compost fertilizer – the benefits of which has manifested in terms of improved yield per acre up to 4,000kg (from what was initially 2,500kg); reduced labor requirement; and improved income

Short Term Impacts on Gender

Womens' engagement at the pilot sites was strong, as relevant positions at district level are held by female officers (agriculture, administration, and others), and the project actively promoted the participation of women in capacity building, planning and implementation of co-management as well as income generation activities, namely in home gardens, tourism, and small enterprises (Weval).

While these activities still need to come to full fruition in terms of income generation, they are important first steps to womens' empowerment through improved access to resources, information/training and income. Some of the activities, such as tour guiding, was a new initiative for women in these areas and represents a step of women leaving traditional gender roles.

As described in more detail under section "Gender and Womens' Empowerment", project support led to economic empowerment of women in the local communities in the ESAs. Also, women's leadership in ESA planning on the ground and in the national scale up was present, from Economic Development Officers (EDOs) to the female leadership as resource people in the scale up plan. However the main decision makers and key drivers still remain male dominated (Secretaries of National Agencies, political leadership)

Gender is mainstreamed in major project deliverables such as the ESA ToT Course by SLIDA (one module on gender), the E-learning platform of Wayamba University of Sri Lanka (second module (Environment and Environmental Services Focused Land Governance). The ESA policy includes general elements of equality – although not elaborated on - in the objective 01, 03 and Policy Statements 6.1, 7 , 8. and 9, thereby providing a basis to enabling access to natural resources and management in Environmentally Sensitive Areas to ALL people – including women.

In a survey in two project areas with 20 respondents, the question on “how women benefitted” was answered by 14 as “access to/control over resources”, 12 reported “memberships in organizations”, and 10 reported “women’s ability to make/influence decisions and be in leadership positions”.

5. Main Findings, Conclusions, Recommendations & Lessons

Main Findings

Project design captured the need to address the key threats (habitat loss and degradation, and over-exploitation of biological resources) and barriers (weak policy support for cross sectoral work on mainstreaming biodiversity, limited know-how for biodiversity friendly ESA management), however had shortcomings in facilitating policy dialogue, providing more clarity toward an ESA concept and the distinction from a landscape approach that would include PAs and allocating sufficient time to facilitate stakeholder consensus for concept development. The project concept arose from the need to effectively safeguard BD outside protected areas, as expressed in Sri Lanka’s National Biodiversity Strategy and Action Plan 2016 – 2022 (NBSAP), and was in line with GEF and UNDP priorities.

Despite the challenges in design, as well as those of the pandemic and change of government, the project achieved and exceeded its targets at completion, after a one year extension. This included targets for protected areas set prior to ESA concept consensus around mid term and the subsequent shift in focus.

The target of the project objective has been exceeded, with 5.5 % of Sri Lanka’s land area identified for ESA designation (against the 5 % target). Outcome 1 is on track to be achieved before project closure, with the National Policy on ESA awaiting cabinet approval. Outcome 2 has been exceeded, with 14,164 ha – adjusted target, under management with inter-sectoral partnerships and quantifiable biodiversity conservation targets; over 400,000 USD co-funding invested to implement co-management plans of four ESAs; and 25,000 ha brought under eco-friendly production practices. It must be noted that some of this land area using sustainable agriculture practices are yet to bear fruit and it remains to be seen if the methods will be continued.

The achievements towards targets are testimony to effective management; all reporting, M&E and financial data confirm effectiveness and efficiency in implementation. While the IP currently plays a prominent role in the policy dialogue, the project implementation on the ground was largely managed by UNDP project staff, duly supported by the district and divisional leadership for coordination and convening. Going forward it is expected that the links in place with the local administrative units, the sectoral agencies and community will continue. However, this has not been clearly defined, especially since ESAs also has different stakeholder groups and relationships. Furthermore, the role of the PI at the ground level is not anticipated but some overall coordination role would be necessary.

The project team practiced adaptive management to meet implementation challenges, and to cease opportunities, namely to take the scale up to national level in the last year, thereby establishing a foundation for the Ministry of Environment (IP) to turn the recent “loss” of “other state forest” areas into an opportunity to introduce the ESA concept, and apply the institutional arrangements and collaborative

planning processes, between community and government, and across sectors, that have been piloted by the project.

The undisputable contribution of the project is the piloting of ESAs in the country context, building stakeholder experience in ESA governance through district and local level committees and through intersectoral coordination. It has demonstrated the value of integrated and comanaged approaches to address conservation and sustainable use.

Progress towards long term impact, the "Sustenance of Ecosystem Services in ESAs" has been made; in ecosystem services through the comprehensive assessment undertaken and data base of environmental sensitivity established nationwide, and through capacity building resources and platforms. Due to the pandemic, capacity building activities could not be completed fully as planned, but training platforms have been established (SLIDA, Wayamba University, MoE), and sectors shared data, and technical skills were improved both with government officers and the community. Partnerships forged by the project played an important role in achieving objectives, and to provide continuity.

Community feedback was largely positive with regard to participation in implementation (not in initial planning) in gaining livelihood benefits – including access to new income generating options, knowledge and skills, and applying good agricultural practices. The six models in agriculture developed under the project are means to build community resilience, and models to replicate. The ecotourism benefits can also create win-win situations that can reduce degradation and increase incomes. Continued facilitation, coordination and incentives and also managing different interests will be required to keep communities engaged.

The national scale up of ESAs is meeting with significant challenges, in obtaining support by other ministries (land, economic development, agriculture, tourism, among others), obtaining political support, securing central government funding, and to be applicable in time while infrastructure centered economic development is still the fore runner for advancement.

Further challenges lie in implementing the ESA policy on the ground, in creating the regulatory mechanisms that will effectively ensure that the co-management of ESAs become the responsibility of the local administrative structures. It is essential to have their support and buy in to coordinate the work. Furthermore, it also needs to be supported by all other national sectoral agencies – with some level of financial resources, human resources and conceptual clarity.

Unequivocally, the establishment of the biodiversity/environmental sensitivity data base (BESASL) available to planners, private sector and the general public, was seen as a very important, though unintended outcome of the project. Likewise, the experience in intersectoral cooperation when piloting ESA/co-management, and the integrated committees at district and local level were was seen as a key outcome to scale up by all stakeholders/KIs.

Conclusions

The project has built a strong foundation of models in ESA governance (co-management/community participation/intersectoral planning), agricultural practices, and has built capacity, training resources, awareness and knowledge/data bases for maintaining and scaling up ESAs.

The sustainability of established ESAs and of their institutional structures was found to be likely, though not unless ongoing support is provided in coordination, stakeholder collaboration and community mobilization even for established ESAs. Local stakeholder confidence was high that they can maintain management, however raised concerns about funding. The exact arrangements on district level, i.e. which committee will take on tasks of DFC need to be worked out. Continued support is needed to keep communities engaged, develop livelihood strategies that generate economic incentives. These may also require more support over time given the threat they may face due climatic conditions, technical challenges or lack of business (as we are seeing with the tourism activities under the present conditions).

Building on the experiences of the ESA project, other initiatives, namely the "Managing Together Project" GEF VI, can play an important role in replication and further elaborating and mainstreaming the institutions and processes established under ESA project (details under recommendations and lessons). While the "Managing Together Project" is designed with a landscape approach, ESAs can be established as a tool within this approach. As there will be more issue to deal with like ESAs in private land or in relation to fisheries resources, more demonstration models are needed. Therefore there is a need for support financially, rather than relying entirely on government funds to establish more ESAs – to create a more catalytic effect.

For the national ESA scale up, the sustainability is assessed as moderately unlikely, as currently significant challenges persist as outlined above. It is crucial that other initiatives (GEF VI and other) continue to support the MoE in taking ESA policy and implementation forward, continue to lobby, raise awareness and build capacity, and put in place and adjust if needed the mechanisms provided under the policy to mandate ESA responsibilities in relevant government institutions.

Recommendations

1. "One more step" should be taken by the project to more formalize "sustainability agreements" with ESA stakeholders/co-management partners. For each ESA, organize a "wrap up" to formally agree on how to go forward, who takes the lead, what actions remain, what is the monitoring plan. Facilitate formal commitments in a stakeholder/community meeting. Determine how to maintain community involvement/interest. Any follow up actions needed, future plans for the area or how other agencies will take on roles (i.e WDA, Ministry of small industries) should also be discussed and recorded.
2.
3. MoE engage with DFC on more specific definition of how the DF/LMC management structure is to be used - for ESA implementation and then when it is mature and can be mainstreamed – roles still need to be clarified and monitoring roles at MoE, District and Divisional level to be established.

4. MoE could organize consultations with DFC to discuss the modality for ESA co-management, and which/how it is to be sustained, scaled-up. Both ESA and "Managing Together" Project (GEF VI) should participate, for GEF VI to identify best practice for replication. Also address challenge to

establish stronger legal mechanisms to get the ESA management structure operational at the district level.

5. GEF VI project (and others) to provide continued policy/advocacy support to the MoE on the scale up of ESAs (in the trial landscapes of the project and nation wide). Support in coordination, lobbying, awareness raising, gaining political support in non-environment sector. Also add to best practices, leverage more funds, support implementation of NEAP.

6. Future projects/programs consider and built into implementation arrangements and responsibilities an active involvement of the PMU and IP.

7. Strengthen/re-vive/establish the role of the National steering committee o, to be involved not only in policy actions but also in touch with ground implementation

8. Explore options to develop more community MANAGED ESAs, whereby communities are given more rights and responsibilities, rather than be involved mostly as beneficiaries. Building on experiences from other countries (India, and others), developing it in the country and local context. Sri Lanka's ESAs outside PAs are an ideal testing ground for this approach.

   ESA establishment in private forest/biodiversity rich lands or in relation to marine/fisheries resources, and in wet zone and urban areas will require more demonstration models while mobilizing finances beyond government sources will also be necessary. Need and opportunity to pilot different models.

9. UNDP explore options to mainstream ESA concept not only in environmental projects, but projects on governance, planning etc.

Lessons Learned

- Coordination and intersectoral planning/integration is the key success factor for mainstreaming BD, co-management. Integration is the main strategy for sustainability (government sectors, as well as community)
- Successful co-management and indeed conservation is based on incentives for people. Success for sustained community engagement and effective community participation in conservation is based on viable benefits/incentives and their level of dependency on the natural resources.
- ESA concept/co-management as approach could be applicable to watershed management as well as forest management.
- Co-management of ESAs is challenging when a strong leadership is missing at district/ divisional level to lead intersectoral plans and it is vital to strengthen ESA governance
- Working with local communities on assessing local resources and BD has created heightened awareness and knowledge of intangible cultural/biocultural heritage, traditional practices that have not been documented or acknowledged.
- Project design should facilitate policy dialogue so as to generate more conceptual clarity among stakeholders about a project concept/objective – from the onset. Feedback from ground level and national level stakeholders is important.

- Gender sensitive/responsive design should go beyond looking at benefits for and participation of women.
- Project design should allocate realistic time frames for processes of concept development, stakeholder consensus building, and community mobilization
- "non-environment" agencies (infrastructure, economic development, as well as more overall agencies such national planning) need to be involved in projects with objectives in mainstreaming biodiversity conservation. It is important to lobby and advocate to transform thinking of stakeholders that ESA concept is not limited to biodiversity but that wise use of natural capital and resilience building can be economically a viable option as well. They are the crucial stakeholders to bring on board, they have to own the approach and the project needs to make synergies and balance trade-offs..
- It is important to establish Policy & Strategy and Operational manual in parallel to National Scale up Plan and they should complement each other.
- Sri Lanka has not ratified Nagoya Protocol yet and traditional knowledge associated with genetic resources with provisions on access, benefit-sharing is subject to different opinion and yet we can build on article 15 of CBD instead of Nagoya for benefit sharing.

6. Annexes

Provided as separate documents:

1. Annexes 1- 19 (Annexes 15 and 18 separate)
2. GEF Tracking Tool
3. Audit Trail

ANNEXES

TERMINAL EVALUATION REPORT

"Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas"

Sri Lanka

PIMS 5165, GEF ID 5337

GEF Focal Area – Biodiversity, GEF Objective 2 -Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors

UNDP/Ministry of Environment, Sri Lanka

September 8, 2021

Sabine Schmidt and Karin Fernando

Terminal Evaluation – August/September 2021

Table of Contents

Annex 1 Definition of (all) Rating Scales [1]

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings 5 = Satisfactory (S): meets expectations and/or no or minor shortcomings 4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings 3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings 2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings 1 = Highly Unsatisfactory (HU): severe shortcomings Unable to Assess (U/A): available information does not allow an assessment	4 = Likely (L): negligible risks to sustainability 3 = Moderately Likely (ML): moderate risks to sustainability 2 = Moderately Unlikely (MU): significant risks to sustainability 1 = Unlikely (U): severe risks to sustainability Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability

Annex 2 Terms of Reference (w/out Annexes) of the TE

Terminal Evaluation Terms of Reference (ToR) Template for UNDP-supported GEF-finance projects

BASIC CONTRACT INFORMATION

Job Title: International Consultant- GEF Terminal Evaluation
Location: Home based, with one mission to Sri Lanka for 9 days (in-country) depend on COVID-19 context
Type of Contract: Individual Contract (International)
Reports to: Team Leader and Policy Specialist (Climate and Environment Team, UNDP Sri Lanka
Languages Required: English
Starting Date: 10th July 2021
Duration of Initial Contract: 30 days full time within the period of 10th July 2021 – 22nd September 2021
Expected Duration of Assignment: 10th July 2021 – 22nd September 2021 (30 working days)
Contract Start Date: 10th July 2021
Application Deadline: N/A (GPN Roster)

BACKGROUND

1. Introduction

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDPsupported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the *full-size* project titled *Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas (PIMS #5165)* implemented through the *Ministry of Environment, Sri Lanka*. The project started on the *25th September 2015* and is in its *sixth* year of implementation. The TE process must follow the guidance outlined in the document 'Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects' (https://drive.google.com/file/d/192Q8BM-bKP8SO_gzG7gBRA8kkuknkwVf/view?usp=sharing).

PROJECT SUMMARY TABLE

Project Title:	Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas

UNDP Project ID:	PIMS 5165	Project Financing	At endorsement (Million US$)	At completion (Million US$)
ATLAS Project ID:	00079607 (LKA10)	GEF Financing:	2,626,690.00	
Country:	Sri Lanka	IA/EA own:	6,500,000.00	
Region:	Asia Pacific	Government:	10,150,000.00	
Focal Area:	Biodiversity	Other:		
GEF Focal Area Strategic Programme:	Strategic Priority 4: Strengthening the policy and regulatory frameworks for mainstreaming biodiversity	Total Co financing:	16,650,000.00	
Executing Agency:	Ministry of Environment, Sri Lanka (MoE)	Total Project Cost in cash:	19,276,690.00	
Other Partners involved:	Departments of Forest, Wildlife, Land use Policy Planning, Agriculture, National Planning, External Resources, Agrarian Development, Ministry of Land, Sri Lanka Tourism Development Authority, Central Environment Authority, Provincial Councils of North Central and North Western Provinces, Wayamba Development Authority, District Secretariats and Divisional Secretariats of respective Project areas, IUCN and	ProDoc Signature (date project began):	25th September 2015	

	the University of Wayamba			
Planned closing date: 30th September 2020	Revised closing date: 30th October 2021			

1. PROJECT BACKGROUND AND CONTEXT

The Project "Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas" was **aimed to strengthen the country's ability to safeguard biodiversity outside Protected Areas in especially designated Environmentally Sensitive Areas (ESAs) through a new land use governance framework.** ESA is an area outside a formal Protected Area that is vital for the long-term maintenance of biodiversity and/or the productivity of water, soil and other natural resources to provide ecological, environmental, economic and cultural benefits to the local community involved as well as to the nation and global community as a whole. An ESA should be viewed as a "concept of wise use" rather than a definite category of conservation or protected area. Thereby, the concept of ESA adopts strategies to ensure that critical biodiversity is protected while improving the economic benefits with the participation of local communities and other relevant stakeholders.

Objectives:

The project was designed **to operationalize ESA as a mechanism for mainstreaming biodiversity management into development, in areas of high conservation significance.**

Outcome 01: National Enabling Framework Strengthened to Designate and Manage Environmentally Sensitive Areas (ESA)

Outcome 02: Biodiversity-friendly ESA management for long term integrity and resilience ensured at two sites in the Kala Oya Region.

The project operates in pilot sites of Anuradhapura and Puttalam districts of Sri Lanka. Precisely situated towards upper reaches of the river basin and encompasses a large water body (reservoir or tank) called *Kala Wewa* and covers *Palagala, Galnewa* and *Ipalogama* Divisional Secretariat (DS) divisions and in lower part of the basin including estuary of the Kala Oya River of *Wanathawilluwa* DS division and encompasses marine area including the Bar Reef of Kalpitiya DS division. The project is implemented using UNDP's National Implementation Modality (NIM), with significant support from UNDP for implementation. The Implementing Partner (IP) for the project is the Ministry of Environment (MoE). The Project Board is responsible for providing overall direction, and consists of Ministry of Environment, UNDP, Department of External Resources and the Department of National Planning. While there are multitude of state mechanisms comprising of departments and agencies that deal with various aspects of environmental management at the national and regional level, the key agencies that are relevant to this project forms a National Steering Committee, which is chaired by Secretary to the Ministry of Environment (MoE). The use of coordination bodies at sub-national level as well as at village/divisional level is instrumental in facilitating institutional arrangements. District Facilitation Committees, headed

by the District Secretary, gives oversight to ESA planning and implementation in Anuradapura and Puttalam districts, while District Secretaries link divisional level ESA platforms with national level. Local Management Committees established for the ESA sites are guided by the Divisional Secretary, as chairman or convener, and other divisional level stakeholders and institutions that have (key) jurisdiction with the ESA.

Observed changes & contributing factors: There wasn't a mechanism to conserve biodiversity in production lands in the beginning and it took a considerable time to conceive the ESA concept and to get the concurrence of relevant stakeholders to implement this new approach. But gradually, with ESA identification and implementation of co-management at ESA pilot sites and strengthening of the National Enabling Framework, through lobbying and advocating (via communication strategy, tools, guidelines); the ESA Scaleup plans, Policy and Strategy are being shaped, to enable the designation and roll-out of biodiversity-friendly ESA management in Sri Lanka.

Linkages to relevant cross-cutting aspects: Contributing to closing gender gaps in access to and control over resources and improving the participation and decision-making of women in natural resource governance is evident within project and Atlas Gender Marker Rating is Gen 2. The centrality of gender equality, women's empowerment and the realization of women's rights in environmental and resilience with sustainable development has been increasingly witnessed during the project period at project sites in Anuradhapura & Puttalam districts.

Relevance of the project to the partner Government's strategies and priorities: While strengthening the policy and regulatory frameworks for mainstreaming biodiversity via ESA concept, the MoE is currently developing the "National Environmental Action Plan 2021-2030: Pathway to Sustainable Development (NEAP 2021)" as a guide to the relevant sectors on achieving sustainable development, aligned with the global 2030 Sustainable Development Agenda, also keeping within the overall national policy framework "Vistas of Prosperity and Splendor" and the National Environmental Policy (2003) which is being currently revised. The 2030 agenda for Sustainable Development and related green economy concepts guide the National Environmental Policy, and the ESA concept provides a vessel to implement these Government's strategies and priorities.

Linkages to SDGs: The project links with SDG 14: Life Below Water and SDG 15: Life on Land, and associated targets inherently interlink with one another making up indivisible parts of sustainability from a systemic perspective.

Linkages to UNDP corporate goals: UNDP Strategic Plan Output 1.4.1: Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains and UN Sustainable Development Framework (UNSDF) Outcome 4/ UNDP Sri Lanka's Country Programme Document (CPD) Outcome 2: By 2022, people in Sri Lanka, in particular the vulnerable and marginalized, are more resilient to climate change and natural disasters and benefit from increasingly sustainable management of natural resources, better environmental governance and blue/ green development. Moreover, CPD Output 2.2: Policies, systems and technologies in place to enable people to benefit from sustainable management of natural resources.

While the project strives to achieve strategic targets, Sri Lanka is severely affected by COVID-19, and in March 2020, in response to growing numbers of COVID-19 cases in Sri Lanka, an island-wide curfew was imposed and consequently, travel restrictions that lasted several months severely impeded project interventions that had been planned with local communities to assure participatory decision making on ESA implementation, awareness raising, field level validation of ESA scaleup plans, capacity building programmes and exit strategy initiatives. A Presidential Task Force was established to combat the health crisis and its ripple effects on different sectors of the economy, and to ensure that essential services continued unhindered. The agriculture and tourism sectors were worst affected sectors by the pandemic and subsequent lockdowns resulted in breakdowns of supply and value chains during peak harvesting periods and the price collapses of agricultural produce.

In this scenario, the project supported food security at household level by promoting biodiversity friendly agriculture models, facilitating improve of water use efficiency and seed bank initiatives while capacitating local community involved in eco-tourism and promoting the sustainable destinations with Sri Lanka Tourism Development Authority at ESAs at pilot sites by establishing standards, tools and guidelines in a participatory manner.

By May 2021, Ministry of Health has issued 'Revised Restrictions under Alert Level III', and all citizens including employees of the United Nations in Sri Lanka have a duty to take all mitigating measures along with our families to protect ourselves and our communities. Therefore, from 2020 the project operates under these conditions which has a direct bearing over evaluation.

2. TE Purpose

The objectives of the terminal evaluation will be:

- Assess the achievement of project results against what was expected to be achieved
- Assess the contribution of the project results towards the relevant outcomes and outputs of the Project Document and recommendations on the way forward
- Draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP Programming
- Assess any cross cutting and gender issues
- Impact of COVID-19 on project objectives, activities, on overall project planning and implementation

The TE will take stock of the project's achievements, new knowledge generated, good practices that could be replicated, challenges, lessons learned and partnerships built, which will be used by the UNDP Sri Lanka Country Office (CO), particularly in the implementation of the GEF-6 project (PIMS 5804) that has commenced implementation in 2020. The TE report promotes accountability and transparency and assesses the extent of project accomplishments. The TE is scheduled within Project M & E plan and CO plans. The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

DUTIES AND RESPONSIBILITIES

3. TE Approach & Methodology

The TE must provide evidence-based information that is credible, reliable and useful.

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisors, direct beneficiaries and other stakeholders. Engagement of stakeholders is vital to a successful TE.

Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Departments of Forest, Wildlife, Land use Policy Planning, Agriculture, National Planning, External Resources, Agrarian Development, Ministry of Land, Sri Lanka Tourism Development Authority, Central Environment Authority, Provincial Councils of North Central and North Western Provinces, Wayamba Development Authority, District Secretariats and Divisional Secretariats of respective Project areas, International Union for Conservation of Nature and University of Wayamba; executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. Additionally, the TE team is expected to conduct field missions to Anuradhapura and Puttalam districts in Sri Lanka, including the following project sites in Palagala, Galnewa and Ipalogama Divisional Secretariat (DS) divisions and Wanathawilluwa DS division.

In the context of COVID-19 and risks and restrictions pertaining to travel, only the National Consultant may require conducting field missions to above mentioned project locations and brief information to the International Consultant.

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

In case the International Consultant cannot enter Sri Lanka due to the COVID-19 travel restrictions, the TE team should develop a methodology that reflects the adaptive management. It includes remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the TE Inception Report and agreed with the Commissioning Unit.
If all or part of the TE is to be carried out virtually, then consideration should be taken for the stakeholder availability, ability, or willingness to be interviewed remotely.

In addition, their accessibility to the internet/computer may be an issue as many governments and national counterparts may be working from home. These limitations must be reflected in the final TE report.

4. Detailed Scope of the TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see TOR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects (*https://drive.google.com/file/d/192Q8BM-bKP8SO_gzG7gBRA8kkuknkwVf/view?usp=sharing)*.

This TE will be conducted by a team of two independent consultants - one team leader (i.e. the international consultant, with experience and exposure to projects and evaluations as specified in Section 9 of this TOR) and one local consultant. The local consultant will assist the international consultant with the assigned responsibilities as detailed in Section C below.

Time frame: The Terminal Evaluation will be subjected to project implementation period from 1st October 2015 to 30th October 2021.

The Findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in ToR Annex C.

The asterisk "(*)" indicates criteria for which a rating is required.
Findings

i. Project Design/Formulation

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Safeguards
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation

- Linkages between project and other interventions within the sector
- Management arrangements

ii. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E(*)
- Implementing Agency (UNDP) (*) and Executing Agency (*), overall project oversight/implementation and execution (*)
- Risk Management, including Social and Environmental Standards

iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
- Sustainability: financial (*) , socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
- Country ownership
- Gender equality and women's empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

iv. Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or
  solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to

make.
The recommendations should be specifically supported by the evidence and linked to the findings
and conclusions around key questions addressed by the evaluation.

- The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used,
partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to include results related to gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown below:

ToR Table 2: Evaluation Ratings Table for *Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas*

Monitoring & Evaluation (M&E): 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU)	Rating [2]
M&E design at entry	(rate 6 pt.scale)
M&E Plan Implementation	(rate 6 pt.scale)
Overall Quality of M&E	(rate 6 pt.scale)
Implementation & Execution: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU)	Rating
Quality of UNDP Implementation/Oversight	(rate 6 pt.scale)
Quality of Implementing Partner Execution	(rate 6 pt.scale)
Overall quality of Implementation/Execution	(rate 6 pt.scale)
Assessment of Outcomes: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory	Rating

[2] Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (U)

(U), 1=Highly Unsatisfactory (HU)	
Relevance	(rate 6 pt.scale)
Effectiveness	(rate 6 pt.scale)
Efficiency	(rate 6 pt.scale)
Overall Project Outcome Rating	(rate 6 pt.scale)
Sustainability: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (U)	Rating
Financial resources	(rate 4 pt.scale)
Socio-political/economic	(rate 4 pt.scale)
Institutional framework and governance	(rate 4 pt.scale)
Environmental	(rate 4 pt.scale)
Overall Likelihood of Sustainability	(rate 4 pt.scale)
Impact: Significant (S), Minimal (M), Negligible (N)	Rating
Environmental Status Improvement	
Environmental Stress Reduction	
Progress towards stress/status change	
Overall Project Results	

5. Expected Outputs and Deliverables

The TE consultant/team shall prepare and submit:

- TE Inception Report: TE team clarifies objectives and methods of the TE no later than 2 weeks before the TE mission. TE team submits the Inception Report to the Commissioning Unit and project management. Approximate due date: 1st August 2021
- Presentation: TE team presents initial findings to project management and the Commissioning Unit at the end of the TE mission. Approximate due date: 26th August 2021
- Draft TE Report: TE team submits full draft report with annexes using guidelines on report content in ToR Annex C within 3 weeks of the end of the TE mission. Approximate due date: 7th September 2021
- Final TE Report* and Audit Trail: TE team submits revised report, with separately annexed Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Final due date: 22nd September 2021

*The final TE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.[3]

6. TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is UNDP Sri Lanka Country Office.

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the TE team, if travel is permitted. The Project Team will be responsible for liaising with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

The UNDP Sri Lanka Country Office and Project Team will provide logistic support in the implementation of remote/ virtual meetings if travel to project sites is restricted. An updated stakeholder list with contact details (phone and email) will be provided by the UNDP Sri Lanka Country Office to the TE team.

7. Duration of the Work

The total duration of the TE will be approximately 30 working days over a time period of 14 weeks starting 10th July 2021 and shall not exceed three months from when the TE team is hired. The tentative TE timeframe is as follows:

10th June 2021: Application closes
25th June 2021: Selection of TE Team
10th July 2021: Prep the TE team (handover of project documents)
15th July 2021 (4 days): Document review and preparing TE Inception Report
1st August 2021: Finalization and Validation of TE Inception Report- latest start of TE mission
16th August 2021 (10 days): TE mission: stakeholder meetings, interviews, field visits
26th August 2021: Mission wrap-up meeting & presentation of initial findings- earliest end of TE mission
2nd September 2021 (7 days): Preparation of draft TE report
7th September 2021: Circulation of draft TE report for comments
10th -14th September 2021: Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
15th September 2021: Preparation & Issue of Management Response
18th September 2021:(optional) Concluding Stakeholder Workshop
22nd September 2021: Final date of full TE completion

Options for site visits should be provided in the TE Inception Report. The expected date start date of contract is 10th July 2021 to 22nd September 2021.

[3] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

8. Duty Station

Homebased with one mission to Sri Lanka (within contract period). Travelling is required to Ipalogama and Galnewa Divisional Secretariat (DS) divisions and District Secretariat in Anuradhapura district, Wanathawilluwa DS divisions and District Secretariat in Puttalam district and national level stakeholders in Colombo district.

The International Consultant (Team Lead), however, can provide **option to work remotely due to the constraint in obtaining VISA to enter Sri Lanka and travel restrictions.** If so, the International Consultant can work from home. The International Consultant will describe the approach to collect data from the field in cooperation with the Local Consultant.

Travel:

- International travel will be required to *Sri Lanka* during the TE mission. But depending on possible travel restrictions related with COVID-19 context, the International Consultant may operate remotely
- The BSAFE course must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/ inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under: https://dss.un.org/dssweb/
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

REQUIRED SKILLS AND EXPERIENCE

9. TE Team Composition and Required Qualifications

A team of two independent evaluators will conduct the TE – one team leader (with experience and exposure to projects and evaluations in other regions) and one team expert, usually from the country of the project. The team leader will be responsible for deciding on the evaluation methodology, based on discussions with the project team and any restrictions as a result of the COVID-19 situation in-country.

The International Consultant will present this methodology (as part of the inception report) with a subsequent discussion with the Country Office to agree on way forward. The development of the data collection methodologies and tools (including questionnaires) will be led by the International Consultant, with support from the National Expert. Following the literature review, stakeholder consultations and field data collection, the International Consultant will lead the process of presenting the preliminary findings to the project stakeholders, which will be followed by the development of the draft terminal evaluation report.

The International Consultant will be responsible for finalizing the report based on comments received. The International Consultant will receive in-country support from the National Expert, who will be responsible for organizing and conducting field missions, interviews and field data collection. The team expert will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity

building, work with the Project Team in developing the TE itinerary, etc.). The National Expert will provide technical and administrative support to the International Consultant at the various stages of the Terminal Evaluation, including data collection, desk reviews, presentations and drafting of the report.

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

Education:

Master's degree in natural resource management/ environmental management/ biodiversity or other closely related field The consultant must present the following qualifications,

- Minimum 10 years of experience in natural resource management/ environmental management/biodiversity or other closely related technical area
- Recent experience with result-based management evaluation methodologies
- Project evaluation/review experiences with the GEF Projects/ United Nations system
- Competence in adaptive management, as applied to biodiversity conservation
- Work experience in a developing country context in the South Asia Region
- Demonstrated understanding of issues related to gender and conservation; experience in gender sensitive evaluation and analysis
- Excellent language skills in speaking and writing in English

Evaluation and Assessment Criteria: International Consultant	**Weight**
Technical Competencies	**70**
Master's degree in natural resource management/ environmental management/ biodiversity or other closely related field AND at least ten (10) years of experience in result based management evaluation methodologies	17.5
Experience applying SMART targets and reconstructing or validating baseline scenarios	7
Competence in adaptive management, as applied to Biodiversity;	7
Experience in evaluating projects and project review experiences within United Nations system	10
Work experience in a developing country context and experience working with other foreign donor agencies/projects in Sri Lanka or other Countries	7
Demonstrated understanding of issues related to gender and conservation; experience in gender sensitive evaluation and analysis (15%);	10.5

Excellent communication skills & Demonstrable analytical skills	7.5
Excellent knowledge of English.	3.5
Financial (Lower Offer/Offer*100)	30
Total Score Technical score + Financial Score	**70+30**

10. Evaluator Ethics

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'.

The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

11. Payment Schedule

- 20% payment upon satisfactory delivery of the final **TE Inception Report** and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the **draft TE report** to the Commissioning Unit
- 40% payment upon satisfactory delivery of the **final TE report** and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

    - Criteria for issuing the final payment of 40%
- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

APPLICATION PROCESS

12. Scope of Price Proposal and Schedule of Payments

Financial Proposal:

- Financial proposals must be "all inclusive" and expressed in a lump-sum for the total duration of the contract. The term "all inclusive" implies all cost (professional fees, travel costs, living allowances etc.);

- For duty travels, the UN's Daily Subsistence Allowance (DSA) rates are for Anuradhapura and Puttalam districts respectively, which should provide indication of the cost of living in a duty station/destination *(Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.)*
- The lump sum is fixed regardless of changes in the cost components.

13. Recommended Presentation of Proposal

a) **Letter of Confirmation of Interest and Availability** using the template provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form);
c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address Head of Procurement/Administration, United Nations Development Programme, 202-204 Bauddhaloka Mawatha, Colombo 07, Sri Lanka in a sealed envelope indicating the following reference "Consultant for Terminal Evaluation of Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas Project (PIMS #5165) or by email at the following address ONLY: consultants.lk@undp.org by 2.00 p.m. IST on 10th June 2021. Incomplete applications will be excluded from further consideration.

14. Criteria for Selection of the Best Offer

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring.

The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

15. Annexes to the TE ToR

Suggested ToR annexes include:

- ToR Annex A: Project Logical/Results Framework
- ToR Annex B: Project Information Package to be reviewed by TE team

- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR Annex E: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales and TE Ratings Table
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail template

This TOR is prepared by:

Signature: 

Name and Designation: Sugandhi Samarasinghe, Technical Coordinator- ESA Project, UNDP

Date of Signing: 20 – May – 2021

This TOR is recommended by:

Signature: Sureka Perera

Name and Designation: Sureka Perera, Programme Quality and Design Analyst, UNDP

Date of Signing: 20 – May – 2021

This TOR is approved by:

Signature: 

Name and Designation: Buddika Hapuarachchi, Policy Specialist & Team Leader, UNDP

Date of Signing: 20 – May - 2021

Annex 3 Project Logical/Results Framework

This project will contribute to achieving the following Country Programme Outcome as defined in the CPAP for Sri Lanka (2013-2017): Outcome 4: Policies, programmes and capacities to ensure environmental sustainability, address climate change mitigation and adaptation, and to reduce disaster risks in place at national, sub-national and community
Country Programme Outcome Indicators: Number of national and sectoral policies approved by government CPAP Output: 4.2 Government agencies, community groups and private sector are equipped with mechanisms and practices to promote sustainable use of natural resources, biodiversity conservation and adaptation to climate change
Contributing Strategic Plan Output: 2.5 Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation Data components for monitoring SP output indicators • 2.5.1.A.1.1: Extent to which legal frameworks are in place for conservation, sustainable use, and/or access and benefit sharing of natural resources, biodiversity and ecosystems • 2.5.1.B.1.1: Extent to which policy frameworks are in place for conservation, sustainable use, and/or access and benefit sharing of natural resources, biodiversity and ecosystems 2.5.1.C.1.1: Extent to which institutional frameworks are in place for conservation, sustainable use, and/or access and benefit sharing of natural resources, biodiversity and ecosystems
Applicable GEF Strategic Objective and Program: Strategic Objective 2 – To mainstream biodiversity in production landscapes/ seascapes and sectors; Strategic Priority 4 – Strengthening the policy and regulatory frameworks for mainstreaming biodiversity
Applicable GEF Expected Outcomes: Conservation and sustainable use of biodiversity incorporated in the productive landscape

Project Strategy	Indicator	Baseline	End of Project Target	Means of verification	Risks and assumptions
This project will strengthen the country's ability to *safeguard biodiversity outside protected areas in especially designated Environmentally Sensitive Areas through a new land use governance framework*. Such areas will be vehicles for safeguarding globally significant biodiversity on production lands of high conservation value. The project will demonstrate two Environmentally Sensitive Area (ESA) establishment and management at Kala Oya Region, where land use planning and allocation will be configured to balance conservation and development objectives to protect major habitat blocks and ensure structural and functional connectivity across the landscape. The project will ensure that the indirect impacts of development are adequately understood and factored into land use and local development decision making.					
Objective: To operationalize Environment Sensitive Areas (ESAs) as a mechanism for mainstreaming biodiversity management into development in areas of high conservation significance	1. % of land area identified nationally for Environmentally Sensitive Area designation	Present, there is no land identify and manage under ESA in Sri Lanka.	At least 5% (328050 ha) of Sri Lanka's land area is identified for ESA. Total land - area managed under ESA terrestrial land - 158700 ha, Marine - 51000 ha,	National Scale Up plan	Risk: Focus given to ESAs may result in generating a perception that other areas or landscapes are not important for biodiversity and may fall on the "blind spot" during the process of conducting EIAs or SEAs -- potentially locating major developments in such areas beyond capacity and to also compensate for lost land area as a result of ESA designation, thereby still causing negative impacts overall.
	3. Populations of globally threatened species within Wilpattu and Kala Wewa ESAs is maintained	· Elephas maximus (600)	· Elephas maximus (600)	Project's survey reports at midterm and end of project	Climate change or other severe climatic or other impacts do not impact the sites and the species therein during the project period
		· Panthera pardus (113)	· Panthera pardus (113)		
		· Sousa chinensis (04)	· Sousa chinensis (04)		
		· Dugong dugon (10). Baseline will be done	· Dugong dugon (10)		

		from July to December 2016 to verify the figures			
	4. Areas of critical habitats managed	Extent of: Salt Marsh: 250 ha Mangrove forests: 620 ha Riverine forests: 400ha Moist Mixed Evergreen Forest: 2000 ha Scrub on floodplains: 100ha	100% maintenance of the same lands	Project's survey reports at midterm and end of project	
OUTCOME 1. National Enabling Framework Strengthened to Designate and Manage Environmentally Sensitive Areas (ESA)	1. Appropriate Policy and legislative mechanisms developed to guide identification, declaration management, conflict mitigation and monitoring of ESAs	• National Environment Act and several other Acts and policies exist that support conservation Policy on human elephant conflict exists	1. Forming of National Policy and Strategy on ESA 2. Preparing National ESA Scale Up Plan 3. Updated policy, strategies to address human wildlife conflicts	Government notification	Policy, strategy and national scale up plan will have cross sectoral support and inputs – including provincial government support
	2. Number of intersectoral plans approved and financed by crosssectoral National ESA Committee	0	4. Approving at least two ESA land use plans by ESA national ESA committee. 5. Approving at least 8 annual work plans	Minutes of meetings	Different sectoral agencies will understand the benefits of participating in the national steering committee and will send senior level staff to participate MOE will continue to prioritize biodiversity conservation, in the

<table>
<tr><td rowspan="3"></td><td rowspan="2"></td><td rowspan="2"></td><td>(one for each pilot ESA)
by national ESA Committee, along with
joint policy guidance for ESA management</td><td rowspan="2"></td><td>context of several competing demands on the time of its senior policy makers</td></tr>
<tr><td></td><td>National experts will be willingly and voluntarily contributing to additional demands on their time imposed by the needs of ESA</td></tr>
<tr><td>3. % changes of capacity of consortium to promote and manage effective ESAs as the national lead, against the UNDP scorecard.</td><td>Baseline UNDP Capacity Scorecard
Strategic Area of Support | Initial Evaluation
1. Capacity to conceptualize And formulate policies, legislations, strategies and programmes | 3
2. Capacity to implement policies, legislation, strategies and programmes | 16
3. Capacity to engage and | 4</td><td>6. 20% increase in capacity scorecard from baseline</td><td>Report outlining changes in scores at mid-term and project end</td><td>The Environment, Planning & Economics Division will be able to have effective linkages with consortium members in national and particularly at the provincial, district and local levels</td></tr>
</table>

		build consensus among all stakeholders				
		4. Capacity to mobilize information and knowledge	2			
		5. Capacity to monitor, evaluate, report and learn	4			
	4. Decision Support System available to practitioners for managing multiple land uses in ESAs	Non existing		7. Forming of National guideline to integrate biodiversity conservation and sustainable use into land use planning	Publication and their availability in hard copies and online	Guideline use will be promoted by all relevant sectors to their field staff
				8. Forming of guidelines in Sinhala, Tamil and English to aid field practitioners on how to integrate biodiversity conservation into sectoral plans and actions, (agriculture, forestry, coastal development and tourism)		Use of guidelines will not be constrained by financial and other political constraints on the ground
				9. Developing Online		Universities and researchers will

			Integrated biodiversity assessment tool to identify biodiversity hotspots nationwide, building on national and international data		willingly contribute their knowledge and information to input on, and update biodiversity information on the web
					The information on web will not be used by people to target unsustainable harvesting (poaching) of threatened species
OUTCOME 2: **Biodiversity-friendly** **ESA management** **for long term** **integrity and**	5. Area under management with inter-sectoral partnership and quantifiable biodiversity conservation targets	0	10. 200,000 ha	Project Report	Different sectoral agencies will understand the benefits of participating in the district and local committees and will be able to effectively work with the national steering committee and the experts groups/Stakeholders see the plans as restrictive rather than enabling due to its focus on biodiversity and a precautionary approach towards normal development
	6. Stakeholders'	Limited training and	11. Not applicable	Capacity assessments	Capacity development activities can be

resilience ensured at **two sites in the Kala** **Oya Region**	capacities to implement ESA's land use/ seascape plans for conservation IMPROVED	awareness such as through Environmental Pioneer Programme and Eco Clubs			institutionalized locally and nationally
	7. Increase in funding available to support biodiversity friendly ESA management activities	At least 150,000 USD per annum being invested in promoting Eco friendly farming ~~organic~~ and in protected areas management	12. At least 20% increase in funding from baseline by various sectors compatible with land use / seascape plans (at least 4 sectoral plans): Agriculture, Forestry, Fisheries, Water resources management	Project Report	Assumption: Government will not be able to provide all required resources for ESA management in near future, necessitating for other sources of funds and resources
			Endorsing Two long term financing plans – one for each ESA by all relevant parties		
	8. Extent of protected areas whose management is integrated with wider landscapes/ seascapes to minimize threats from outside PA and to mitigate land and resource use conflicts at ESAs	0	13. Integrating 131,667 ha (Wilpattu NP), 21,690 ha (Kahalla pallle kale), 1528 ha (Ritigala), 30,600 ha (BarReef) with wider landscapes/ seascapes	Project reports	There will be high level of support from DWC for new approach to conservation at landscape beyond traditional PA boundaries

	9. Critical biodiversity habitats outside protected areas are effectively managed	25000 ha under community forestry (TBC after baseline planned in 2016)	16. Protecting, rehabilitating and managing additional 17,500 ha of habitats (8000 ha _critical forest habitat, 7000ha catchments & tank cascade landscape, 1000 ha critical coastal habitat, 1500 ha isolated hills)	Project report	Local communities will support such actions and are able to benefit from them directly
	10. Extent of land brought under biodiversity compatible agricultural production practices	340 ha under eco-friendly farming and IPM	17. Bringing up to 25,000 ha (including paddy, chena land and homesteads) under ecofriendly production practices	Records From sectoral agency	Biodiversity compatible land use /seascape use will not adversely affect livelihoods of local communities, and in many cases will benefit them more.

Annex 4 List of documents reviewed by the TE team

ESA project document (ProDoc)
ESA Project Inception Report, and Annexes, including Theory of Change
Project Implementation Reports 2017 – 2021
Final MTR report, 03 Dec 2018
ESA Policy development process, Report 09 07 2021
National Policy of Environmentally Sensitive Areas in Sri Lanka. Ministry of Environment (2021 07 09 DRAFT Version)
ESA-Gender Analysis and Action Plan, 2017
Project Review -Gender Action Plan under Gen 2
GEF ESA 5165 Initiation Plan September 13 2013
2021 AWP mid year results reviews
2020 Year-End Review Discussion on AWP 2021
2018 ESA Project Results and Monitoring Pathway, Final
ESA Quarterly Progress Q1 2018
Gangewadiya ESA Co-Management Plan
Kala Oya Riverine Environmentally Sensitive Area Co-Management Plan
Manewa Kanda Environmentally Sensitive Area Co-Management Plan
UNDP Country programme document for Sri Lanka (2018-2022)
Maps of project sites
Audit Report 26 March 2021, KPMG, commissioned by UNDP CO
PIMS 5165 Sri Lanka ESA - CEO Endorsement Request, 18. Dec2014
Identification and Governance of Environmentally Sensitive Areas in Sri Lanka Resource Book, 2020
Technical Paper on ESAs, June 2018
Institutional Arrangements for Participatory Planning and Management in Environmentally Sensitive Areas, August 27, 2018
Capacity Needs Assessment, May 2019
Minutes of Project Board Meetings
Oversight Mission Reports, Workshop reports (selected)
PIMS 5165 Sri Lanka ESA PIF revised 13 April 2012
Biodiversity Profiles Gangewadiya, Villus, Wewalkale, Manewakanda, KalawewaAwkana ESAs (viewed)
PIMS 5804, Managing together, Sri Lanka, Prodoc
Land Use Maps of Kaya Ola Basin and planned ESAs (as provided by PMU in folder List map of Project Sites and Biodiversity Integrated landscape level land use plan of Kala Oya Basin by LUPPD

Annex 5 List of Key Informants and Participants in Focus Group Discussion, and Organizations that survey respondents belonged to

Date and Time	Organization/ Sector	Name	Level
2nd August @8.30 p.m	UNDP Consultants	Mr Malcolm Jansen - Senior Advisor	Project Team
3rd August @ 8.30 p.m	UNDP Consultants	Mr Dissanayake - Senior Advisor	Project Team
18th August @ 9.30 a.m.	Divisional Level Ipalogama	Mr. Jayaruwan-DO Ipalogama	Divisional Level
		Mr. Rajakaruna - Agriculture Instructor Ipologama	
18th August @ 11.00 a.m.	Divisional Level Wanathawilluwa	Mr. Milanga Nandasena- Divisional Secretary	Divisional Level
		Mr. Aruna Tennakoon - DO Department Of Agrarian Development	
		Mr. Gayan Bandara- DO Department Of Agrarian Development	
		Mr. Chathuraka Jayasinghe - former Divisional Secretary	
		Ms. Shriyani Ranepura - WDO	
		Mr. Rohitha Sanjeewa , Agriculture Instructor	
19th August @ 10.00 a.m.	Divisional Level Ipalogama & Galnewa	Mr. Susil Rajakaruna-DS-Ipalogama	Divisionla level
		Ms. Chethika Senadheera - DS Galnewa	
		Ms Hasanthi Herath - Secretary - Divisional Secretariat - Ipalogama	
		Ms. Renuka Weerasinghe - EDO	
		Mr. Chathuranga - EDO Manawa Kanda	
19th August @ 1.00 p.m.	DWLC - AD	Mr. Eranda-AD Puttalam	District / Provincial Level
		Mr. Manjula Morathanne -Ranger Kalpitiya	
19th August @ 2.30 p.m.	Wayamba Development Authority	Mr. Mahawattha - Director General	District / Provincial Level
		Mr. Indika Senavirathne-Deputy Director Tourism	
		Mr. Viraga Amarasinghe - AD, Cheif Secretary Office	
		Ms Sathika Udalupola - IT assistant	
		Ms Deepasita Gunathilaka– Program Officer	

20th August @ 10.30 a.m.	Provincial Department of Agriculture - Anuradhapura & Puttalam	Ms. Madana-PD NCPDOA	District / Provincial Level
		Ms. Gowry Samarweera-Deputy Director-NCPDOA	
		Ms.Resha Dayarathne-Deputy Director-NCPDOA	
		Mr. Sunil Wanninayake - Deputy Director NWPDOA	
		Ms.Tharangika Sharmali - Deputy Director - NWPDOA	
20th August @ 2.00 p.m.	District Secretariat Puttalam	Ms. S.P Sandanayake-Director Planning-Puttalam -DS	District / Provincial Level
20th August @ 5.30 p.m.	ESA Team and UNDP	Buddika Hapuarachchi - Policy Specialist & Team Leader	Project Team
		Sureka Perera - Programme Quality & Design Analyst	
		Sugandhi Samarasinghe - Project Manager cum Technical Coordinator	
		Manjula Bandara - Field Coordinator	
		Lakshitha Prasad - Community Volunteer	
		Chamodi Sandunika - Community Volunteer	
		Dinithi Subasinghe - Project Assistant	
20th August @ 7.15 p.m.	Land Use Policy Planning Department	Mr. Sisira Hapuarachchi, Asst. Director	National Level
22nd August @ 7.00 p.m.	Wayamba University of Sri Lanka	Prof. Sevvandi Jayakody - Focal point for Scaleup plan	National Level
23rd August @ 9.00 a.m.	Gangewadiya CBO	Mr.Arosh Malaka - Tour Boat Society	Community Level
		Mr. Suraj - Apekale Society	
		Ms Linda - Apey Kelley Society	
		Mr. G.G Anil Premadasa - Eco resort	
		Ms Shyamali - Farmer Society, Eluwankulama	
		Mr Sunimal Shantha - tourism operator	
23rd August @ 10.30 a.m.	Forest Department - Anuradhapura & Puttalam	Mr. Sarath Kumara-DFO Puttalam	District / Provincial Level
		Mr. Munasinghe DFO-Anuradhapura	
		Mr. W.M Wasala - Range Forest Officer Puttalam	

		Mr. Ravindra Lal - Range Forest Officer Anuradhapura	
24th August @ 10.00 a.m.	Provincial Irrigation Department - Anuradhapura	Eng. Jayantha -Provincial Director-NCP	District / Provincial Level
		Mr. Champika Ranathunga - Site Engineer	
24th August @ 4.30 p.m.	IUCN	Dr. Ananda Mallawatantri - Country Representative	National Level
25th August @ 9.00 a.m.	Central Environment Authority	Ms. Priyangani Gunathileka, Director, NRM	National Level
		Dr. Ajith Gunawardhana, Director	
25th August @ 10.30 a.m.	District Secretariat Anuradhapura	Mr. Ruwan Bandara Nawarathne-Additional District Secretary	District / Provincial Level
		Mr. Wanninayake - District Secretary	
25th August @ 2.30 p.m.	Ministry of Environment - Implementing Partners	Mr. M.G.W.M.W.T.B. Dissanayake, Additional Secretary (Environment Policy & Planning)	Project Team/lead Agency
		Ms. Pathma Abekoon, Director, Biodiversity Secretariat	
		Ms. Kulani H.W. Karunarathne, Director, Environment Planning & Economics Division	
		Ms. Janaki Amarathunga, Director, IR (GEF Focal Point)	
		Mr. Leel Randeni, Assistant Director, Environment Planning & Economics Division	
25th August @ 5.00 p.m.	Land Use Policy Planning Department - Puttalam	Mr. Mahinda Padmasiri-AD Puttalam	District / Provincial Level
25th August @ 7.00 p.m.	Forest Department - National level	Dr. Thilak Premakantha, Conservator	National Level
		Mr. Nishantha	
		Mr. Bharatha Dissanayake, Former District Forest Officer - Wanathawilluwa	
26th August @ 4.00 p.m.	Ipalogama & Galnewa CBOs	Mrs. Wasanthi, Secretary MK ESA CBO	Community
		Mr. Wijesena, Secretary, Watakoluwagama Farmer Organization - Galnewa ESA	
		Mr. Neil, Chairman, Habarawatta Farmer Organization - Galnewa ESA	
27th August @ 4.30 p.m.	Sri Lanka Institute of Development Administration	Ms. Neranjala Jayasundara, Additional Director General	National Level

Organizations that Survey Participants belonged to

ESA	
Sithamu Kantha CBO -Ipalogama	
Settukualam Farmer Organization-Ipalogama	
Sithamu Kantha CBO -Ipalogama	
Sithamu Kantha CBO -Ipalogama	
Weval Kale Society - Weval Kale ESA	
Ralmaduwa Farmer Organization - Weval Kale ESA	
Ralmaduwa Farmer Organization - Weval Kale ESA	
MK ESA CBO- Hapidiyagama	
MK ESA CBO- Hapidiyagama	
Sithamu Kantha CBO -Manewa (MK ESA)	
Sithamu Kantha CBO -Ihalakagama (MK ESA)	
Sithamu Kantha CBO -Hiripitiyagama (MK ESA)	
Agriculture Production - Villu ESA	
Bandaranayakepura Farmer Organization, Villu ESA	
Sithamu Kantha Farmer Organization - Wanathavilluwa ESA	
Eluwankulama ESA	
Eluwankulama ESA	
Eluwankulama ESA	

Annex 6 Survey Tool, and Summary Findings of Survey

Environmentally Sensitive Areas Survey for Terminal Evaluation

For our records/reference

Project location Divisional Secretariat:
Name of the ESA:
For our records/tracking: name of the person:
Phone number:
Survey done by:

Background Information

1. Age
2. Gender
    i. Male
    ii. Female
    iii. Other
3. Primary income generating activity
    i. Agriculture
    ii. Animal husbandry
    iii. Tourism
    iv. Public sector employee
    v. Private sector employee
    vi. Unemployed
    vii. Other
4. Your involvement in the ESA project (more than 1 answer is possible):
    i. As a part of the Local Management Committee (LMC)
    ii. Participated in planning and decision-making activities
    iii. I am involved in the livelihood projects of the project
    Iv. I am involved as a partner/part of a CBO
    v. I was involved in/consulted during project design
    vi. I was involved in awareness building activities conducted by the project
    vii. I was involved in trainings conducted by the project
    v. I am not part of the project
    vii. Other

Effectiveness

5. Is there an effective community participation in ESA management?
    i. Yes
    ii. Somewhat yes
    iii. No

6. On a scale of 1-4 – where 1 indicates very dissatisfied and 4 indicates very satisfied – how satisfied are you with community participation in ESA governance?
    i. Very dissatisfied
    ii. Satisfied
    iii. Dissatisfied
    iv. Very dissatisfied
    v. Don't know/not able to say (as a last resort – of they are not able to give a rating)

7. Why do you think so?
8. Was the role of the community in ESA governance been agreed and clarified with community stakeholders?
    i. Yes
    ii. Somewhat yes
    iii. No

9. Has the community participation in contributing to successful achievement of project targets?
    i. Yes
    ii. No
10. Why do you think so?
11. Has the role of the government officials contributed to the successful achievement of project targets?
    i. Yes
    ii. No
12. Why do you think so?

13. How is this project management (implementation structure, planning/consultation processes) similar or different from other projects? (probing for government handles this project as compared to other work/other projects – open ended question)

Benefits

14. How has this ESA project benefited you, your family or community?

15. On a scale of 1-4 – where 1 indicates very well developed and 4 indicates not developed at all – to what extent has the communities' technical capacities developed (Mapping/Management/Stakeholder engagement/Financial management/Monitoring and evaluation)?
    i. Very well developed
    ii. Developed
    iii. Not well developed
    iv. Not developed at all
    v. No opportunities were provided

16. On a scale of 1-4 – where 1 indicates very well facilitated and 4 indicates not facilitated at all – to what extent is women's participation in ESA governance encouraged?
    i. Very well facilitated

ii. Quite facilitated
iii. Not well facilitated
iv. Not facilitated at all
v. No facilitation was done

17. Has women's participation in ESA governance yielded any benefits for women (Access to/control of resources/Access to information/Decision making power/influence/Income generation/social status/membership to organization)?
    i. Yes
    ii. Somewhat yes
    iii. No
18. If yes, What kind of benefits?
    I. Access to/control of resources
    II. Access to information
    III. Decision making power/influence/leadership in organization
    IV. Income generation
    V. social status
    VI. membership to organization
    VII. No opportunities
    VIII. other

Sustainability

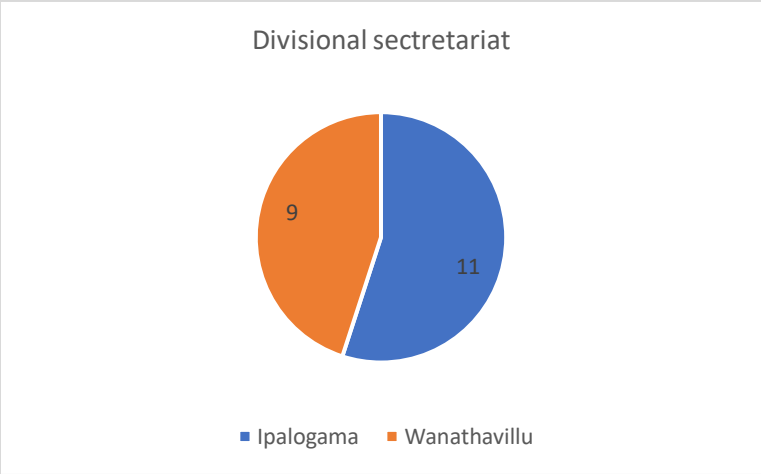
19. Is the management arrangement set up for the ESA able to continue after the project time frame is completed?
    i. Yes
    ii. No
20. What abilities do you, your community have to continue the project without external support?
21. What are the limitations that you expect? What are key challenges and how to address them to enhance sustainability ?

Impact

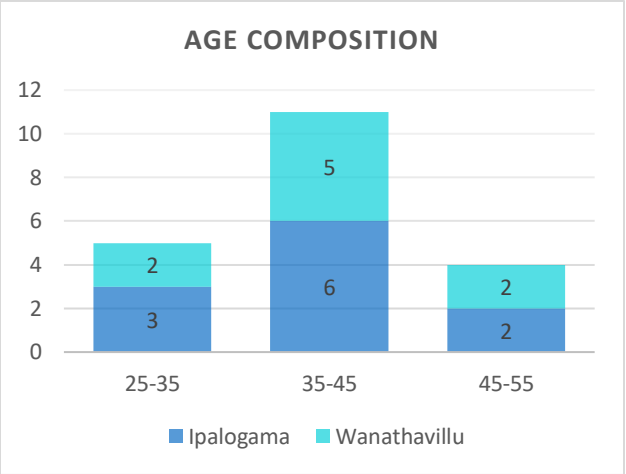
22. What are the main lessons learnt /changes/success factors (or problems) from this project? (Hoping to get about management, environment, livelihoods, the concept)
23. Any other comments that you would like to share with us? (open ended)

Primary Information

Divisional Secretariat



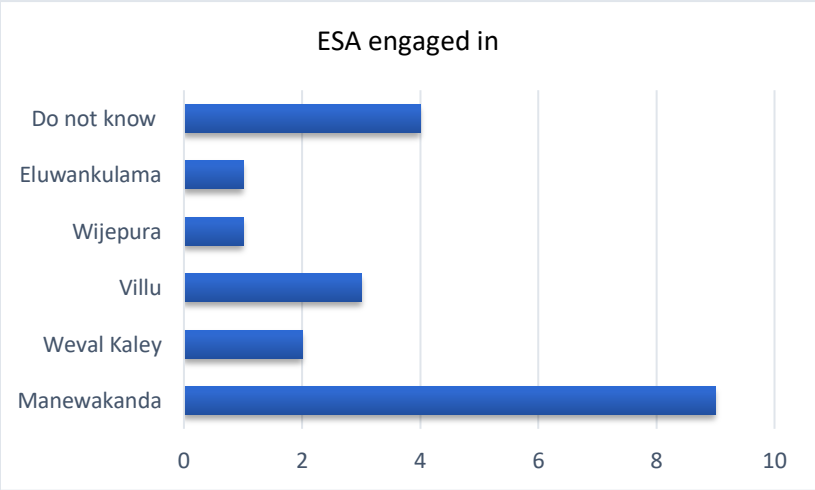
Age



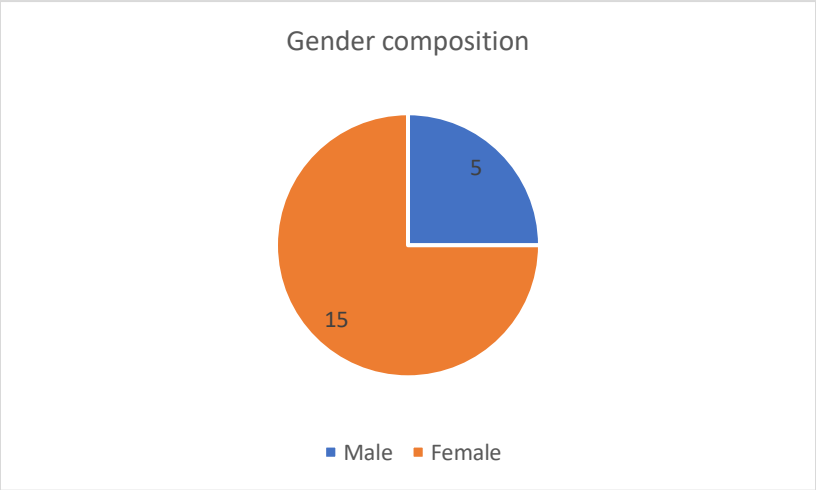
Mean age:

40.25

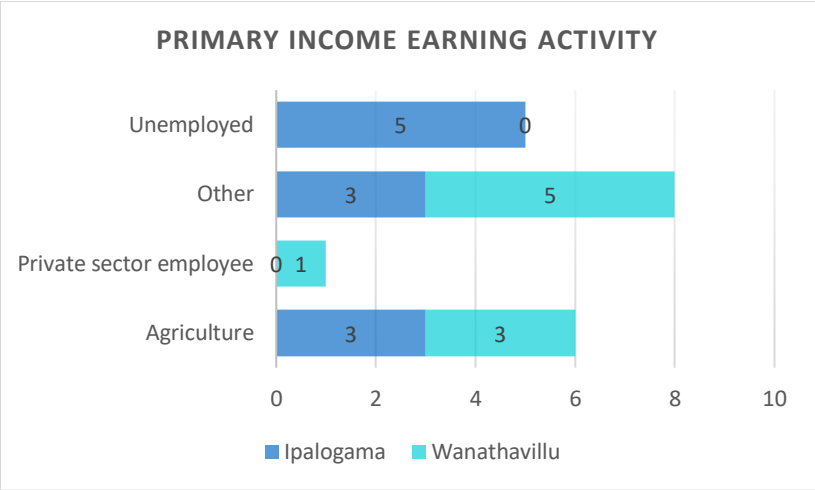
ESA engaged in



Gender

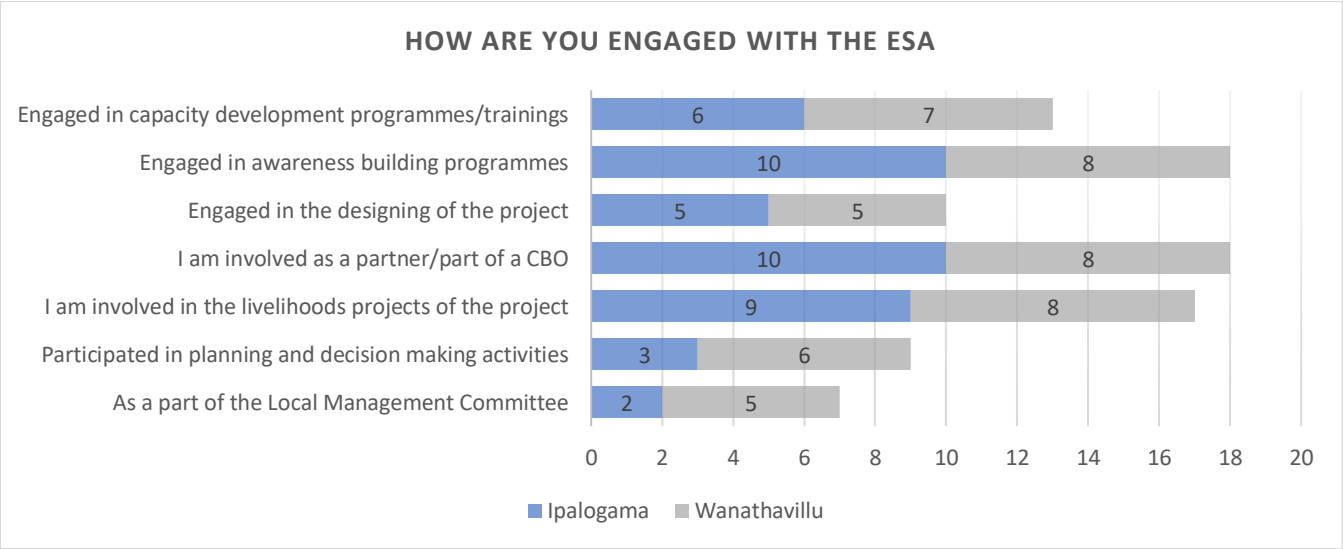


Primary income earning activity



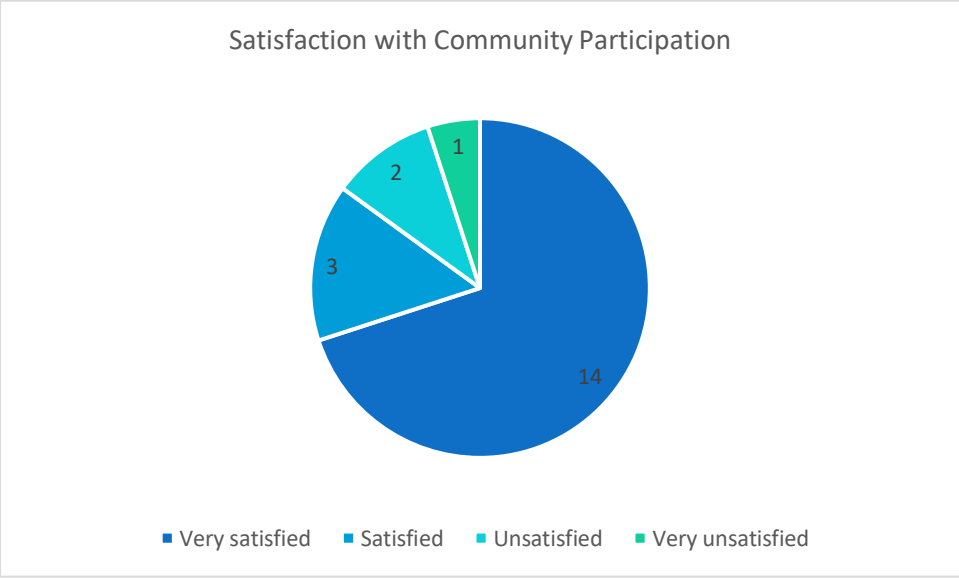
Other (specify)
Self-employed - juggery, milk toffee, murukku production
Self-employed - weval productions
Treasurer - Ralmaduwa Community Organisation / Electric meter reading
Self-employed - sewing
Self-employed - orchid nursery/sewing/cutting coconut husks for crops
Self-employed - runs a mill
Driving
Runs a restaurant

How are you engaged with the ESA



Effectiveness Parameters

Level of satisfaction with community participation in ESA

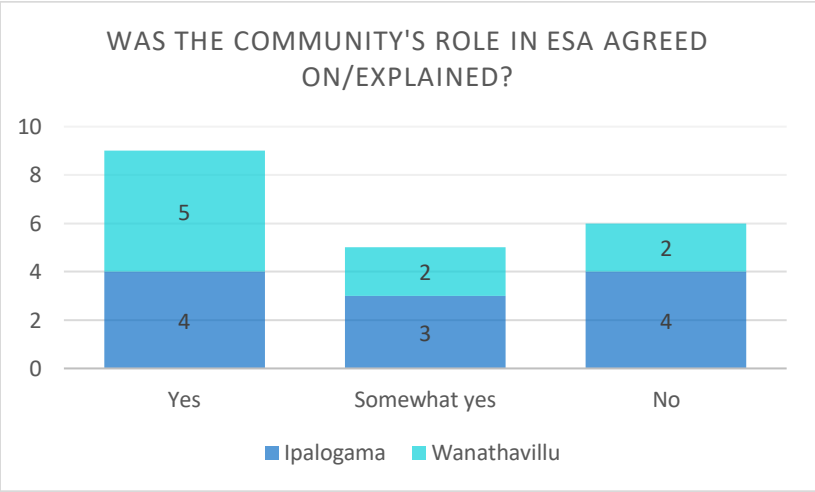


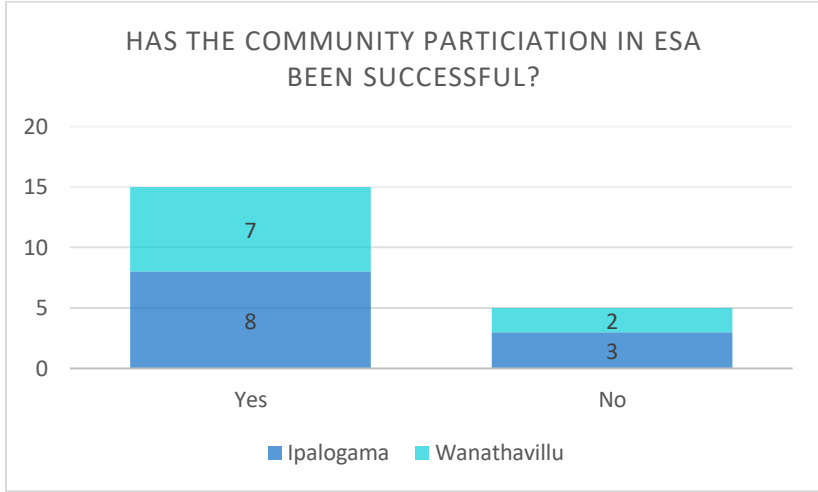
Why are you very satisfied	Why are you satisfied	Why are you unsatisfied	Why are you very unsatisfied
Ipalogama			
Has empowered the community to be self-employed, generated knowledge	Pleased with engaging the community in self-employing and teaching them eco-friendly practices	There is no significant community participation because the community itself is small. Out of 5 people who received pepper plants in the community the pepper plants died for 4 of them.	
It is the first time the community was engaged in something like ESA. It has generated a lot of knowledge among the community	Because more than one person is benefitting		

The project helps save the tanks from invasive species like Japan Jabara - water hyacinth (Eichhornia crassipes)			
Earlier the community could only cultivate *yala* and *maha.* Now they can receive an income weekly by selling fruits and vegetables			
Taught the importance of conserving the environment, helped conserve tanks, strengthened the community's economic standing			
Awareness raised among the community			
It can generate incomes for the community			
The community input was considered in decision-making, no discrimination between genders			
Wanathavillua			
Because men and women were equally represented in LMC	Because the community has benefitted	Communities in Eluwankulama were not given anything like plants or other resources whereas people in Gangewadiya received them.	Out of 10 community beneficiaries, one has he received a water tank. Many benefits are not received by the community. Some community involvement in societies are contested by Sinhalese
People are encouraged to be self employed			
Women were not discriminated in anyway. There is about 75%			

successful community participation			
Men and women were equally represented, community's input was significantly considered in decision making			
Provided many opportunities for women			
Women were empowered, they were not discriminated			

Was the community's role in ESA agreed on?



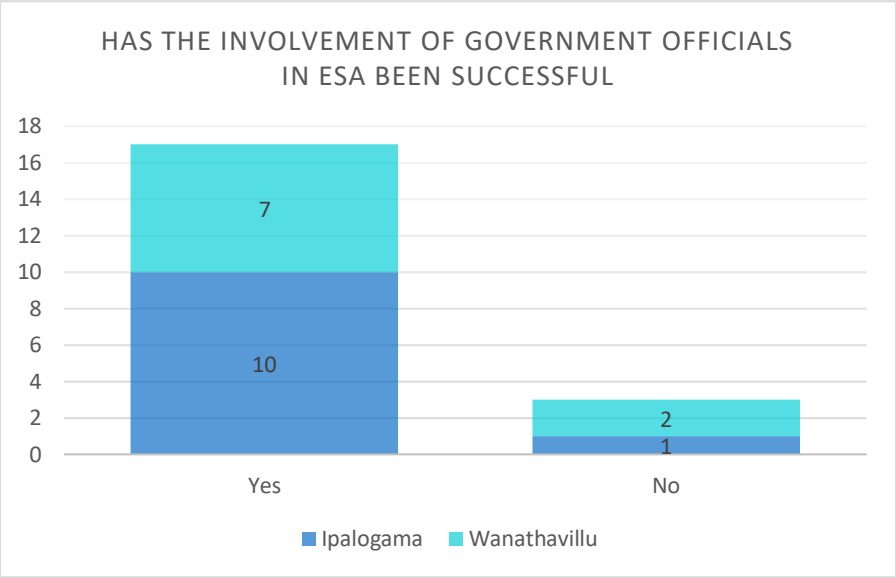


Has the community involvement in ESA been successful?

Community participation has been successful	Community participation has not been successful
Ipalogoma	
Because the community is encouraged to continue the activities conducted by ESA	There were 5 people from her village engaged in the project. One person has dropped out as she did not have a sufficient machine for japan jabara weaving. Others are also facing the same/similar issues but they are continuing the work
Tanks have been conserved by removing japan jabara - it has resulted in a better water flow for farms/paddy fields	Because all (most of the) the plants died (pepper)
Enthusiasm within the community to carry out the activities conducted by ESA continues till this day	Not everyone who received training is continuing these activities. Out of 40 beneficiaries selected, very few are still engaging in it
A lot of enthusiasm is generated among the community	
Yes, but it has been interrupted by corona	
Because the community is encouraged to continue it	
The community has made use of the knowledge generated and continue to engage in ESA activities	
Because people are encouraged to continue ESA activities	
Wanathamulla	
They were very enthusiastic. 38/40 people continue to take part in ESA projects	Water scarcity - not everyone has received support to address water scarcity (unequitable benefit distribution)
Everyone has come together/been united - a sense of organization among the community	Because people did not get a chance to engage in the project
Not 100% successful. but approximately 75% continue to engage with ESA activities	
Earlier it was difficult to get farmers to switch to organic fertilizer from chemical fertilizer. Now farmers are compelled/encouraged and with the new government policy banning chemical fertilizer usage, the farming community is not disempowered	
The community is now compelled/encouraged to conserve nature	
There is a systematic dissemination of knowledge to the community about conserving the Villu. They are provided a return from an investment	

It is the community, and women in particular, that did much of the ESA work related to cleaning the tanks	

Has the involvement of government officials been successful?



Government officials involvement has been successful	Government officials involvement has been unsuccessful
Ipalogama	
Because the officers provided guidance, raised awareness, and provided them with plants	They are first time pepper growers. Neither the community nor the agri officer has knowledge about pepper plantation. Only development officer visits them regularly. They were told some officers from Colombo will come to inspect the pepper plants but ultimately they did not show up either. if officer who has knowledge about pepper plantation visits them, it will be good

Resolved personal issues such as financial constraints that were hindering achieving the project objectives, helped obtain a sewing machine	
Provided constant support and guidance and physical assets needed home gardening and water pipes	
Provision of a package worth LKR 1,500 consisting of a brush, a pair of scissors, threads, cloth (3m), zippers, and 4 bag handles.	
Provided technical know-how and financial management knowledge	
Raised awareness	
The ESA has established the Manewakanda eco park for tourism purposes. Officials have helped obtain permission from the department of archeology for taking pictures and issuing tickets	
Raising awareness about crop maintenance, monitoring	
The frequently monitored crop maintenance earlier. Halted temporarily because of corona	
Frequent monitoring, providing guidance	
Wanathavillu	
They encouraged us to continue when we were running out of raw material like water and fertilizer. Helped use homemade compost as an alternative to chemical fertilizer	They have requested for a water line but it has not been fulfilled. There is a water line that goes to Gangewadiya, that can be converted to provide them water. But it has not been done
Because they provided support and training. They even organised the "Weval National Ceremony - wewal raajya uthsavaya" in Ralmaduwa	One officer promised to provide resources, but the neglected the people in Eluvankulama. He even tried to limit members in Women's society to 15 (initially there were 40). But the women's society opposed it
Provided guidance, advise, and monitoring	
Raised awareness	
They mobilized the community and arranged activities/programmes	
Systematic knowledge distribution about the significance of eco systems	
Provided support, guidance, and credit facilities	

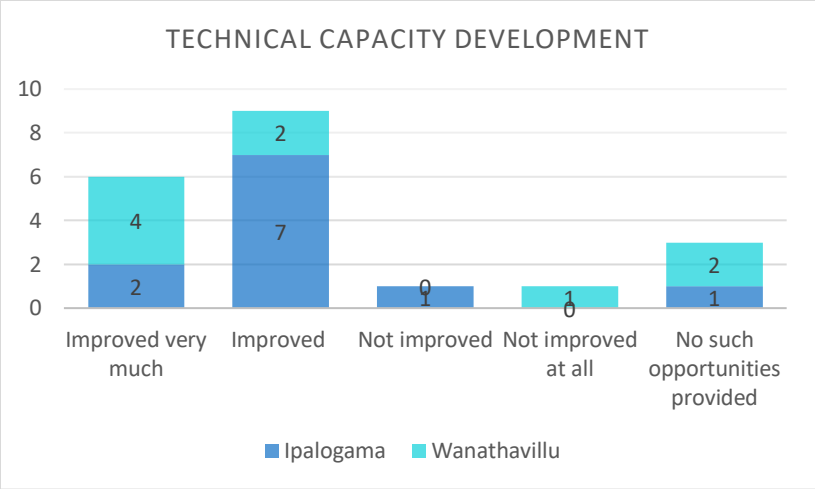
How does this project differ/is similar to from other projects conducted in your area?

How does this project differ/is similar to from other projects conducted in your area?	
Ipalogama	**Wanathavillu**
Don't know	In terms of the successful coordination between the community and DOs/*Govi Jana Seva* Officers/institutions
Don't know	Not participated in other projects - but people have been encouraged to participate in this project and they show a greater interest in *weval* production as opposed to before
Don't know	In terms of farmer selection, the ESA project has been good. Benefits trickled down to those who were selected only. a previous world vision project had engaged the entire community so it has not been successful and share of benefits per person has been low
Similar projects were done previously in relation to producing slippers and incense sticks. But the lack of access to markets hindered those projects. Even in terms of ESA, inadequate access to markets has been a significant issue	In previous projects, the community's input in decision making was not given much consideration so they were discontinued after a short while. UNDP has given community input much weightage
They have participated in a coconut plantation project. That project has yielded better results and is monitored better with officers visiting them regularly and informing them about the type of fertilizer that needs to be used and how to avoid crop damage from coconut beetles	Per person benefit is higher than other projects - eg: quantity of plants received
Don't know	Don't know
Sourcing raw materials was difficult for other project. Japan Jabara needed for ESA is abundantly available. However, other RM needed, such as cloth and bad handles, are difficult to source because of corona	Don't know - recent settler
More benefits received from ESA because the other project (ISB) was introduced recently	ESA gave more weightage to community input
Don't know	A world vision project - treated everyone from all ethnicities equally
No significance difference	
A previous Australian-based project was discontinued shortly because it did not take community input into consideration. ESA gives much weightage to community input	

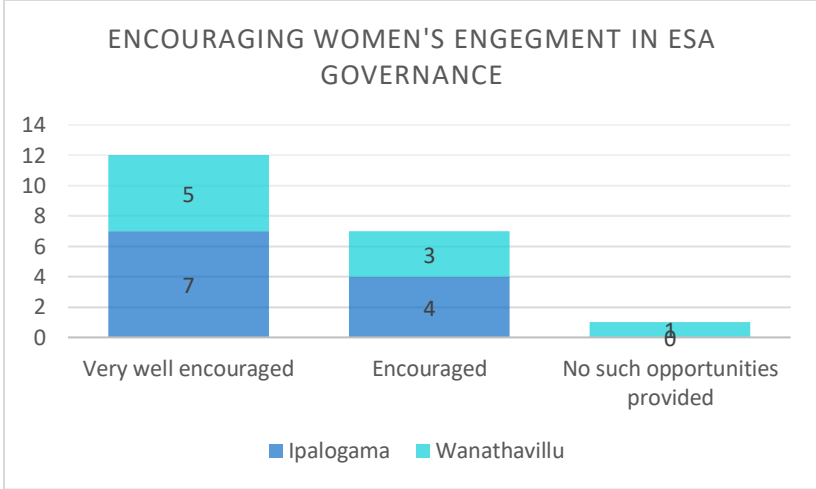
Benefits

Benefits provided to you, your family, your community?	
Ipalogama	**Wanathavillu**
Nothing yet - hopeful that the plants will yield an additional income in the future	Successful harvest in both *yala and maha*, generated incomes, received water, facilitated savings, and provided fruits and vegetable for consumption
Generated incomes	Knowledge generation, no significant income generation yet
Knowledge generation, improvement of income, reducing food expenses, plants and seeds for cultivation	Received raw material (plants/seeds), improved income
Knowledge generation	Using compost has reduced labour required for cultivation (with chemical fertile, it takes a lot of manpower), operation cost reduced from Rs 20,000/acre to Rs 5,000-8,000 (max)/acre, improved income generation
No - because the plants died	Could reduce food expenses as they can source vegetables from their home gardens, mental wellbeing
Improvement of income, generated knowledge, was able to finish building the house	Provided resources - water systems/barrels/water pumping systems that are powered through solar power
Generated knowledge, provided a package worth Rs 1,500 consisting of goods needed for weaving/sewing. No significant income generated because there is no market access	No benefits
Provided goods needed for accommodation/cabanas in the Manewakanda eco park, provided plants for home gardening and necessary requirements for bee keeping	Received plants, want barrels, and even loans
Knowledge generated, no income generated yet	Only a water tank
Generated knowledge, no income generated yet	
Provided bee keeping boxes and plants - have not generated an income yet. lime plants were given as a barrier for elephants to enter, but they are still too small	

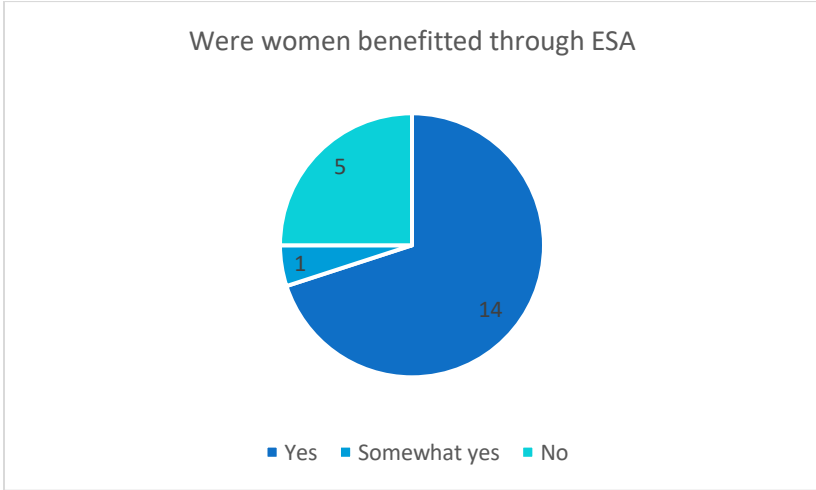
Capacity development of the community



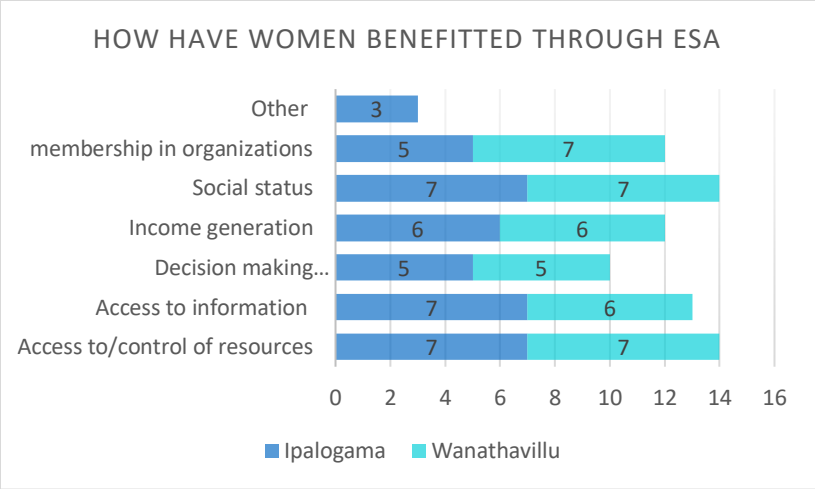
Encouraging women's participation for ESA governance



Were women benefitted through ESA



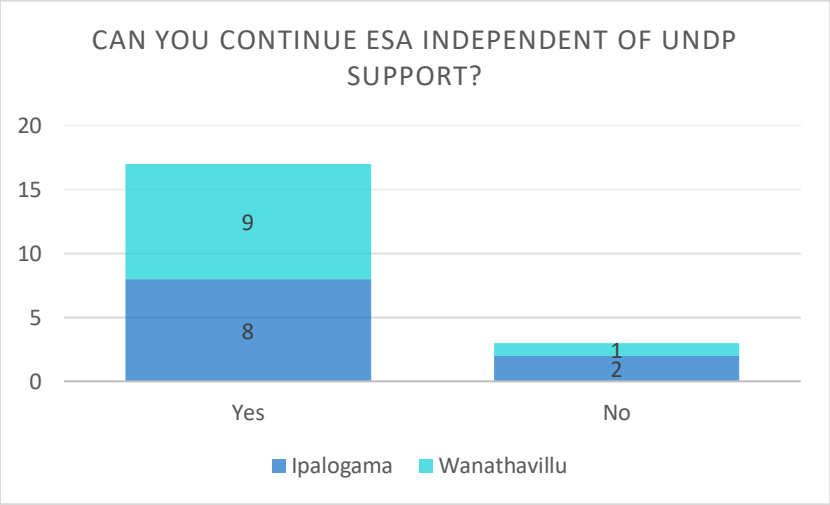
How were women benefitted?



Other (specify)
Guide training
Women used to just stay at home, but now they are engaged in activities
Knowledge generated

Sustainability

Can you continue ESA after the project lifetime comes to an end?



What are the opportunities and challenges to continuing ESA?

Opportunities	Challenges
Ipalogama	
Knowledge generated about farming practices	Financial constraints, damage caused by elephants
Knowledge generated about farming practices	Financial constraints, many in the community does not have sewing machines, cannot source raw materials because of corona, with the introduction of the organic fertilizer policy many farmers have removed a lot of jaban jabara to make compost, so there is not enough jaban jabara for their manufacturing activities
Knowledge generated about farming practices	Water scarcity
Knowledge about finishing a product	More limitations than opportunities - lack of access to proper machinery and markets being the most significant among them. Sourcing raw materials amidst covid-19 induced lockdown, paying for

	raw materials without generating an income from products already produced
Received the foundation needed	Because the plants die prematurely
Infrastructure/physical goods. Human resources and division of labour. Roles are divided among the community - for arranging cabanas, providing guide support, maintaining stalls in the eco park, boat operating...etc	Nothing significant
Hopeful that they will be able to gain some market access	Lack of access to market, lack of appropriate machinery, lack of raw materials
Receiving continued support from divisional officers/DOs/EDOs	Financial constraints to scale up the eco park
Access provided to resources such as bee keeping boxes, the fact that the community is encouraged	None
	Uncertainty about which way the fertilizer policy may be directed and whether they will have to completely depart from chemical fertilizer usage
	A storage unit to store things safely
Wanathavillu	
Technical know-how, in-borne ability for agriculture, man power	Water scarcity - only a few community beneficiaries received water tanks. Others use run off water from cooking for agriculture activities)
They are compelled to continue it because their livelihood depends on it	Distance to Weval kaley, lack of transportation (a vehicle/bike) to Weval kaley, elephants in Weval kaley
Receiving the foundation needed to continue	Lack of market access
Ability to take decisions, the community is encouraged to achieve set targets	The compost that the community produces is insufficient. Thee excess demand was supplied by UNDP. Losing that will be challenging
Because Suraj has given them transportation to bring water, pays for the fuel and given him an allowance for his labour	Crop damage from elephants
A good set of officials to oversee their work, man power from the community	Dependency on the external support
She can continue it because she has alternative income sources such as livestock and compost making	Elephant attacks, they have electricity but no bulbs in the lamp posts by the road so elephants keep coming into the village
The basic needs/foundation of the project are fulfilled	Elephant attacks

	Corona has halted the community's avenues for income earning, financial constraints, water scarcity (they get brackish water through pipes), elephant attacks

Impact

What have you learned from this project, or about its effectiveness/failures?

Lessons learnt	
Ipalogama	**Wanathavillu**
No idea about it	Environmental conservation and preventing environmental mal practices such as the usage of chemical fertilizer, the importance of organic fertilizer for animals as well as human safety
Environmental conservation, conserving tanks from IAS	Learned that weaving bags from weval instead of crates will generate less wastage and they can conserve weval raw material through that diversification. Weaving crated require more weval input but also creates more waste - sometimes they run out of weval in weval kaley
Managing the home garden	Environmental conservation, biodiversity conservation
Knowledge about finishing a product, protecting tanks from invasive species	The concept of ESA - the need to conserve the environment for the future generation, conserving nature while engaging in farming, sustainable farming practices
Environmental conservation	Importance of being sensitive to nature/biodiversity, financial management
Financial management, cultivation practices, environmental sensitivity	How eco-systems may collapse if villu are damaged
Conserving the environment, using waste to generate income, making compost from japan jabara waste (waste not needed for weaving)	Due to ethnic issues Gangewadiya has excluded some from the project. They are called derogatory terms like "*thambi*" and "*aluth aya*" because he was resettled recently.
Earlier people would overexploit plants with medicinal properties for sale. It has been stopped 100% with the introduction of ESA as the community is now aware of the need to conserve nature	Biodiversity conservation
Environmental and biodiversity conservation	No lessons learnt because they were not included
Soil preparation and crop maintenance	

Biodiversity conservation - importance of bees and butterflies for biodiversity	

Other information to share

Other	
Ipalogama	**Wanathavillu**
Many beneficiaries who receive pepper plants have experienced that the plants die in a short span of time, or when it grows up to 2-3 ft. Not sure what causes it	Continued UNDP support would be idea
Needs a solution for the overexploitation of japan jabara	No
Very pleased with the project because it has empowered many women	Need improved market access
Look into the issues/factors that hinder the success of the project (particularly market access)	Would be ideal if the ESA concept can be introduced island wide
The community would be encouraged if the pepper plants grow	State officials have demarcated villu land. It will prevent encroachment in the future
No	No ethnic harmony
Need more support in terms of ensuring market access and improving technical capacities. If there is a way to buy raw materials in bulk, it will be less costly	A lot of plants - like murunga - have died. Their leaves turn yellow
No	Her experience is that growing sesame would keep elephants away
No	
No	
No	

Annex 7 Evaluation Question Matrix

Annex 7 – Evaluation Question Matrix			
Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities at the local, regional and national level?			
Evaluation Questions	**Indicators**	**Sources**	**Data Collection Method**
To what extent does the project objective align with the priorities of the priorities of local community members/ CBOs, land owners/users, farmers etc.?	Level of coherence between project objective and stated priorities of local stakeholders	Local stakeholders Document reviewof local development strategies, environmentalpolicies, etc.	Local levelinterviews (phone), surveys with community members Desk review
To what extent does the project objective align with the development priorities of local governments in the project areas?	Level of coherence between project objective and stated priorities of local stakeholders	Local stakeholders Document reviewof local development strategies, environmentalpolicies, etc.	Local level field visitinterviews Desk review
To what extent does the project align with national priorities and contribute to key government programmes	Level of coherence with ongoing development policies and needs. Level of fit with evolving institutional framework Level of integration with or influence on local economic/livelihood development	Project documents Project staff Local stakeholders in government and community XX National Policy Framework Draft NEAP BD Strategy and Action PlanVillage Reawakening Community Development and Livelihoods Improvement Programme, Household Economy Programme, National Action Plan for Green Lanka, National Physical Planning Policy, Coastal Zone Management Plan, others	Desk reviews Stakeholder interviews Interviews with project staff Focus group discussions

To what extent does ESA co-management developed by the project align with FD /WDF management approach? Does ESA policy align with /fit with NEP?	Level of coherence of co-management processes with existing planning processes used by FD/WDF. Level of coherence of ESA policy with NEP.	Co-management committee members FD/WDF representatives planning documents project staff/consultants	key informant interviews document reviews
To what extent was the project concept and implementation arrangements developed with in-depth stakeholder consultations at all levels and with active community participation? To what extent did project design, and namely the ESA concept, meet the needs and interests of diverse stakeholders?	Level of involvement of local and national stakeholders in project design and implementation (meetings, planning approaches, outreach, number of stakeholders/meetings, MoU etc., knowledge and awareness of stakeholders and beneficiaries of project design, implementation and benefits)	Project staff Local and nationalstakeholders Project documents	Phone interviews Interviews with project staff and consultants/experts Surveys Desk review
To what extent were lessons learnt and practices from other relevant project(s) built into the design of the project?	scaling up of lessons/practices through the project	project documents project team UNDP CO staff staff of other donor agencies	Desk review Interviews with project, UNDP CO and other donor agencies Interviews with stakeholders
Does the project objective fit GEF strategic priorities? (BD Objective 2: Mainstreaming Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors)	Level of coherence between project objective and GEF strategic priorities (including alignmentof relevant focal area indicators)	GEF strategic priority documents for period when project was approved Current GEF strategic priority documents	Desk review Interview with regional GEF advisors

Was the project in-line with UNDP priorities and strategies for Sri Lanka?	Level of coherence between project objective and design with UNDAF, and UNDP Country Program and its Theory of Change SDGs	UNDAF UNDP Country Program	Desk review Interviews with project and UNDP country office staff Interviews with national government agencies representatives
Does the project objective contribute to the implementation of the Convention on Biological Diversity, and other relevant international conventions (signed by Sri Lanka)	Linkages between project objective and elements of the CBD,such as key articles and programs of work	CBD website National Biodiversity Strategy and Action Plan NEAP	Desk review national stakeholder interviews
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
To what extent have project objectives been reached? To what extent have ESAs been operationalized as a mechanism For mainstreaming biodiversity management into development in areas of high conservation significance?	Progress toward project indicator targets	Project documents M&E data Project staff Project stakeholders	Stakeholder interviews phone interviews Desk review
To what extent has the ESA concept been adopted effectively – legally, public awareness, planning procedures, institutional framework, socio-economic, inter-agency coordination, community acceptance/benefits	Acceptance, knowledge of and support for ESAs; general - details will be addressed under Results, Achievements towards targets	Project documents M&E data Project staff Project stakeholders	Stakeholder interviews phone interviews surveys Desk review
What factors and/or innovations contributed to successful achievements and good project progress towards targets, in terms of: implementation arrangements oversight engaging experts adaptive management	Level of documentation of and preparation for project risks, assumptions and impact drivers	Project documents Project staff Project stakeholders	Stakeholder interviews phone interviews Desk review

planning approaches (preparing annual work plans), involving stakeholders facilitating community participation communicating project objectives and successes to public M&E others			
What lessons learnt and best practices for effective implementation did the project generate?	Scaling up of practices, documentation of best practices	Project documents Project staff Project stakeholders	Stakeholder interviews project staff interviews Desk review
To what extent do risks and barriers remain to achieve the project objective and generate Global Environmental Benefits? General overview. Details addressed under "sustainability"	Documented evaluation of risks, inclusion in planning documents, risk preparedness.	Project documents Project staff Project stakeholders	stakeholder interviews Desk review
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards**?**			
Was the project implementation cost-effective?	Standard of financial management procedures (aligned with UNDP, national norms) Actual/planned disbursement rate Project management costs compared to overall costs (%)	Project documents Project team members	Desk review Interviews with project team members

Are financial management procedures and reports in line with government and UNDP/GEF procedures	Cost of project inputs and outputs relative to norms and standards for donor projects in Sri Lanka	Project documents Project staff	Desk review Interviews with project staff
Is the project implementation approach efficient for delivering the planned project results?	Adequacy of implementation structure and mechanisms for coordination and communication Planned and actual level of human resources available Extent and quality of engagement with relevant partners / partnerships Quality and adequacy of project monitoring mechanisms (oversight bodies' input, quality and timeliness of reporting, etc.)	Project documents National and local stakeholders Project staff	Desk review Interviews with project staff Interviews with national and local stakeholders
Project implementation on schedule? If not, has it impacted cost-effectiveness?	Project milestones in time Planned results affected by delays Required project adaptive managementmeasures related to delays	Project documents Project staff	Desk review Interviews withproject staff
Have co-financing contributions in cash and in-kind to project implementation been made?	Actual cash and in-kind co-financing compared to commitments as per ProDoc	Project documents Project staff	Desk review Interviews with project staff
To what extent has theproject leveraged additional resources?	Amount of resourcesleveraged compared to project budget	Project documents Project staff	Desk review Interviews with project staff
Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?			

Have all ESA related costs been considered in budget planning at different levels/with relevant stakeholders? Will financial resources be available to sustain project results after end of GEF support?	Financial requirementsfor maintenance of project benefits Level of expected financial resources available to support maintenance ofproject benefits Potential for additionalfinancial resources to support maintenance of project benefits	Project documents Project staff Project stakeholders Planning procedures and documents	Field visit interviews Desk review Stakeholder interviews
Is the degree of ownership at all levels/among all stakeholders sufficient to maintain project results? Are all roles and responsibilities for ESA governance at all levels agreed, clarified with all stakeholders? Are they reflected in job and competency descriptions?	Level of initiative and engagement of relevant stakeholders in project activities and results	Project documents Project staff Project stakeholders	Field visit interviews Desk review Stakeholder interviews
Are there livelihood opportunities for local communities sufficient as incentives to sustain their active participation in ESA planning and management? Are opportunities already realized?	Attitude of community members Evidence of improved household incomes Evidence of livelihood diversification/shift to sustainable, biodiversity friendly livelihood strategies	Project documents Local government records Community members, Beneficiaries Womens Groups	Desk review Interviews Focus Group Discussions Site Visits to local small enterprises, households, CBOs
Are M&E and enforcement procedures of ESA co-management strengthened, capacities built and resources available	Ongoing M&E and enforcement effective, records available, responsibilities clear, routine budget planning,	Project documents, co-management plans Local Management Committee	

Are indicators used by the project in line with stakeholder/government indicators? (were they in line from the onset or brought in line/incorporated at project end)?	Project supported results are reflected and maintained in local government and ESA Co-Management M&E procedures and records.	Project documents Co-Management Plans	Desk reviews Stakeholder interviews
Do relevant stakeholders have thenecessary technical capacity to ensure that project benefit share is maintained? On ESA level, to what extent have capacities been developed for: biodiversity conservation natural resource use: • Mapping • Management • Stakeholder engagement • Financial management • Community involvement • Monitoring and evaluation	Level of technical capacity of relevant stakeholders relativeto level required to sustain projectbenefits	Project documents Project staff Project stakeholders Local Management Committees, District Facilitation Committee, Provincial Facilitation Committee, National Steering Committee	Field visit interviews Desk review Surveys?
To what extent could sustainability of project achievements be linked to socio-political factors?	Existence of socio-political risks to project benefits	Project documents Project staff Project stakeholders	Field visit interviews Desk review
Has a comprehensive governance system including enforcement been drafted, and approved, at national level to support ESA establishment, management, and scale up?	Existence of institutional and governance risks toproject benefits	Project documents Project staff Project stakeholders	Field visit interviews Desk review
Has the ESA concept been communicated widely in the public, in online, broadcast, print media? Has public awareness been built?	Level/number of publications, media mentions. Evidence of public awareness/knowledge of concept, and ESA existence on local level/in the landscape	Project documents/outputs. Project staff Local stakeholders	Surveys? Desk review

Have exit strategies been developed on project level, ESA level (within Co-Management Plans)?	Clear exit strategies laying out how operations are sustained in terms of capacities, roles, budgeting, coordination, M&E	Co-Management Plans Local Management Committees, District Facilitation Committee, Provincial Facilitation Committee, National Steering Committee	Desk review Stakeholder interviews
Are there any environmental risks that can undermine the future flow of project impacts and Global EnvironmentalBenefits?	Existence of environmental risks toproject benefits	Project documents Project staff Project stakeholders	Field visit interviews Desk review
Gender Equality, and Womens' Empowerment: Were equal rights, responsibilities and opportunities of women and men considered? Were the interests, needs and priorities of women and men taken into consideration in project design, implementation and M&E? Was project design and implementation gender responsive?			
Was the project aligned with national policies and strategies on gender equality?	coherence with national policies	Project documents Project staff stakeholders	Desk review stakeholder interviews Project staff interviews
Was the UNDP Gender Marker rating assigned to the project document realistics and backed by the findings of the gender analysis?	Gender analysis confirms/coherent with rating	Project doc/gender analysis	Desk review
To what extent were mechanisms developed and applied for separate consultations with women?	Number, type, scope of meetings/ events with women participants	Project documents Project staff Local stakeholders local women, womens organizations	Desk reviews Interviews with project staff Field visit interviews and focus group discussions
To what extent did activities to promote income generation, livelihood strategies target women?	Womens' participation in and benefits from income generation activities	Project documents Project staff Local stakeholders local women, womens organizations	Desk reviews Interviews with project staff Field visit interviews and focus group discussions

To what extend were women's organizations involved and supported in project activities?	Number of womens organizations involved in activities	Project documents Project staff Local stakeholders local women, womens organizations	Desk reviews Interviews with project staff Field visit interviews and focus group discussions
Was project M&E gender disaggregating?	Disaggregated information on gender (men and womens' participation in project activities)	Project M&E data Project M&E officer	Desk review Interviews with project staff
How were perspectives of women and men involved and affected by the project monitored and assessed?	Disaggregated information on gender (men and womens' participation in project activities)	Project M&E data Project M&E officer	Desk review Interviews with project staff
To what extent did the project encourage/facilitate the participation of women in all activities (planning, capacity building, income generation, access to resources, co-management a.o.)	Level of womens participation in activities, represention in planning/co-management committees, increased income for women	Project documents Project staff Local stakeholders local women, womens organizations	Desk reviews Interviews with project staff Field visit interviews and focus group discussions
To what extent was gender balance achieved/promoted in all project related activities, employment?	number of women/men participants and employees	Project documents Project staff Project stakeholders	desk reviews Interviews of project staff
What real changes in gender equality did the project generate, pilot or contribute to? Access to/control of resources Access to information Decision making power/influence Division of labor, workload Income generation social status membership to organization	Changes in access to/control of resources, access to information, decision making power, influence, division of labor, workload, income generation, social status, membership in organizations, for women and men	Project documents, M&E Local government M&E Community Women/Womens'Organizations	Desk reviews Interviews with project staff Local stakeholder interviews, namely women and womens' organizations
To what extent did the projectcontribute to gender equality and women's empowerment?	Level of progress of gender action plan and gender indicators in results framework	Project documents Project staff Project stakeholders	Desk review, interviews, field visits

To what extend and in what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?	Existence of logical linkages between gender results and project outcomes and impacts	Project documents Project staff Project stakeholders	Desk review, interviews, field visits
Impact: To what extent has the project contributed to safeguarding globally significant biodiversity, and important ecosystem services by addressing key barriers to biodiversity conservation, reducing environmental stress and improving ecological status in Sri Lanka			
To what extend have key environmental stresses been reduced, or to what extent have enabling conditions for reduction of stresses been created by the project?	Measurable improvements in sustainable use of natural resources, habitat and species conservation, ecosystem service conservation, connectivity , as well as sustainable livelihood strategies secured	GEF/LDCF/SCCF Core Indicators and Tracking Tools	Document reviews Stakeholder/key informant interviews Site visits
To what extent did the project address a) habitat loss and fragmentation (due to land conversion for agriculture, expansion of settlements, wetland reclamation, aquaculture expansion, construction/tourism), b) unsustainable use of natural resources (unsustainable harvesting of flora and fauna, livestock grazing, extractive industry/activities, infrastructure development effecting hydrology) c) degradation of freshwater wetlands due to agricultural runoff, siltation etc.). d) and others.	Habitats protected, loss haulted/reversed. Connectivity maintained/restored unsustainable practices of natural resource use reduced/prevented/stopped/replaced freshwater wetlands protected, restored.	GEF/LDCF/SCCF Core Indicators and Tracking Tools. Project M&E. Relevant agencies M&E. ESA M&E including community M&E	Document reviews Stakeholder/key informant interviews Site visits
Did the project address (barrier 1) weak national policy and capacity for cross sectoral work outside PAs	New policy framework/draft and capacities developed among relevant stakeholders in government at all levels and among communities. Drafts and/adopted policies, laws, regulations produced or	Drafts and adopted policies Project reports score card capacity assessments stakeholders project staff	Document reviews Stakeholder interviews

Areas of high sensitivity not identified Land use planning does not consider biodiversity MoMDE has no mechanism to coordinate and mainstream biodiversity	supported by the project ESAs identified land use planning docs that consider biodiversity MoMDE has a mechanism to coordinate and mainstream biodiversity	co-management plans stakeholders project documents and staff stakeholders/MoMDE	Document reviews Stakeholder interviews
Did the project address (barrier 2) limited know-how for long term, biodiversity conservation friendly ESA management no effective mechanism and limited experience to mainstream biodiversity conservation in local planning, monitoring and enforcement limited understanding at local level of BD values and conservation approaches limited incentives for farmers for agro-ecosystems management to support livelihoods and maintain/restore biodiversity	know-how for long term, biodiversity friendly ESA management effective mechanism piloted/introduced to mainstream biodiversity conservation in local planning, monitoring and enforcement enhanced awareness of local BD values, enhanced protection measures Incentives for farmers facilitate scaling up improved agricultural models, improved livelihoods and BD conservation	capacity scores project reports relevant stakeholders and community planning documents co-management plans for ESAs local community local stakeholders M&E Farmers Project reports local stakeholders	Document reviews Stakeholder interviews
What environmental status changes (positive) or protection have been initiated, observed or enabling conditions created for? (species populations, forest protection/restoration, watersheds, etc.)	Positive changes in species populations, forest protection/restoration, watersheds, etc.)	M&E of relevant agencies Community monitoring project reports GEF tracking tool	Document reviews Stakeholder interviews

To what extent are local stakeholders are aware of the environmental value of the ESA?	Awareness of conservation values in ESA, understanding of reasons/rationale for establishing of ESA. Understanding/Acceptance of measures to conserve/restore environmental values.	local stakeholders beneficiaries project staff and consultants project reports publications	phone interviews survey stakeholder interviews project staff interviews document reviews
What contributions have been made to capacities (awareness, knowledge, skills, infrastructure, monitoring systems, womens' empowerment/participation in decision making). What is the scale/extent?	Changes in awareness, knowledge and skills, M&E practices, infrastructure for communities, womens' participation in decision making	Project reports capacity assessments M&E records project staff stakeholders women/organizations	Document reviews stakeholder interviews site visits
What contributions have been made in access to and use of information? What is the scale/extent?	Local stakeholders, community members, CBOs, women, womens' organizations are accessing and using (newly available?) information for BD conservation, sustainable practices, co-management a.o.	Project documents project staff and consultants community local stakeholders	document reviews stakeholder and project staff interviews
What contributions have been made to changes in socio-economic status (income, well-being, health, influence, participation)? What is the scale/extent?	Changes within community in income, well-being, health, influence, participation in planning, decision making, management	Project documents project staff and consultants/social mobilisers community local stakeholders	document reviews stakeholder and project staff interviews
Did project outputs generate the intended outcomes? Through what mechanisms?	Enabling framework for ESAs strengthened and ESAs management piloted at 2 sites Awareness, documentation of mechanisms, lessons learnt how/whether outputs achieved outcomes	project reports, M&E GEF tracking tools M&E of ESA, community, local government agencies project staff and contractors stakeholders	document reviews interviews with project staff stakeholders

Did the project generate any unintended impacts? (negative and positive)? What are the implications and scope?	Unplanned changes/impacts observed by stakeholders, or detected through M&E procedures.	project staff and contractors local stakeholders	document review stakeholder interviews
What are remaining barriers to sustain long term impacts?	Stakeholders consider long term impacts not secured	project staff stakeholders research/BD specialists	document review stakeholder interviews focus group discussions
Monitoring & Evaluation and Adaptive Management			
Were indicators SMART (Specific, Measurable, Attributable, Relevant, Time-bound/timely/trackable/targeted	M& E system captures all targeted changes; is practical for adaptive management	Project Documents Project staff	Desk reviews Project staff interviews
Was the M&E plan well-conceived, practical and sufficient at the point of CEO Endorsement? Was it articulated sufficiently to monitor results and track progress toward achieving objectives?	progress towards targets was measurable	Project Documents Project staff	Desk reviews Project staff interviews
Did the M&E plan include a baseline, and evaluation studies at specific times to assess results	progress measured against baseline, and reported regularly	Project Documents Project staff	Desk reviews project staff interviews
Was the M&E plan sufficiently budgeted and funded during project preparation and implementation	M&E activities undertaken according to plan	Project Documents Project staff	Desk reviews project staff interviews
Was data on specified indicators, relevant GEF/LDCF/SCCF Tracking Tools/Core Indicators gathered in a systematic manner	GEF tracking tools status	Project Documents/GEF tracking tools Project staff	Desk reviews project staff interviews
Extent of compliance with progress and financial reporting requirements, including quality and timeliness of reports;	Project reporting status Number of reports, dates of reports	Project Documents Project staff	Desk reviews project staff interviews

To what extent did the Project Team use inclusive, innovative, and participatory monitoring systems	M&E indicators (community indicators? , how developed, methods of monitoring, participation in M&E activities)	Project Documents Project staff	Desk reviews project staff interviews
To what extent was information provided by the M&E system used to improve and adapt project performance	changes in project approaches and strategies based on M&E data	Project Documents Project staff	Desk reviews project staff interviews
Did the M&E system include proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure	Quality, completeness and continuation of M&E data gathering after project end. Training for M&E for sustainability	Project Documents Project staff	Desk reviews project staff interviews
Was the projects' Theory of Change reviewed and refined during implementation? Or explicitly formulated if not drafted in ProDoc?	ToC mentioned in project doc, or in progress reports?	Project Documents Project staff	Desk reviews project staff interviews
Were PIR self-evaluation ratings consistent with MTR and TE findings? If not, were these discrepancies identified by the Project Board and addressed	Coherence of self-assessment ratings with MTR.	Project Documents Project staff	Desk reviews project staff interviews
Were changes made to project implementation as a result of the MTR recommendations	Evidence for changes in approach/concept, and/or implementation arrangements	Management response to MTR. Project implementation/progress reports after MTR Project staff/management	Desk reviews project staff interviews
What was the extent and role of the project board in M&E activities?	Number of meetings of PB, routine interaction, field visits by PB?	Reports of PB meetings PB members Project management	Desk reviews project staff interviews
Cross-cutting and UNDP Mainstreaming Issues: Were social risks, equitable benefits, potential impacts considered in design and implementation? Were environmental risks and potential impacts considered in design and implementation?			
How were effects on local populations considered in project design and implementation?	Positive or negative effects of the project onlocal populations.	Project document,progress reports, monitoring reports	Desk review, interviews, field visits

Were public hearings conducted on proposed actions and mechanisms for consultations?	Level of awareness and knowledge on project objectives and participation in project activities of local stakeholders. Local project ownership and support.	Project reports Project team members project contractors/social mobilisers local stakeholders	desk reviews interviews with project staff/contractors Interviews with local stakeholders
Were resource users outside the ESA (not residing in ESA but using resources) considered in project design and activities planning and implementation?	Level of awareness of ESA in surrounding areas. Adherence by "outsiders" to sustainable management agreements. Level of enforcement. Level of conflicts with "outsiders"	Project reports Project team members local stakeholders local government records	desk reviews interviews with project staff/contractors Interviews with local stakeholders
Was special attention paid to including poor and vulnerable and marginalized groups and individuals?	Level of inclusion, participation of/benefits for poor, vulnerable and marginalized groups and individuals.	Project reports Project team members project contractors/social mobilisers local stakeholders local government records (poverty/well-being)	desk reviews interviews with project staff/contractors Interviews with local stakeholders
Did any financing plans cause additional burden (taxes, resource use fees etc.) for local communities?	Level of support for activities by local community.	Project reports Project team members local stakeholders local government records	desk reviews interviews with project staff/contractors Interviews with local stakeholders
Did project activities create/potentially create negative environmental effects, resource pressures on areas adjacent to ESAs?	Increased resource pressure, unsustainable use in adjacent areas.	Project reports Project team members local stakeholders local government records	desk reviews interviews with project staff/contractors Interviews with local stakeholders
Was co-financing by local governments additional, or did it cause to loss to development budgets otherwise?	Loss to local development budget, decrease in spending for local development strategies.	Project reports Project team members local stakeholders local government records	desk reviews interviews with project staff/contractors Interviews with local stakeholders

Was social equity of planned actions assessed? Needs of vulnerable/marginalized considered in any activities of sustainable harvest? Compensations/substitutions? Do-no-harm approach followed? Alternative income generation?	Level of access and participation by vulnerable groups. Changes in income, well-being.	Project reports Project team members local stakeholders local government records	desk reviews interviews with project staff/contractors Interviews with local stakeholders Interviews with vulnerable/marginalized
Was there adequate monitoring of environmental and social risks as identified through the UNDP SESP and in line with any safeguards management plan's M&E section?	environmental and social risks monitored throughout project implementation	M&E records project reports project staff	desk reviews staff interviews
How/were relevant groups' (children, elderly, disabled, and poor) involvement with the project and the impact on them monitored?	Disaggregated data in M&E system	Project M&E Project staff	Document reviews M&E staff interviews
Were off-site environmental impacts considered with ESA establishment? Were ecological linkages considered in land-use planning, within and beyond ESA?	Increased resource pressure, illegal use of resources outside ESA. Loss of connectivity.	Project reports Project team members local stakeholders records of relevant government departments, NGOs, and research institutions	Desk reviews Interviews with project staff, local stakeholders, relevant government departments, NGOs, research institutions
Were measures planned/taken to prevent exploitation of the (published) information on high biodiversity values in ESA? (Risk of illegal use of rare and threatened species may be increased by highlighting them?)	Increase of illegal resource use/harvesting/poaching etc. within ESA	Project reports Project team members local stakeholders records of relevant government departments, NGOs, and research institutions	Desk reviews Interviews with project staff, local stakeholders, relevant government departments, NGOs, research institutions
Were measures to prevent misunderstanding that project support to better manage "chena" lands is encouraging the practice.	Continuation/expansion of "chena" practice by some households	Project reports Project team members local stakeholders/community local government	Desk reviews Interviews with project staff, local stakeholders, relevant government departments, local community
Are activities in management, restoration at a scale in the landscape to show impact at wider ecosystem/landscape level? Not too scattered?	Project environmental indicators	project documents project staff/consultants relevant government agencies	Desk reviews Interviews with project staff, local stakeholders, relevant government departments

Stakeholder Participation and Partnership Arrangements			
To what extent did local and national government support the objectives of the project? What was their role in decision-making and implementation?	Awareness of and support for, involvement, responsibilities in project activities, policy support	local and national government stakeholders project team local community a.o. stakeholders project reports	interviews with stake holders and project staff document reviews focus group discussions surveys
To what extent did community members/organizations support the objectives of the project? What was their role in decision-making and implementation?	Awareness of and support for, involvement, responsibilities in project activities	local community project team local stakeholders project reports	interviews with stake holders and project staff document reviews focus group discussions surveys
What new partnerships were established and scaled up with project support? (inter-agency, co-management government/community, private sector involvement, others?)	Functional mechanisms of collaboration, co-management, co-financing, with clear institutional arrangements, commitments, finance	local and national government stakeholders project team local community a.o. stakeholders project reports co-management plans	interviews with stake holders and project staff document reviews focus group discussions surveys
To what extent did stakeholder involvement and public awareness contribute to the progress towards achievement of project objectives?	Level of awareness and active support for project approach and activities	project team local stakeholders project reports	interviews with stake holders and project staff document reviews focus group discussions surveys
To what extent are stakeholders interested in and supportive the project's long-term success and sustainability? How are stakeholders taking forward the project's achievements?	Commitments, plans, capacities, initiatives to sustain and scale up project achievements.	project reports policy documents stakeholders project staff	interviews with stake holders and project staff document reviews focus group discussions surveys

Actual stakeholder participation compared to what was planned in the project document and Stakeholder Engagement Plan?	n.a.	project reports policy documents stakeholders project staff	interviews with stake holders and project staff document reviews
Design: Analysis of Results Framework – was project design effective as a tool to help achieve the planned results			
Were project objectives clear, practical and feasible within the planned time frame (not considering pandemic)?	Level of achievement of objectives. Applicability, feasibility of implementation	Project staff/consultants Project documents	Interviews Desk review
Was there a clearly defined and robust Theory of Change?	Reflection of ToC in rationale in ProDoc, Inception Report	ProDoc Inception Report Project staff/consultants	Interviews Desk review
Was the ToC explicitly formulated?	ToC in ProDoc, Inception Report	ProDoc Inception Report Project staff/consultants	Interviews Desk review
Did the project rationale entail all the necessary elements of a robust Theory of Change: - clear definition of the problem to be addressed - root causes of the problem desired outcomes - analysis of barriers and enablers to achieve outcomes - consideration how to address barriers a plan for phased withdrawal of the project?	Comprehensive rationale in ProDoc ToC in Inception Report	ProDoc Inception Report project staff and consultant	Desk review Interviews with project staff and consultants
Were there revisions to the results framework? (inception, MTR)	Changes in concepts, implementation arrangements throughout project cycle	project staff/consultants project documents	Interviews Desk review

Were revisions to the results framework sound and made sense given the context of the project?	Level of improved clarity of concepts, for policy and implementation. Improved stakeholder cooperation and support	project staff/consultants project documents stakeholders	Interviews Desk review
To what extent did the project aim to capture broader development impacts (income generation, gender equality and women's empowerment, improved governance, livelihood benefits, etc.)?	Project impacts on livelihoods, womens participation, governance	project documents Project staff	Interviews Desk review
Were assumptions and risks defined in the PIF and project document? Did they help to determine activities and planned outputs?	Definition of assumptions and risks in project documents, and how reflected in activities and outputs?	project staff/consultants project documents stakeholders	Interviews Desk review
To what extent were lessons from other relevant projects incorporated in the project design?	Project design elements based on lessons learnt, linkages to other projects	project documents Project staff/consultants	Interviews Desk review
How were perspectives considered in project design of: - those affected by project decisions - those who could affect the outcomes - those who could contribute information or other resources to the process	Details on stakeholders/beneficiaries/ affected in ProDoc design	project documents Project staff/consultants stakeholders	Interviews Desk review
How did the Stakeholder Engagement Plan describe stakeholder interaction and roles?	Level of detail/accuracy of Stakeholder Engagement Plan	project documents	Desk review
Were linkages established with other complementary interventions? Was there planned coordination with other relevant GEF-financed projects and/or other initiative?	Linkages, synergies with relevant projects	project documents Project staff/consultants	Interviews Desk review

UNDP Oversight/Implementation: Extent to which UNDP delivered effectively on activities related to project identification, concept preparation, appraisal, preparation of detailed proposal, approval and start-up, oversight, supervision, completion and evaluation			
Adequacy, quality and timeliness of UNDP support to the Implementing Partner and Project Team	Effective and efficient project implementation and execution	Project reports Project staff Implementing partner staff stakeholders	Desk reviews Interviews with project team and implementing partner KI
Annual reporting quality, realism	Report contents reflects findings (field, interviews, other documents)	Project reports, M&E Project staff Implementing partner staff stakeholders beneficiaries	Desk reviews Interviews with project team and implementing partner KI
Quality of risk management	Level of risks assessed, foreseen, mitigated	Project documents Project staff	Desk reviews Interviews with project team
Responsiveness to significant implementation problems (if any)	Effective and efficient project implementation and execution	Project management/staff	Interviews with project team
Oversight of the management of environmental and social risks as identified through the UNDP SESP.	Level at which Environmental and Social risks considered, addressed, monitored	Project management/staff	Interviews with project team
Implementing Partner Execution: Extent to which the implementing partner effectively managed and administered day to day activities of the project			
Extent of focus on results and timeliness	Degree and on schedule achievement of results	Project reports Project staff Implementing partner staff stakeholders	Desk reviews Interviews with project team and implementing partner KI
Use of funds, procurement and contracting of goods and services	Adherence to appropriate procedures in line with government regulations	Project documentation (procurement, contracting)	Desk reviews Interviews with project team and implementing partner KI

Annex 7.1. Questionnaire Matrix for national, district and divisional /community level

Questions/Issues (MATRIX) for Semi-structured Interviews with Key Informants

1. Profiling

- What is your current role?
- Were you directly involved in project design, implementation or oversight? What was your role?
- How long have you been involved in the ESA project?

National	District	Divisional/community
relevance		
To what extent does the project align with national priorities and contribute to key government programmes ? To what extent does ESA co-management developed by the project align with FD /DWLC management approach? How was it applied in non-protected areas? Does ESA policy align with /fit with NEAP/Biodiversity strategic plan? How does it help the country align to international obligations – Conventions? SDGs? To what extent did project design, and namely the ESA concept, meet the	How does the ESA concept support development in the district level? How well does the ESA concept /management approach fit within the development priorities? Does ESA policy align with /fit with local planning objectives? What does it offer that is same or different in terms of how you operate now? To what extent did project design, and namely the ESA concept, meet the needs and interests of diverse stakeholders in your area? To what extent were lessons learnt and practices from other relevant	How does the ESA concept support development at the divisional level? How well does the ESA concept /management approach fit within the development priorities/work plan of the area? Does ESA policy and implementation approach fit with the other work or projects that you carry out? What does it offer that is same or different in terms of how you operate now? Does the ESA model/the design meet the needs and interests of diverse stakeholders in your area? How?

needs and interests of diverse stakeholders? To what extent were lessons learnt and practices from other relevant project(s) built into the design of the project? (that are implemented by your org or by others) To what extent was the project concept and implementation arrangements developed in consultation with stakeholders? How were different stakeholder involved? Probe for community?	project(s) built into the design of the project? (that are implemented by your org or by others) To what extent was the project concept and implementation arrangements developed in consultation with stakeholders? How were different stakeholder involved? Probe for community?	Was the project concept and implementation arrangements developed in consultation with stakeholders? How was this done? Who was involved?
Effectiveness		
To what extent have project objectives been reached? What do you consider the most important contributions the project has made? On policy level and on the ground? To what extent have ESAs been operationalized as a mechanism? How does the ESA coordination mechanism work on the ground? For mainstreaming biodiversity management into development in areas of high conservation significance?	To what extent have project objectives been reached? What do you consider the most important contributions the project has made in your area? For mainstreaming biodiversity management into development in areas of high conservation significance? To what extent does this new mechanism improve management of natural resources? How are other stakeholders/institutions contributing to biodiversity conservation? How?	What do you consider the most important contributions the project has made in your area? To what extent does this new mechanism improve management of natural resources? How has the idea been include/adapted by different sectoral agencies? To what extent has the ESA concept been adopted effectively – legally, public awareness, planning procedures, institutional framework, socio-economic, inter-agency coordination, community acceptance/benefits

To what extent does it improve management of natural resources? Are other stakeholders/institutions contributing to biodiversity conservation? How? To what extent has the ESA concept been adopted effectively – legally, public awareness, planning procedures, institutional framework, socio-economic, inter-agency coordination, community acceptance/benefits Does the policy framework developed with project support enable the effective operationalizing of ESAs? ○ Does it provide a suitable land use planning and governance frameworks? ○ Does it establish compliance monitoring and enforcement systems? ○ Does it improve systemic capacities to manage ESAs (plan, regulate, and enforce management prescriptions) What important changes have been made regarding institutions, inter-agency cooperation in land use/natural resources/biodiversity conservation, and cross-sectoral?	To what extent has the ESA concept been adopted effectively – legally, public awareness, planning procedures, institutional framework, socio-economic, inter-agency coordination, community acceptance/benefits ○ Does the mechanism work to provide the needed structure? Coordination? ○ Does it provide a suitable land use planning and governance frameworks? ○ Does it establish compliance monitoring and enforcement systems? What important changes have been made regarding institutions, inter-agency cooperation in land use/natural resources/biodiversity conservation, and cross-sectoral? ○ Does it change the way stakeholders coordinate with each other? Have effective mechanisms been developed to coordinate land use planning (among different levels and inter-agency) that mainstreams biodiversity conservation?	• Does the mechanism work to provide the needed structure? Coordination? • Does it provide a suitable land use planning approach? • Does it provide a good governance framework? • Does it establish compliance monitoring and enforcement systems? Has the project led to any changes in how institutions and other stakeholders coordinate? Have effective mechanisms been developed to coordinate land use planning (among different levels and inter-agency) that mainstreams biodiversity conservation? Have capacities (human resources) been built to operationalize and sustain ESAs? Have new roles and responsibilities with regard to ESAs, co-management, been added to your job descriptions and or requirements? What is the role of the community? In terms of decision making / in terms of benefitting?

○ Does it change the way stakeholders coordinate with each other? Have effective mechanisms been developed to coordinate land use planning (among different levels and inter-agency) that mainstreams biodiversity conservation? Have capacities (human resources) been built on all levels to operationalize and sustain ESAs? Have new roles and responsibilities with regard to ESAs, co-management, been reflected in job descriptions and competency requirements? What lessons learnt and best practices for effective implementation did the project generate? To what extent do risks and barriers remain to achieve the project objective and generate Global Environmental Benefits?	Have capacities (human resources) been built on all levels to operationalize and sustain ESAs? What factors and/or innovations contributed to successful achievements and good project progress towards targets, in terms of: •implementation arrangements (kind of related to the questions above – but to ask what was the most important aspects and why) •oversight •engaging experts •adaptive management •planning approaches (preparing annual work plans), involving stakeholders •facilitating community participation •communicating project objectives and successes to public M&E others What lessons learnt and best practices for effective implementation did the project generate? To what extent do risks and barriers remain to be overcome?	What lessons learnt from the implementation of this project? What are some of key factors that led to the success of the project? How would you rate the importance of these factors (ranking) • Community participation • State sector coordination • The ESA concept • livelihood benefits • environmental/conservation benefits • Strong monitoring and oversight system
Efficiency (have not added)		
Was the project implementation cost-effective?	Is the project implementation approach efficient for delivering the planned project results?	

Are financial management procedures and reports in line with government and UNDP/GEF procedures Is the project implementation approach efficient for delivering the planned project results? Project implementation on schedule? If not, has it impacted cost-effectiveness? Have co-financing contributions in cash and in-kind to project implementation been made? To what extent has the project leveraged additional resources?	Project implementation on schedule? If not, has it impacted cost-effectiveness? To what extent has the project leveraged additional resources?	
Sustainability		
Have all ESA related costs been considered in budget planning at different levels/with relevant stakeholders? Do budget plans (annual) consider costs related to ESA management? Will financial resources be available to sustain project results after end of GEF support? What measures are taken to attract other funding resources? Private sector, other donors?	How will ESA's work continue once the project is over? Will financial resources be available to sustain project/plans after the project ends? Will financial resources be available to sustain project results after end of GEF support? Is there a good M&E and oversight process in place for the ESA co-management to continue?	How will ESA's work continue once the project is over? Will financial resources be available to sustain project/plans after the project ends? Is there a good M&E and oversight process in place for the ESA co-management to continue? Is the degree of ownership at all levels/among all stakeholders sufficient to maintain project results?

Is the government seeking follow-up support to further strengthen ESA concept and its operationalization and scale up from other donors? Is the degree of ownership at all levels/among all stakeholders sufficient to maintain project results? Are all roles and responsibilities for ESA governance at all levels agreed, clarified with all stakeholders? Are they reflected in job and competency descriptions? Are M&E and enforcement procedures of ESA co-management strengthened, capacities built and resources available? Are indicators used by the project in line with stakeholder/government indicators? (were they in line from the onset or brought in line/incorporated at project end)? (question to Project team) To what extent could sustainability of project achievements be linked to socio- political factors? Has a comprehensive governance system including enforcement been drafted, and approved, at national	Is the degree of ownership at all levels/among all stakeholders sufficient to maintain project results? Has the ESA concept been introduced into the design of other projects/programs? Is the government seeking follow-up support to further strengthen ESA concept and its operationalization and scale up from other donors? Are the roles and responsibilities for ESA governance at all levels clear? Do you feel these roles will continue after the project? What support or structures are needed for the ESAs to continue and for scale up? (policy, resources, national support) Is there enough awareness about the concept and the project? Are there any risks? Political, social, institutional, environmental that can stall the project? What are the key challenges in promoting the policy framework and	Has the ESA concept been introduced into the design of other projects/programs? Are the roles and responsibilities for ESA governance at all levels clear? Do you feel these roles will continue after the project? What support or structures are needed for the ESAs to continue and for scale up? (policy, resources, national support) Is there enough awareness about the concept and the project? Are there any risks? Political, social, institutional, environmental that can stall the project? What are the key challenges in promoting the policy framework and scale up ESAs countrywide? How can they be addressed?

level to support ESA establishment, management, and scale up? Has the ESA concept been communicated widely in the public, in online, broadcast, print media? Has public awareness been built? Have exit strategies been developed on project level, ESA level (within Co-Management Plans)? What are the prospects of scaling up ESAs? How will the policy be taken forward and implemented? What are the key actors? Are there any environmental risks that can undermine the future flow of project impacts and Global Environmental Benefits What are the key challenges in promoting the policy framework and scale up ESAs countrywide? How can they be addressed? Most important measures to sustain project results? What are key risks ?	scale up ESAs countrywide? How can they be addressed?	
Gender		
Was the project aligned with national policies and strategies on gender equality?	To what extent were mechanisms developed and applied for separate consultations with women?	Did the project make an effort to involve women? How? In what type of activities?

To what extent were mechanisms developed and applied for separate consultations with women? To what extent did activities to promote income generation, livelihood strategies target women? To what extend were women's organizations involved and supported in project activities? Was project M&E gender disaggregating? How were perspectives of women and men involved and affected by the project monitored and assessed? To what extent did the project encourage/facilitate the participation of women in all activities (planning, capacity building, income generation, access to resources, co-management) What real changes in gender equality did the project generate, pilot or contribute to? • Access to/control of resources • Access to information • Decision making power/influence • Division of labor, workload • Income generation	To what extent was gender balance achieved/promoted in all project related activities, employment? Did the project make an effort to involve women? How? In what type of activities? Were women's organizations involved and supported in project activities? How were perspectives of women and men gathered? Were there any changes to women's lives? •Access to/control of resources •Access to information •Decision making power/influence •Division of labor, workload •Income generation •social status •membership to organization Did women support activities for conservation?	Were women's organizations involved and supported in project activities? How were perspectives of women and men gathered? Were there any changes to women's lives? •Access to/control of resources •Access to information •Decision making power/influence •Division of labor, workload •Income generation •social status •membership to organization Did women support activities for conservation?

• social status • membership to organization To what extent did the project contribute to gender equality and women's empowerment? To what extend and in what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?		
Partnerships		
To what extent did local and national government support the objectives of the project? What was their role in decision-making and implementation? To what extent did community members/organizations support the objectives of the project? What was their role in decision-making and implementation? What new partnerships were established and scaled up with project support? (inter-agency, co-management government/community, private sector involvement, others?) To what extent did stakeholder involvement and public awareness	To what extent did local and national government support the objectives of the project? What was their role in decision-making and implementation? To what extent did community members/organizations support the objectives of the project? What was their role in decision-making and implementation? What was their role in decision-making and implementation? What new partnerships were established and scaled up with project support? (inter-agency, co-management	To what extent did local and national government support the objectives of the project? What was their role in decision-making and implementation? To what extent did community members/organizations support the objectives of the project? What was their role in decision-making and implementation? How are stakeholders taking forward the project's achievements?

contribute to the progress towards achievement of project objectives? To what extent are stakeholders interested in and supportive the project's long-term success and sustainability? How are stakeholders taking forward the project's achievements? Actual stakeholder participation compared to what was planned in the project document and Stakeholder Engagement Plan?	government/community, private sector involvement, others? How are stakeholders taking forward the project's achievements?	
Impacts		
To what extend have key environmental stresses been reduced, or to what extent have enabling conditions for reduction of stresses been created by the project? To what extent did the project address environmental threats (habitat loss, unsustainable use of natural resources, degradation of freshwater wetlands etc Did the project address weak national policy and capacity for cross sectoral work outside PAs Did the project address limited know-how for long term, biodiversity	Has there been an impact on the environment? How useful is the concept to improve environmental management? Did the project address weak national policy and capacity for cross sectoral work outside PAs Did the project address limited know-how for long term, biodiversity conservation friendly ESA management What kind of changes have taken place in terms of land use management? Did it provide better	Has there been an impact on the environment? How useful is the concept to improve environmental management? What kind of changes have taken place in terms of land use management? Did it provide better /sustainable land use management options? Are they applied? Did the project improve cross sectoral working arrangements? Did communities benefit? How? Livelihoods/capacity/empowerment?

conservation friendly ESA management What contributions have been made to capacities (awareness, knowledge, skills, infrastructure, monitoring systems, womens' empowerment/participation in decision making). What is the scale/extent? What contributions have been made in access to and use of information? What is the scale/extent? What contributions have been made to changes in socio-economic status (income, well-being, health, influence, participation)? What is the scale/extent? Did project outputs generate the intended outcomes? Through what mechanisms? Did the project generate any unintended impacts? (negative and positive)? What are the implications and scope? What are remaining barriers to sustain long term impacts?	/sustainable land use management options? Are they applied? Did the project improve cross sectoral working arrangements? Did communities benefit? How? Livelihoods/capacity/empowerment? To what extent are local stakeholders aware of the environmental value of the ESA? Did the project generate any unintended impacts? (negative and positive)? What are the implications and scope? What are remaining barriers to sustain long term impacts?	To what extent are local stakeholders aware of the environmental value of the ESA? Did the project generate any unintended impacts? (negative and positive)? What are the implications and scope? What are remaining barriers to sustain long term impacts?

Annex 8 Signed Code of Conduct by the TE Team Members

Annex 8 UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject.

Evaluators/Consultants:

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

Evaluation Consultant Agreement Form

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

Name of Evaluator: _____Sabine Schmidt _____

Name of Consultancy Organization (where relevant): _____

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

Signed at ___Shar Kholoi, Mongolia_____ (Place) on ____July 22, 2021_____ (Date)

Signature: _____ Sabine Schmidt _____

UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject.

Evaluators/Consultants:

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4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
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9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

Evaluation Consultant Agreement Form

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

Name of Evaluator: Karin Fernando

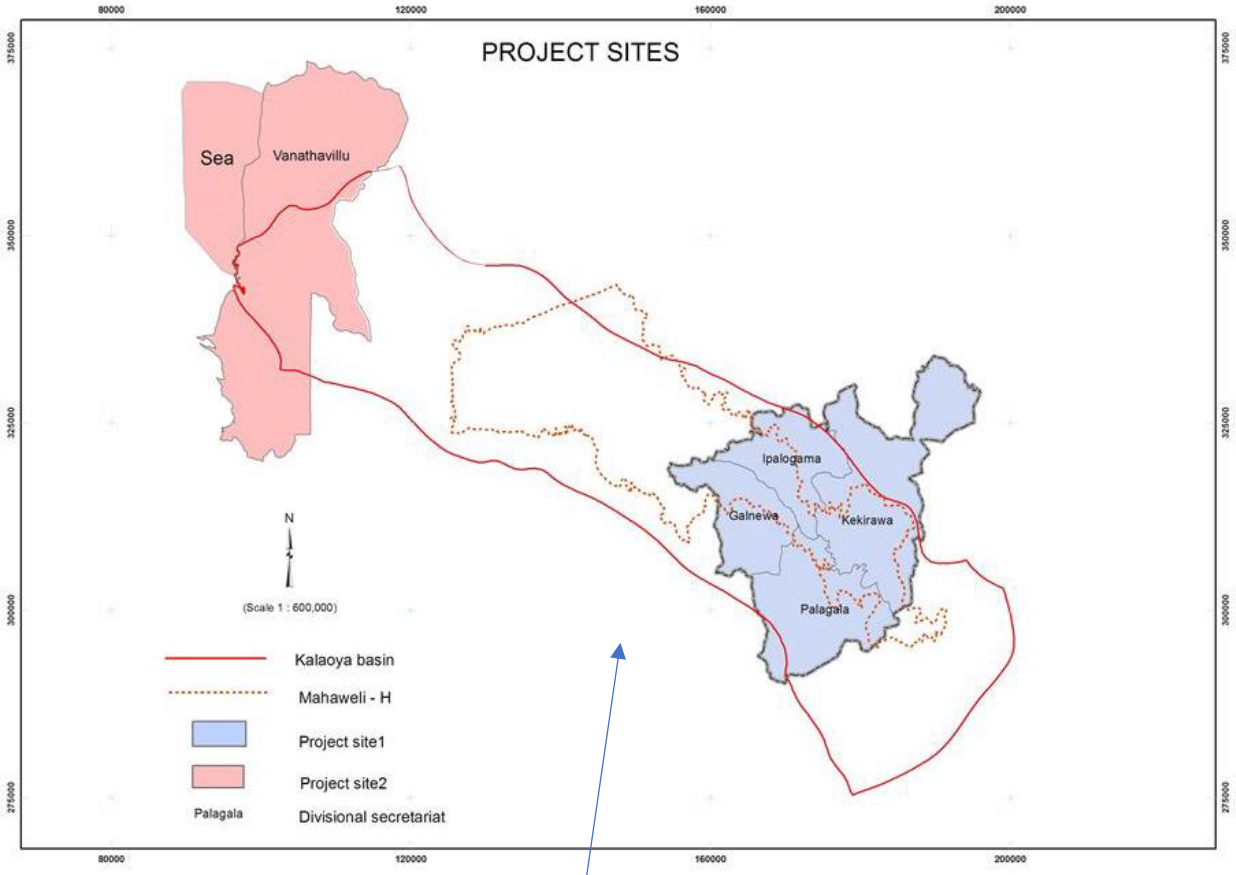
Name of Consultancy Organization (where relevant): _____

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

Signed at 15A/4 Barnes Place, Colombo 7 (Place) on September 9, 2021 (Date)

Signature: KFernando

Annex 9 Maps and Key Information of the Project Areas



Key Information Site 1: Kala Wewa

Districts Anuradhapura District

Divisions Palagala, Galnewa, Ipalogama and Kekirawa

Total number of households 47538

Total population 166025

Number of Samurdhi Recipient Household 11637

Total land area 85000 ha

Total marine area 0

Key ecosystems

Agro-ecosystems: Irrigated paddy fields, homesteads (agroforestry, mixed perennial crops), slash and burn (*chena*)

Others: Dry and moist mixed evergreen forests , Sparse and open forest, Forest plantations, Riverine forest, Fresh water wetlands, Perennial large tanks (reservoirs), Seasonal small tanks, Rivers and streams

Key Information Site 2: Wilpattu

Districts Puttalam District

Divisions Vanathavillua, and Kaluwaragaswewa

Total number of households 14921

Total population 50756

Number of Samurdhi Recipient Households 4135

Total land area 73700 ha

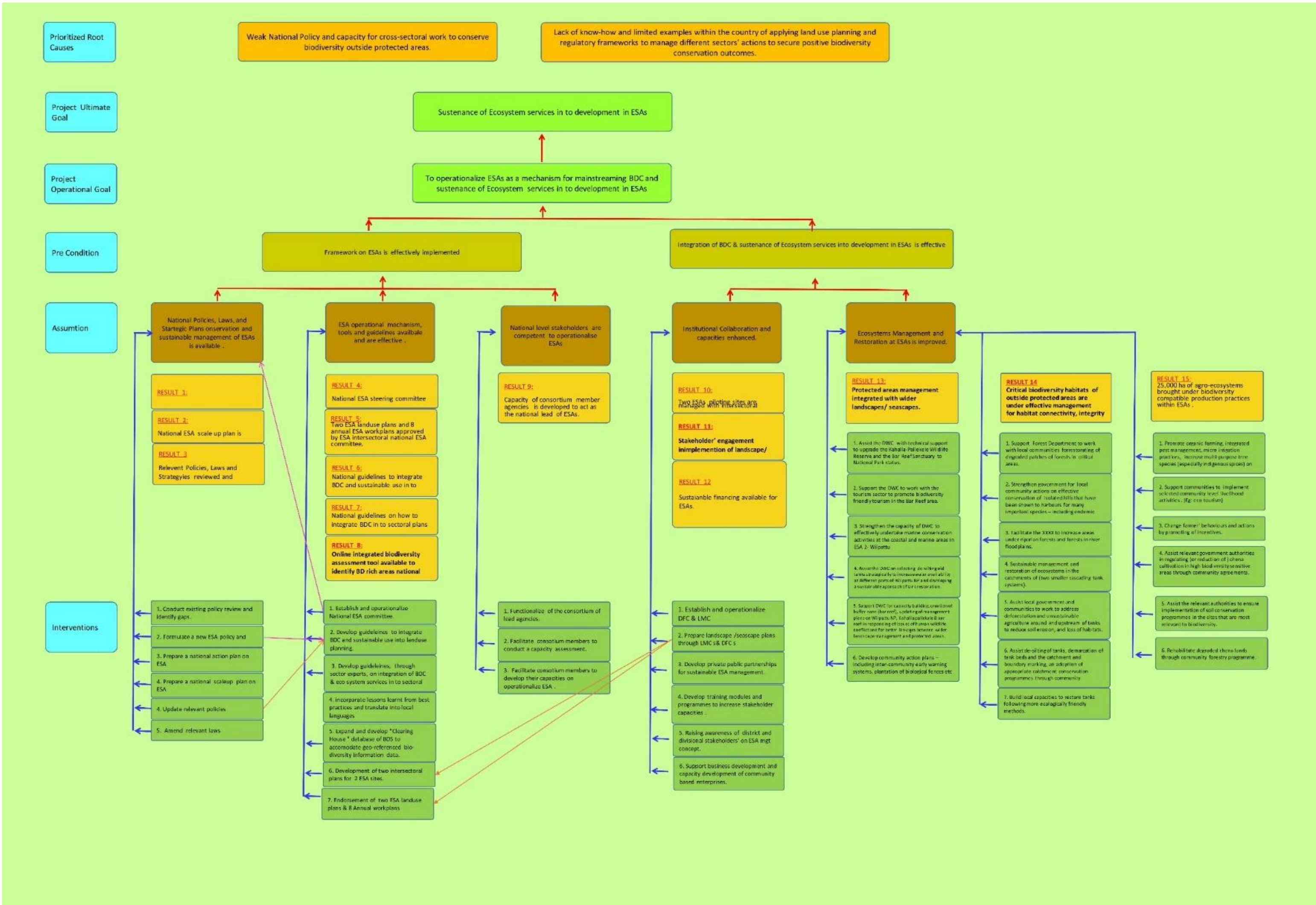
Total marine area 51000ha

Key ecosystems

Agro-ecosystems: Irrigated paddy fields, homesteads (agroforestry, mixed perennial crops), slash and burn (*chena*), Coconut and cashew plantations

Others: Mangrove Forest; Salt Marsh; Dry Zone Riverine Forest ; Floodplains Freshwater Villus (waterholes); Brackish water Villus (waterholes); Perennial Large Tanks. Seasonal Small Tanks; Estuary - Upper and Lower; Puttalam Lagoon and Dutch Bay; Lagoon Beaches; Sea Grass Beds; Coastal Waters; Coral and Sandstone Reefs. Palaeobiodiversity sites consisting of Miocene deposits

Annex 10 Theory of Change



Annex 11 Stakeholders involved in Co-Management at 3 ESAs

Stakeholders Gangewadiya ESA Co-Management Plan

- District Planning Secretariat ,
- Forest Department ,
- Department of Wildlife Conservation
- Central Environment Authority
- District Disaster Management Co. Unit
- NW Provincial Agriculture Department
- District Agriculture Department
- Agrarian Service Department
- Archaeology Department
- Police -Wanathavilluwa
- Geological Survey Mines Bureau
- Local Government Authority (Pradesiya Sabhawa Wanathavilluwa)
- Department of Community Water Supply Services
- Officers of Community based water projects (Wijaya Pura North CBO)
- Inland Fisheries Society Leaders ,
- Irrigation Department (Provincial and National),
- Fisheries Department - Puttalam
- NAVY- Gangewadiya
- NAQDA - Puttalam
- NWS & DB - Puttalam
- MEPA
- Coast Conservation Department
- NARA
- DS office Wanathawilluwa - ADP and 06 EDOs
- Ministry of Mahaweli Development and Environment
- Tourism Sector (Tour Boat Association/ Thambapanni Hotel Association)
- Thambapanni Landowners' Association
- CBO-NGOs

Stakeholders Manewa Kanda ESA

- District Secretariat -Anuradhapura
- Forest Department
- Department of Wildlife Conservation-
- Central Environment Authority
- District Disaster Management Co. Unit
- NC provincial Agriculture Department
- District Agriculture Department
- Agrarian Service Department-DO
- Archaeology Department,

- Police -Ipalogama
- Geological Survey Minds Bureau
- Local Government Authority (Pradeshiya Sabawa Ipalogama)
- Road Development Authority
- National Aquaculture Development Authority
- Mahaweli Development Authority
- Irrigation Department (Provincial and National), AD
- Fishery Department-Anuradhapura
- NWS&DB-Anuradhapura
- Institute of Post harvest technology-Anuradhapura
- Animal health and vet nary-Ipalogama
- Coconut development Board
- Land use planning division-Anuradhapura
- Vidatha officer-Ipalogama
- Survey Department
- Small Industry development Division
- DS office Ipalogama- DS, ADP and 12 EDOs
- DS office Galnewa- DS, ADP and 10 EDOs
- Ministry of Mahaweli Development and Environment
- CBO-NGOs participation
- Geological survey and mine burau
- National Building Research Organization

Local Management Committee Kala Oya Riverine ESA

- Divisional Secretariat
- Civil Societies and Community
- Local Environment Groups
- Forest Department
- Department of Wildlife Conservation
- Central Environmental Authority
- Provincial Department of Agriculture
- Department of Agrarian Services,
- Land Use Policy Planning Department
- Pradeshiya Sabhava
- Survey Department
- Sri Lanka Police
- Sri Lanka Navy
- Coconut Development Board
- Representatives of Farmer Organizations
- Private Institution
- Samurdhi Development Authority
- Provincial Irrigation Department
- Mahaweli Development Authority
- Provincial health Ministry
- Provincial Tourism Ministry

- National Aquaculture Development Authority of Sri Lanka
- Archeology Department.

Annex 12 Definitions of ESA

Environmentally Sensitive Areas – Definition developed by ESA Project

The ESA Technical Paper, 2018, commissioned under the ESA project, defined ESAs as
"an area that is vital for the long-term maintenance of biodiversity and its evolutionary potential and/or the productivity of water, soil and other natural resources that provides ecological, environmental, economical and/or cultural benefits/services primarily to a local community, with some form of management, in order to ensure continuity of delivery of ecosystem services and conservation of biodiversity"

Environmental Sensitive Areas – Definition by CEA[4]

Environmental Sensitive Areas as considered by the CEA are the areas that are specified under Part III of the Schedule of the National Environmental Regulations – Gazette Extraordinary No. 772/22 of 24th June 1993 as amended by the Gazette Extraordinary No. 859/14 of 23rd February 1995.
Areas as defined in the said regulation include:

1. areas within 100 m from the boundaries of, or within, any area declared under the National Heritage Wilderness Act No. 3 of 1988.
2. areas within 100 m from the boundaries of, or within, any area declared under the Forest Ordinance (Chapter 451)
3. areas within 100 meters from the boundaries of, or within, any area declared as a Sanctuary under the Fauna and Flora Protection Ordinance (Chapter 469).
4. areas wholly or partly within the Coastal Zone as defined in the Coast Conservation Act, No. 57 of 1981.
5. areas within 100 meters from the high flood level contour of, or within, a public lake as defined in the Crown Lands Ordinance (Chapter 454) including those declared under section 71 of the said ordinance.
6. areas within 60 meters from the bank of a public stream as defined in the Crown Lands Ordinance (Chapter 454) and having a width of more than 25 meters at any point of its course.
7. reservations beyond the full supply level of a reservoir.
8. archaeological reserves, ancient or protected monument as defined or declared under the Antiquities Ordinance (Chapter 188).
9. areas declared under the Botanic Gardens Ordinance (Chapter 446).
10. erodable area declared under the Soil Conservation Act (Chapter 450).
11. any Flood Area declared under the Flood Protection Ordinance (Chapter 449) and any flood protection area declared under the Sri Lanka Land Reclamation and Development Corporation Act, No.15 of 1968 as amended by Act, No. 52 of 1982.

[4] Provided by Dr. Andrew Laurie, Consultant Project Formulation "Managing Together" Project GEF VI

Annex 13 UNDP capacity scorecard at project commencement

Annex 5: UNDP Capacity Scorecard Assessment of BDS

The Capacity Assessment Score card of the implementing partner was completed through a rapid assessment process by the Director/Biodiversity Secretariat of the Ministry of Mahaweli Development & Environment

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes	There is a strong and clear legal mandate for the establishment and management of environmentally sensitive areas (ESAs)	0 -- There is essentially no environmentally sensitive areas (ESA) agenda; 1 -- There are some persons or institutions actively pursuing an environmentally sensitive areas agenda but they have little effect or influence; 2 -- There are a number of ESA champions that drive the environmentally sensitive areas agenda, but more is needed; 3 -- There are an adequate number of able "champions" and "leaders" effectively driving forward the environmentally sensitive areas agenda	1	Capacity building in the institutions within the Ministry of Mahaweli Development & Environment (MOMDE), the Biodiversity Secretariat and in the key agencies such as Department of Wildlife Conservation, Forest Department, Central Environmental Authority and other local actors is an urgent requirement.
	The ESA agenda is being effectively championed / driven forward	0 -- There is no legal framework for environmentally sensitive areas; 1 -- There is a partial legal framework for environmentally sensitive areas but it has many inadequacies; 2 – There is a reasonable legal framework for environmentally sensitive areas but it has a few weaknesses and gaps; 3 -- There is a strong and clear legal mandate for the establishment and management of environmentally sensitive areas	1	The Central Environmental Authority, based on the National Environmental Act has defined and declared environmental protection areas, especially sensitive wetlands and watersheds. The National Physical Plan identifies environmentally sensitive areas however the legal provision for implementing this is unclear. The Soil Conservation Act under the Department of Agriculture has also declared areas highly prone to erosion as priority conservation areas.
	There is an institution or institutions responsible for able to strategize and plan for future ESAs	0 -- ESA institutions have no plans or strategies; 1 -- ESA institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion; 2 -- ESA institutions have some sort of mechanism to update their strategies and plans, but this is irregular or is done in a largely top-down fashion without proper consultation; 3 – ESA institutions have relevant, participatory and regularly updated strategies and plans	1	• CEA has declared environmental protection areas but many of these areas face severe development threats due to lack of coordination and long-term plans
2. Capacity to implement policies, legislation, strategies and programmes	There are adequate skills for ESA planning and management	0 -- There is a general lack of planning and management skills; 1-- Some skills exist but in largely insufficient quantities to guarantee effective planning and management; 2 -- Necessary skills for effective environmentally sensitive areas management and planning do exist but are stretched and not easily available; 3 -- Adequate quantities of the full range of skills necessary for effective environmentally sensitive areas planning and management are easily available	2	• Short-term planning has been done for isolated ecosystems. • Full range of skills development among all stakeholders is a necessity
	There is a fully transparent oversight authority (there are fully transparent	0 -- There is no oversight at all of ESA institutions; 1 -- There is some oversight, but only indirectly and in a non-transparent manner; 2 -- There is a reasonable oversight mechanism in place providing for regular review but	1	

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	oversight authorities) for the local ESA institutions	lacks in transparency (e.g. is not independent, or is internalized) ; 3 -- There is a fully transparent oversight authority for the environmentally sensitive areas institutions		
	ESA management institutions at local level are effectively led	0 -- Environmentally sensitive areas institutions have a total lack of leadership; 1 -- Environmentally sensitive areas institutions exist but leadership is weak and provides little guidance; 2 -- Some environmentally sensitive areas institutions have reasonably strong leadership but there is still need for improvement; 3 -- Environmentally sensitive areas institutions are effectively led	2	• Weak coordination exists. • Institutions have vaguely identified environmental activities in their annual agenda • There is no institutional coordination mechanism
	Human resources for ESA management are well qualified and motivated	0 -- Human resources are poorly qualified and unmotivated; 1 -- Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated; 2 -- HR in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified; 3 -- Human resources are well qualified and motivated.	2	
	ESA institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	0 -- Environmentally sensitive areas institutions typically are severely underfunded and have no capacity to mobilize sufficient resources; 1 -- Environmentally sensitive areas institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate; 2 -- Environmentally sensitive areas institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate; 3 -- Environmentally sensitive areas institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate	1	• The 30 year long ethnic conflict has adversely affected resource mobilization • Few institutions are mobilizing funds and resources in an ad hoc basis
	ESA institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect	0 -- While the environmentally sensitive areas institution exists it has no management; 1 -- Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal; 2 -- The institution(s) is (are) reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way; 3 -- The environmentally sensitive areas institution is effectively managed, efficiently deploying its human, financial and other resources to the best effect	0	As there is no formal ESA mechanism that brings together multi-agency and multi-sector coordination there is a gap in management of ESA
	ESA institutions are highly transparent, fully audited, and	0 -- Environmentally sensitive areas institutions totally non-transparent, not being held accountable and not audited; 1 – Environmentally sensitive areas institutions are not transparent but are occasionally	2	The institutions that will be mandated with the responsibility of ESA management at local and national level are fully transparent with strong

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	publicly accountable	audited without being held publicly accountable; 2 -- Environmentally sensitive areas institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent; 3 -- The Environmentally sensitive areas institutions are highly transparent, fully audited, and publicly accountable		financial systems in place.
	There are legally designated ESA institutions with the authority to carry out their mandate	0 -- There is no lead institution or agency with a clear mandate or responsibility for environmentally sensitive areas; 1 -- There are one or more institutions or agencies dealing with environmentally sensitive areas but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements; 2 -- There are one or more institutions or agencies dealing with environmentally sensitive areas, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps; 3 -- Environmentally sensitive areas institutions have clear legal and institutional mandates and the necessary authority to carry this out	0	• No lead agency exists for ESA in Sri Lanka
	Legal mechanisms on ESA	0 -- No enforcement of regulations is taking place; 1 -- Some enforcement of regulations but largely ineffective and external threats remain active; 2 -- Environmentally sensitive areas regulations are regularly enforced but are not fully effective and external threats are reduced but not eliminated; 3 -- Environmentally sensitive areas regulations are highly effectively enforced and all external threats are negated	0	• The National Environmental Act and a number of other legislation give force to declaring and managing ESAs, but in piecemeal fashion and there are no overall regulations
	Individuals are able to advance and develop professionally	0 -- No career tracks are developed and no training opportunities are provided; 1 -- Career tracks are weak and training possibilities are few and not managed transparently; 2 -- Clear career tracks developed and training available; HR management however has inadequate performance measurement system; 3 -- Individuals are able to advance and develop professionally	1	• There is a weak implementation of institutional level policies • Shortage of finances for capacity building • Training programs developed in country are inadequate and have a narrow scope
	Individuals are appropriately skilled for their jobs	0 -- Skills of individuals do not match job requirements; 1 -- Individuals have some or poor skills for their jobs; 2 -- Individuals are reasonably skilled but could further improve for optimum match with	2	Shortage of individuals with training in diverse fields
	Individuals are highly			

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	motivated	1 -- Motivation uneven, some are but most are not; 2 -- Many individuals are motivated but not all; 3 -- Individuals are highly motivated		
	There are appropriate systems of training, mentoring, and learning in place to maintain a continuous flow of new staff	0 -- No mechanisms exist; 1 -- Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed; 2 -- Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required; 3 -- There are mechanisms for developing adequate numbers of the full range of highly skilled environmentally sensitive areas professionals	2	• Training for cooperative management of an ESA is not addressed through the technical training programmes of individual departments
3. Capacity to engage and build consensus among all stakeholders	ESA Establishment and management has the political commitment	0 -- There is no political will at all, or worse, the prevailing political will runs counter to the interests of environmentally sensitive areas; 1 -- Some political will exists, but is not strong enough to make a difference; 2 -- Reasonable political will exists, but is not always strong enough to fully support environmentally sensitive areas; 3 -- There are very high levels of political will to support environmentally sensitive areas	1	• Higher commitment at district /provincial level. •
	ESA management has the public support they require	0 -- The public has little interest in environmentally sensitive areas and there is no significant lobby for environmentally sensitive areas; 1 -- There is limited support for environmentally sensitive areas; 2 -- There is general public support for environmentally sensitive areas and there are various lobby groups such as environmental NGO's strongly pushing them; 3 -- There is tremendous public support in the country for environmentally sensitive areas	1	• Communities need to be reached effectively in terms of awareness building (an effective communication strategy is absent)
	ESA management institutions are mission oriented	0 -- Institutional mission not defined; 1 -- Institutional mission poorly defined and generally not known and internalized at all levels; 2 -- Institutional mission well defined and internalized but not fully embraced; 3 – Institutional missions are fully internalized and embraced	0	• There is no national and local institutional mechanism established yet

Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Evaluative Comments
	ESA management institution can establish the partnerships needed to achieve their objectives	0 -- Environmentally sensitive areas institutions operate in isolation; 1 -- Some partnerships in place but significant gaps and existing partnerships achieve little; 2 -- Many partnerships in place with a wide range of agencies, NGOs etc, but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives; 3 -- Environmentally sensitive areas institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner	1	ESA management institutions require greater support to develop strong implementing partnerships with public and private sector in the field
	Individuals carry appropriate values, integrity and attitudes	0 -- Individuals carry negative attitude; 1 -- Some individuals have notion of appropriate attitudes and display integrity, but most don't; 2 -- Many individuals carry appropriate values and integrity, but not all; 3 -- Individuals carry appropriate values, integrity and attitudes	2	
4. Capacity to mobilize information and knowledge	ESA management institutions have the information they need to develop and monitor strategies and action plans for the management of the environmentally sensitive areas system	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access; 2 -- Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability; 3 -- Environmentally sensitive areas institutions have the information they need to develop and monitor strategies and action plans for the management of the environmentally sensitive areas system	1	Information is available in many different technical units and government agencies making collecting at national and district level a challenge
	ESA management institutions have the information needed to do their work	0 -- Information is virtually lacking; 1 -- Some information exists, but is of poor quality and of limited usefulness and difficult to access; 2 -- Much information is readily available, mostly of good quality, but there remain some gaps both in quality and quantity; 3 -- Adequate quantities of high quality up to date information for environmentally sensitive areas planning, management and monitoring is widely and easily available	1	Information is available in many different technical units and government agencies making collecting at national and district level a challenge
5. Capacity to monitor, evaluate, report and learn	ESA policy is continually reviewed and updated	0 -- There is no policy or it is old and not reviewed regularly; 1 -- Policy is only reviewed at irregular intervals; 2 -- Policy is reviewed regularly but not annually;	0	There is no policy

Annex 14 Indicators of the Results Framework at design and the indicators used for UNDP project progress monitoring - Critical Result Pathway Tool (CRPT)

Level	ProDoc and PIR Results Framework	CRPT
Objective To operationalize Environment Sensitive Areas (ESA)—as a mechanism for mainstreaming biodiversity management into development in areas of high conservation significance	1. % of land area identified nationally for Environmentally Sensitive Area designation 2. Populations of globally threatened species within Wilpattu and Kala Wewa ESAs 3. Areas of critical habitats under management within Wilpattu and Kala Wewa ESAs for connectivity and resilience	1. % of land area identified nationally for Environmentally Sensitive Area designation & extent of area under ESA management 2. Collaborative mechanism for ESA management is functional 3. Biodiversity and ecosystem related activities present in inter-sectoral work plans 4. % of populations of globally threatened species within Wilpattu and Kala Wewa ESAs is maintained. 5. Areas of critical habitats managed within Wilpattu and Kala Wewa ESAs for connectivity and resilience is improved
Outcome 1 National Enabling Framework Strengthened to Designate and Manage Environmentally Sensitive Areas (ESA)		6. Policy and legislative mechanisms developed to guide identification, declaration management, conflict mitigation and monitoring of ESAs 7. Number of inter-sectoral plans approved and financed by cross-sectoral National ESA Committee 8. - Number of development projects that implement ESA strengthened laws, policies etc 9. % change of capacity of consortium to promote and manage effectively ESA as national lead, against the UNDP scorecard 10. - Number of individuals trained in consortium of ESA enabling framework 11. # of Decision Support Systems available to practitioners for managing multiple land uses in ESAs

Output 1 (1.1.) Effective national policies and legal instruments on conservation and sustainable management of ESAs	1. Appropriate Policy and legislative mechanisms developed to guide identification, declaration, management, conflict mitigation and monitoring of ESAs Result 1: National Policy and Strategy on ESA Result 2: National ESA Scale up Plan Result 3: Updated policy to address human wildlife conflicts	12. National ESA Committee is functional (ToR developed, members appointed, meetings conducted on a quarterly basis) 13. Progress made on developing a scale up plan by the project
Output 2 (=1.2) National stakeholders' capacities to support planning, implementation and monitoring of ESAs	2. Number of inter-sectoral plans approved and financed by cross-sectoral National ESA Committee Result 4: At least two ESA land use plans and annual ESA work plans approved by inter-sectoral ESA Committees, outlining joint work Result 5: At least 10 annual work plans (one for each pilot ESA) approved by national ESA Committee, along with joint policy guidance for ESA management 3. Capacity of the Biodiversity Secretariat to act as the national lead agency to promote effective ESA implementation Result 6: Capacity of the Biodiversity Secretariat strengthened to act as the national lead agency to promote effective ESA implementation 4. Decision Support System available to practitioners for managing multiple land uses in ESAs Result 7: National guideline to integrate biodiversity conservation and sustainable use into land use planning	14. National guidelines & tools available to integrate biodiversity conservation and sustainable use into land use planning 15. Clearing House database at Biodiversity Secretariat is updated with biodiversity data on environmentally sensitive areas 16. A biodiversity integrated land use plan is approved per district. 17. Number of officers (NESAC & Consortium) engaged towards changed knowledge on ESA concept and how to integrate biodiversity conservation into development and lessons learnt 18. Number of institutions supported with required technical equipment

	Result 8: National guides on how to integrate biodiversity conservation into sectoral plans and actions, (agriculture, forestry, coastal development and tourism Result 9: Online integrated biodiversity assessment tool available to identify biodiversity hotspots nationwide, building on national and international data.	
Outcome 2 Biodiversity-Friendly ESA Management Operationalized For Long Term Integrity and Resilience Ensured At Two Sites in the Kala Oya Region		19. Area under management with inter-sectoral partnership and quantifiable biodiversity conservation targets 20. Extent of functioning of District Facilitation Committee, Local Management Committee on ESA management 21. # of integrated sectoral plans approved at local level. 22. # of stakeholders capacitated to implement ESA's land use/ seascape plans for conservation 23. Percentage increase in funding available to support biodiversity friendly ESA management activities 24. Extent of protected areas whose management is integrated with wider landscapes/ seascapes to minimize threats from outside PA and to mitigate land and resource use conflicts at ESAs 25. Hectares of Critical biodiversity habitats outside protected areas are effectively managed under effective management regimes within the ESA for habitat connectivity, integrity 26. Ha of land brought under biodiversity compatible agricultural production practices

Output 3 (=2.1) Institutional capacities for biodiversity friendly land-use planning, implementation and compliance at Kala Wewa and Wilpattu ESAs	5. Area under management with inter-sectoral partnership and quantifiable biodiversity conservation targets Result 10: Two ESAs under management with inter-sectoral partnership and quantifiable biodiversity conservation targets 6. Stakeholders' capacities to implement ESA's land use/seascape plans for conservation Result 11: Increased stakeholders' support and capacities to implement land use/ seascape plans for conservation 7. Increase in funding available to support biodiversity friendly ESA management activities Result 12: Sustainable financing available for ESAs	27. # of functioning facilitation committees- 28. # of long-term financing plans – for each ESA site is developed
Output 4 (=2.2.) Ecosystems Management and Restoration at ESAs	8. Area of protected areas whose management is integrated with wider landscapes/ seascapes to minimize threats from outside PA and to mitigate land and resource use conflicts at ESAs Result 13: protected areas management integrated with wider landscapes/ seascapes to minimize threats from outside PA and to mitigate land and resource use conflicts 9. Critical biodiversity habitats outside protected areas under effective management regimes within the ESA for habitat connectivity, integrity and resilience	29. # initiatives taken to protect area management, integrated with wider landscapes/ seascapes 30. # initiatives taken on protecting critical biodiversity habitats outside the protected areas 31. # initiatives progressed on biodiversity compatible production practices in agro-ecosystems within ESAs

	Result 14: Critical biodiversity habitats outside protected areas under effective management regimes within the ESA for habitat connectivity, integrity and resilience 10. Extent of land brought under biodiversity compatible agricultural production practices Result 15: At least 25,000 ha of agro-ecosystems brought under biodiversity compatible production practices within ESAs (including paddy fields, slash and burn land and homesteads/ home gardens)	

Annex 15 Draft ESA Policy, Version 07/09/2021

Attached separately

Annex 16 Gender Disaggregated Data on Participation in Capacity Building

Gender Disaggregated Data[5] on Participation in Capacity Building

Between 2016 and 2021, 1963 people were trained, based on their training needs assessment

Individuals trained in 2019/2020 include:

•17 students (10 girls and 7 boys) from Grade 5 scholarship programme were trained regarding agriculture practices (e.g.: pruning)

•100 participants were given trainings on Potato model cultivation practices and maintenance of those cultivation practices and techniques with involvement of Provincial Department of Agriculture, North Western Province.

Individuals trained in 2020/2021 include:

• 15 farmers given training on mango model agriculture practices and conservation activities through Provincial Agriculture Department, North Central Province

• 45 participants (25 women and 20 men) trained on Villu conservation activities (promotion of seed supply) by the Department of Agrarian Development, Wanathawilluwa

• 640 participants (400 women and 240 men) were trained on ESAs and home garden development with the involvement of Divisional Secretariat Wanathawailluwa and Provincial Department of Agriculture, North Western Province

• A community needs assessment was conducted for 63 participants (45 women and 18 men) and a training was done regarding continuation of established farmer organizations after the establishment of Habarawatte cascade via Divisional Secretariat Galnewa

• 70 participants for home garden development (lime, betel and pepper cultivation) in Wallewagama GN division

• A training for 15 participants (8 women), in the form of a capacity building programme was conducted with the involvement of Industrial Services Bureau, on business idea generation and Manawa Kanda business plan launch

• 100 farmers (75 women) were trained on sustainable use of chemical fertilizers

• 40 women from Sithamu Kantha Women Based Organizations were trained regarding value added production using Invasive Alien Species

45 participants (30 women) participated in the workshops conducted by Provincial Department of Agriculture regarding value added productions in ESAs through Provincial Department of Agriculture, North Western Province

[5] Indicator 7 , PIR 2021

• 15 members (community and government officers) engaged in a two-day training in Gangewadiya ESA on identifying mangroves, replanting techniques and on protocols introduced by the Biodiversity Secretariat on replanting and restoration of degraded mangroves 35 community members (5 women and 30 men) have been trained on sustainable tourism with the support of Wayamba Development Authority and SLTDA to engage in ecotourism under Global Sustainable Tourism Certification Programme.

Furthermore, 25 women development organizations were involved in ESA management activities and capacities of these organizations were increased in the form of training and awareness and capacity building programmes in 2020/2021.

Sithamu Women Farmer Organizations include:

17 organizations from Ipalogama DSD

02 organizations from Galnewa DSD

06 organizations from Wanathawilluwa DSD

Additionally, the following Community Based Organizations ,Parisara Bhara CBO, Wana Shakthi CBO, and Ralmaduwa CBO, were involved in ESA management activities where there was significant women engagement.

Annex 17 URLs on project communications, knowledge products, capacity building

http://www.sundaytimes.lk/180513/news/floating-lifeline-to-rescue-dying-bar-reef-293881.html
https://undpsrilanka.exposure.co/seas-the-day
https://mailchi.mp/19ff2f0230b1/undp-sri-lanka-on-the-ground-newsletter-may-june-2018?e=bcb70a6342
https://www.flickr.com/photos/162639425@N07/albums/72157690211096512
ESA Documentary Film Sinhala Version
ESA Documentary Film Tamil Version
ESA Short Video with Sinhala Voice
ESA Short Video with Tamil Voice
ESA Short Video with Sinhala Text
ESA Short Video with Tamil Text
ESA Short Video with English Text
https://www.youtube.com/watch?v=lrexqYMrZDU
https://undpsrilanka.exposure.co/restoring-kalpitiyas-reef
http://www.sundaytimes.lk/article/1090924/a-reef-under-threat-attempting-to-restore-kalpitiyas-bar-reef
http://www.ceylontoday.lk/print-edition/5/print-more/32565

June 2019 -June 2020
https://undpsrilanka.exposure.co/searching-for-peace
Video documentary film of 5 minutes in Sinhala & Tamil with English subtitles on the ESA project, highlighting importance of cascade system in Sri Lanka and biodiversity conservation and sustenance of ecosystem services with best practices, rehabilitation of the cascade system with micro-land uses using an ecological approach in the Kala Oya basin.

July 2020- June 2021

https://www.facebook.com/Environmentally-Sensitive-Areas-2300032753584961
https://www.facebook.com/AdaDerana24/videos/212929426767728
https://www.facebook.com/wijeyaweekly/videos/806163229919263
file:///E:/User/Desktop/ESA/Communication-Final%20Year/Thilal/Echelon%20Magazine%20-%20February%202021%20Digital%20Magazine%20from%20Magzter%20-%20World's%20Largest%20Digital%20Newsstand.html
https://undpsrilanka.exposure.co/protecting-biodiversity?fbclid=IwAR23z1_xIpBKrRWZ5aHulSMkTzm90qk6q3S_uVgmL7B4YEuJE9W13XbOFr8
https://www.facebook.com/100009340835853/videos/pcb.2824224597898874/2824222187899115
https://www.youtube.com/channel/UC6om-RH4kenbrK8NL6UbX3w
https://undpsrilanka.exposure.co/an-adventure-off-the-beaten-track?source=share-UNDPSrilanka&fbclid=IwAR3FNfUD2DlzHiN9gkuvE8p4RB7v77imnXH6-6GlhoxfuOzbq2gm5ESPve4
https://www.facebook.com/hashtag/unworldoceansday
https://www.facebook.com/pulse.lk/videos/336817261141454
https://undpsrilanka.exposure.co/all-for-one-and-one-for-all
https://www.facebook.com/2300032753584961/videos/165143955709294
https://www.youtube.com/channel/UC6om-RH4kenbrK8NL6UbX3w
https://www.youtube.com/watch?v=S9pm3ca-W1k&t=507s
https://www.youtube.com/watch?v=TixTtJE6wU4
https://www.youtube.com/watch?v=392Pj3nN23w

ANNEX 18 Documentation of ESA Policy Development Process

Included as separate pdf file

ANNEX 19 Development of Gender Action Plan

Empowered lives.
Resilient nations.

Project / Programme Review [6]

Development of a Gender Action Plan – UNDP Sri Lanka

Project Name: Enhancing Biodiversity Conservation and Sustenance of Ecosystem services in Environmentally Sensitive Areas Project

Project Number: 00079607

Output Number: 000089554

1. **Background of Project:** *(write 1 -2 paragraph)*

Sri Lanka's ecosystems and biological diversity provide an array of critical environmental services that underpin water provision, agricultural/ fisheries production and protection from natural disasters such as storm surges. Ecosystems and biodiversity play significant roles in people's subsistence livelihoods as well as in wider economic development. To conserve its most significant biodiversity, Sri Lanka has instituted a national system of Protected Areas (PAs). Many of the globally important ecosystems and habitats of globally significant species will continue to remain outside protected areas and will face accelerating pressures. Thus, this project is, to assist the Government of Sri Lanka to safeguard biodiversity in multiple land use areas of special ecological significance (high biodiversity values) through the operationalization of a new land use governance framework called “Environmentally Sensitive Areas” (ESAs), which will be primarily outside the protected areas.

"Enhancing Biodiversity Conservation and Sustenance of Ecosystems services in Environmentally Sensitive Areas" is a GEF funded project, implemented by the Ministry of Mahaweli Development and Environment (MMDE) and supported by UNDP. Habitat loss and fragmentation, land degradation, unsustainable use of natural resources, invasive alien species, pollution, loss of genetic diversity of crops and livestock, and natural disasters and climate change have been identified as key threats to the biodiversity by the Project. The primary objective of this project is ‘To operationalize Environment Sensitive Areas (ESA)—as a mechanism for mainstreaming biodiversity management into development in areas of high conservation significance’.

In order to achieve this Objective, the project plans on achieving the two major outcomes: National enabling Framework strengthened to designate and manage Environmentally Sensitive Areas (ESA) and Biodiversity-friendly ESA management for long term integrity and resilience ensured at the three ESA sites in the Kala Oya region which were selected based

on cumulative scores against ecological criteria and eco system services derived from scorecard of baseline survey conducted in Kala Oya River Basin; the first site is identified towards lower part of river basin and named ESA 01: Lower Kala Oya ESA within Wanathawilluwa Divisional Secretariat Division (DSD). The second site is in upper part of the basin and covers ESA 02: Manawekanda ESA within Ipalogama DSD and third site is ESA 03 is in Galnewa DSD.

2. **Existing gender inequalities of Project focused area:** *(write 1 -2 paragraph)*

The three project areas displayed gender stereotypical roles of women and men. As a result, gender inequalities kept women behind in the areas of empowerment of rights, income generation, career choices among others. Due to dangers of human wild animal conflict, women faced many restrictions in their mobility. Work on men and women was gender specific and women largely didn't venture to male dominated areas. Women in women-headed households that were faced with a challenge of embracing new male dominated livelihood options also faced limitations (denied access to resources, lack of resources, limited mobility) and stigma.

The activities in the gender action plan will address these key inequalities identified in the project areas. Further some equity measures would be taken on identified circumstances.

3. **Proposed actions to address gender equality dimensions in the project:** *(write 1 -2 paragraph)*

- Policy directives on Human-Wildlife Conflict (HWC) and reviewed Wild Elephant Management & Conservation Policy: Policy goals of managing human wildlife conflict is set in a way that recognizes the rights and development needs of local communities while at the same time recognizing the need to promote biodiversity conservation. Men and women are affected differently due to HWC and this affects the decisions 'on choice of agriculture livelihood' among women as there are limitations to protect the harvests from wild animals, especially during the night. Measures to compensate the losses to human life, health, properties, crops are undertaken through a gender lens in consultations with women and men, ensuring that recommendations of women are heard and reach decision making level, thereby striving to bring long term sustainable solutions that are gender responsive and inclusive.

- Rearing goats in open space is a practice of the community living next to Wilpattu PA and conflict between leopards and farmers is high. Addressing inequalities in income generation, the project engaging with women facilitated five households to adopt inhouse goat rearing with appropriate housing structures for goat breeding. It is expected this practice will minimize overgrazing at forest lands and reduce conflicts with leopards. This intervention has enabled many women to adopt similar practices thereby promoting women's engagement in livelihood.

- Strengthening the income generation of women, 15 women have formed a community enterprise to sell organic products from their home gardens. In the initial phase they received an income of LKR. 8000 per month, per person during the *Yala* season but they plan to go for an income of LKR 20,000 per month per person during *Maha* season and are working steadily to establish their products with a steady flow. These results that promote women's participation in income generation are scattered at present and will be systematized under a more comprehensive plan.

- Established virtual automated alarm system as a pilot project in Theva Nuwara to reduce human elephant conflict (EHC) is bringing a relief to rural men and women in the village as they were very fearful of engaging in day to day activities and livelihood, especially sending their children to school. HEC affects men and women differently. More women have been killed than men by HEC at night give the gendered nature of the activities undertaken by women, such as sharing food with neighbors and joint child rearing, fetching water for cooking and household needs and also when using the outhouse. Women's clothing as well as their ability to defend themselves as a result of their socialization has impacted them negatively. Men too have become victims of HEC while engaging in agriculture related activities outside the residential area. The virtual early warning system detects elephants approaching within 1 km perimeter to the village and sends an SMS as an early warning to the community and DWC rangers. The village is being mobilized to collectively chaise the elephants out of village. or This gives freedom to men and women to engage in their day today activities and livelihoods without the constant dilemma of HEC. Women feel, they can take decisions on sending the kids out of home based on information receive via mobile and there are hopes on the success during this trial season.

- The project strengthened the community monitoring system of Bar Reef Marine Sanctuary by capacitating men and women divers in Kalpitiya and thereby have succeeded in breaking gender barriers so that women are able to enter a male dominated profession such as diving and have also encourage many women to move away from their economic vulnerability and adopt small scale businesses. In this respect the project has given visibility to 2 women divers who actively participate in Bar Reef monitoring who have gained national recognition as divers and exceled within their diving careers. Furthermore, there are 3 women guides who actively participate in Manawe Kanda Ecotourism intervention, this too is an area where women's inclusion has been promoted by the project. Through the training offered by the project on economic empowerment of women, several women have taken steps to setup 'homestays for ecotourism venture' managed by the Community Based Organization the village.

- The catchment protection and cascade rehabilitation contribute to improve water services in the project area. The availability of water has addressed narrow the gap on gendered role of men and women. The time spent by women on fetching water from afar for household work, home gardening etc has been reduced. Thereby increasing the quality of life (with greater

food security and increased nutrition) as well as freeing up more time for income generation activities and to contribute to community level decision making. Men too are able to engage in agriculture related livelihoods (which is largely dominated by men and also some Women Headed households) thereby minimizing migration to cities in search of optional livelihoods. This has enhanced the wellbeing of the entire family and also increased better hygiene.

- Biodiversity Integrated Sectorial Development Plans for Agriculture within Environmentally Sensitive Areas (ESA) in Anuradhapura and Puttlam, has enabled 4600 ha of production land under biodiversity compatible production practices. Ecological farming practices lead to reduction of synthetic fertilizer usage and pesticide usage in farming thereby minimizing health risks due to Chronic Kidney Disease and many other heath disorders. Women, men, girls and boys benefit equally from this intervention. Household that suffer from chronic food-insecurity are able to reach food security through the adoption of ecological farming in their home gardens. The home gardens have strengthened women's income generation (sole income or additional income), thus has enabled them to spend on their children's education, better nutrition habits, ability to save as well as increased their buying power 9suchas jewelry and other household items). These new changes that have challenged power structures, gender stereotypes, inequalities, discrimination have changed norms and attitudes towards the home garden concept and has empowered women economically and socially.

4. Atlas Marker Score - review of Programs/ projects

- What score has the CO assigned to this project on the Atlas Gender Marker?
- Does this score match your own assessment?

Cluster/ Programme	Project title	CO Gender Marker score (present)	Assessment					Suggested Gender Marker Score
			Women-focused	Gender-focused	Gender responsive	Gender blind	Gender-adverse	
		1	No	Yes	Yes	No	No	2

Guide:

a) *Women focused*: women are the main stakeholders/beneficiaries of the project and/or women's empowerment is specified as an objective,

b) *Gender Focused*: Project specifically addresses a gender issue and/or gender equality is specified as an objective.

c) *Gender Responsive:* Project recognises gender inequality and incorporates specific actions to

ensure women's participation and/or access to benefits, although women are not primary stakeholders and gender equality is not a stated objective.

d) *Gender Blind:* Project does not recognise or respond to gender inequality in any way.

e) *Gender Adverse:* Project is likely to have an adverse effect on gender equality and/or women's situation.

5. **Please fill the relevant information in the table below:**

Activities (as per the present workplan)	Updated new actions incorporating gender equality	Updated / New indicators incorporating gender	Responsible Institutions
Outcome 01: National Enabling Framework Strengthened to Designate and Manage ESAs			
Output 01: Effective national policies on conservation and sustainable management of ESAs			
Activity 1.1: Develop Policy and legislative mechanisms developed to guide identification, declaration management, conflict mitigation and monitoring of ESAs	• Recruitment of senior advisor on gender and social inclusion and developing discussion papers for policy and planning process • Women and men policy makers, conservationist included in the policy dialogues • Policy briefs include gender responsive/ women-led actions	No Group members disaggregated by gender # of gender responsive actions included in the policy briefs	PMU- MoMDE
Activity 1.2: Develop inter-sectoral plans approve and financed by cross-sectoral National ESA Committee	• Advocating and awareness raising at national level stakeholders on the need of adopting participatory approaches and developing community conservation plans and sectoral plans at GND level consultations and continuous validation of plans with men and women in project sites	National level acceptance of the bottom up approach (NESAC endorse the LMC & DFC approved intersectoral plans)	PMU- MoMDE & NESAC
Output 02: National stakeholders' capacities to support planning, implementation and monitoring of ESAs			

Activity 2.1: Capacitate consortium to promote and manage effective ESA as national lead, against the UNDP scorecard	• Considerate selection of training venues, duration, methods to facilitate active participation of men and women	Male and female officers capacitated and engaged in ESA management at National level	PMU- MoMDE
Outcome 02: Biodiversity-friendly ESA management for long term integrity and resilience ensured at two sites in the Kala Oya Region			
Output 03: Institutional capacities for biodiversity- friendly land-use planning, implementation and compliance at Kala Wewa and Wilpattu ESAs			
Activity 3.1: Establish District Facilitation Committees (DFC) and Local Management Committees (LMC) at Anuradhapura, Puttalam District level to guide and facilitate activities at ESAs	Ensure equity in memberships and engagement of DFC & LMC membership		PMU- MoMDE
Activity 3.3: Preparation of ESA land use plans/ seascape plans at division level for biodiversity-friendly matrix of land uses (cascade management) and natural resource management	Mobilize Economic Development Officers to reach women and men groups at GND level and identify resource base and threat analysis with them Participatory problem and threat analysis at GND level to enrich expert studies Participatory proposal development at village level and safeguarding their rights and addressing vulnerabilities	Extent of the incorporation of knowledge on different uses of natural resources by men and women in ESA Management	PMU- MoMDE, Divisional Secretariat Wanathawilluwa, Ipalogama & Galnewa
Activity 3.4: Implementation of the sectoral plans.	Assign join monitoring teams inclusive of men and women from ESAs	Women & men engaged in join monitoring mechanisms	PMU- MoMDE

Activity 3.5: Develop communication strategy to increase stakeholders support & capacities	Participatory need identification and developing strategies Identifying women groups, youth groups as promoters of ESA concept Sharing knowledge on endemic species in ESAs and disseminating it at national level through engagement with men and women Lessons learnt capture gender responsive actions / gender equality results		PMU- MoMDE, IUCN & UNDP
Activity 3.8: supporting strong business development and capacity development for local community-based enterprises so that livelihood improvement efforts are sustained post project.	Supporting unemployed women, women headed households via community-based enterprises Engaging with women-led CSOS and key stakeholder to bring women's initiatives and recommendations to the decision-making table.	Number of men and women engaged in social enterprises receiving support of the project	PMU- MoMDE
Output 04: Ecosystems management and restoration at ESAs			
Protected areas management integrated with wider landscapes/ seascapes to minimize threats from outside PA and to mitigate land and resource use conflicts	Empowering community women as divers at Bar Reef Marine Sanctuary Community engaged in Co management of Bar Reef Marine Sanctuary	Presence of Men & women of local communities engaged in PA co- management	DWC & FD
Critical biodiversity habitats outside protected areas under effective management regimes within the ESA for habitat connectivity, integrity and resilience	Engaging with young women and young men to initiate efforts at implementing community conservation plans Discussion on addressing gender equality at individual / community level and breaking	Community engagement in managing ESAs, particularly women	PMU- MoMDE

	barriers that keep women behind in ESA management.		
At least 25,000 ha of agro-ecosystems brought under biodiversity compatible production practices within ESAs (including paddy fields, slash and burn land and homesteads/ home gardens)	Engaging with young women and men, older men and women in adopting best practices to bring agro-ecosystems under biodiversity friendly production practices	Men and women engaged in best practices	DoA, DAD

Checklist for project reviews when mainstreaming gender

Situation analysis

- Does the situation analysis consider the different social, economic, cultural and political situations of men and women?
- Does the analysis reflect an awareness of the gender-differentiated impacts of socio-economic and development processes, particularly in the context of the proposed project?

Data and statistics

- Have data and statistics provided as background and/or justification for the project been disaggregated by sex? If not, has a reason (eg. non-availability of such data, inappropriateness of disaggregation against a particular indicator) been given for the omission?
- Is it proposed to address gender gaps in data as one of the activities under the project? For instance, has collection of sex-disaggregated data been specified in the proposal for baseline survey?

Strategy

- Does the proposed strategy specify how it will address the dimensions of gender inequality described in the analysis? If not, is there an explanation given of why this aspect has not been considered?
- Does the strategy include any measures to mitigate any possible negative gender impacts of the project?

Monitoring indicators

- Does the monitoring framework include measurable gender indicators appropriate to the intervention?

Implementation

- Have specific actions for gender equality been mandated (eg. specified percentage of seats reserved for women in decision-making bodies set up under the project, training programmes,

study tours and other learning opportunities, job opportunities, equal wages)?

Stakeholders and partners

- Are women's organisations or women/gender units within larger institutions included among the stakeholders?
- Who are the implementing partners? Do they have experience/competence in implementing gender-responsive programmes? If not, then how is the capacity gap going to be addressed?

Budget

- Have adequate resources been provided for the proposed gender activities?
- Will it be possible to track the flow of these resources?

Atlas Marker Score

- What score has the CO assigned to this project on the Atlas Gender Marker

(2021 07 09 DRAFT Version)

National Policy of Environmentally Sensitive Areas in Sri Lanka

Ministry of Environment
'Sobadam Piyasa', 416/C/1,
Robert Gunawardana Mawatha, Battaramulla,
Sri Lanka
2021

National Policy of Environmentally Sensitive Areas in Sri Lanka.

Table of Content.

Effective Date of the Policy.

(xxxx)

1. Introduction.

1.1. Background.

Sri Lanka is an island nation, exhibiting remarkable biological diversity and considered to be the richest country in the Asian region in terms of species concentration. Ecological, climatic, soil and topographical variability across the country provides favourable conditions for a wide array species of flora and fauna in most localities. Due to extraordinary biodiversity and species concentration, the country has been identified as one of the biodiversity hotspots in the Asian region. Distinctive biodiversity of Sri Lanka consists of species richness, gene pool and numerous diverse habitat assortment of forests, wetlands, coastal, marine, freshwater and agricultural ecosystems. Environmental services renders uniqueness of Sri Lankan biodiversity and ecosystems.

The National Red List (2012) reveals that there are 253 land snail species, 245 butterfly species, 240 birds, 211 reptiles, 748 vertebrates, 1,492 invertebrates. 43% of vertebrate species reported are endemic; in more detail, 87% of amphibians, 59% of Reptiles, 19% of mammals and 7% of birds are endemic to the country. 336 Pteridophyte and 3,154 flowering plants are scattered around the country and 916 plant species are endemic. Sri Lankan biodiversity brings economic, ecological, and aesthetic values to the local community and beyond. However, due to both the natural and anthropogenic reasons, the biodiversity in Sri Lanka is threatened, especially, it is significant amongst the endemic species.

In terms of natural resources, Sri Lanka constitutes well with lands, forest, waters, minerals, and biodiversity. Minerals and rocks in Sri Lanka contribute to micro and macroeconomic geology and have spread around the country. Annual Report 2019 of the Central Bank of Sri Lanka states that while the contribution of agriculture sector to the GDP was 7 % and mining and quarrying was 2.3%. The percentage of total employment in the agriculture sector was 25.3 and mining and quarrying sector was 0.7 in the same year. The nature - the natural capital of Sri Lanka is the fundamental source and magnet in economic growth of the country.

The World Risk Index named Sri Lanka as a country of ‘high chances of disasters’ with the rank of 109 in 2017, and the Climate Risk Index of Sri Lanka was 31 in 2019. The National Building Research Organization estimates that 20 -30% of the total land area in the country where 30 – 38% of the country population lives has been identified as vulnerable for landslides.

Management of the environment, its natural resources and biodiversity is vital in achieving sustainable development. Population pressure, increasing demand on natural resources, less environmental sensitive development planning, practices and infrastructure, environmental pollution and illegal trades are among the major contributors for depletion of natural resources and decline of biodiversity.

In this scenario, Environmentally Sensitive Areas require special protection as they are environmentally, ecologically, economically and socially significant in ensuring resilience communities and economies and sustainable development.

1.2. Rational for a National Policy.

Certain Environmentally Sensitive Areas and environmentally sensitive features have been protected in Sri Lanka under several policy, legal and institutional frameworks, in different forms; area based and species or feature based in both the regulatory approach and conservation approach. While the Protected Areas are committed to conserve its nature and biodiversity with its associated ecosystem services and cultural values, there are plenty of Environmentally Sensitive Areas out of Protected Areas around the country without an effective conservation and management framework.

Accordingly, such Environmentally Sensitive Areas, which are identified as exceptionally specific areas for achieving specific outcomes to biodiversity and are hereafter defined by this Policy as '*an area outside the Protected Areas, that is vital for the long-term maintenance of biodiversity and its services/or the productivity of water, soil and other natural resources to provide ecological, environmental, economic and cultural benefits to the local community involved, as well as to the nation and global community as a whole*', are essential to conserve and manage for ensuring well-being of human and environment, resilience communities and sustainable development, by introducing mechanisms to identify sensitive land parcels, management models and novel economic models that enables continued use of services already enjoyed by the nation and ensures water, energy and food security of the nation.

Therefore, this area based distinct conservation and management approach is proposed for filling the gaps in conservation of Environmentally Sensitive Areas that are encountered outside the Protected Areas.

1.3. Scope and the Applicability of the Policy.

The purpose of the Policy is to attenuate potential risks to the Environmentally Sensitive Areas and its associated services, economies and communities. The scope of the Policy applies to establishment of an effective approach and development of a mechanism with appropriate procedures for identification and sustainable management of Environmentally Sensitive Areas with its environmental, ecological and socioeconomic values. The Policy shall apply to both the public and private lands.

The policy shall provide guidance to designate an Environmentally Sensitive Area on the basis of the best scientific data available and consideration of the economic and any other relevant impact of such designation.

Therefore, the Policy shall be applicable for both the existing and forthcoming laws and regulations, action plans and all interventions in the public and private sector, and of the communities.

2. Vision, Mission and Policy Goals.

2.1. Vision of the Policy.

A healthy, safer and conserved environment and economy across Environmentally Sensitive Areas for socioeconomic wellbeing and livable habitat for all.

2.2. Mission of the Policy.

Enabling platforms at all levels for a participatory and conscious decision-making process for the public and private sector, and communities in land use planning and sustainable land management in Environmentally Sensitive Areas, as nature-based solutions to enhance the integrity of conservation, resilience to climate change and wise use of natural capital in development.

2.3. Goal of the Policy.

Creating an enabling environment at all levels by providing visionary directions for an effective conservation and management of Environmentally Sensitive Areas, and its socioeconomic, environmental, and bio-cultural services and values, with public, private and community participation.

2.4. Objectives of the Policy.

To promote a conceptual and regulatory framework in conservation and management of Environmentally Sensitive Areas with public, private and community participation.

To enhance the local and sectoral economies that are bound with the biodiversity and use of natural resources in resilience and sustainable manner, through promoting of and facilitating for conservation and management of Environmentally Sensitive Areas.

To ensure social equality and environmental justice through enhancing access to resources and opportunities for all equitably in sharing socioeconomic benefits and burdens at Environmentally Sensitive Areas.

To facilitate research, education and knowledge sharing initiatives on Environmentally Sensitive Areas.

3. Thematic Areas, Policy Statements and Policy Thrust Areas.

This Policy recognizes that the Environmentally Sensitive Areas are vibrant and need adequate protection for sustainable use, and therefore, following 13 Policy Statements are made under 9 thematic areas, and suggest 34 Thrust Areas.

3.1. Thematic Area: Compliance and Adherence to the Policy.

Policy Statement (1):

By recognizing the environmental, ecological and socioeconomic values of Environmentally Sensitive Areas, all persons and institutions living in or managing land or any activities on or in connection with an Environmentally Sensitive Area and its effective area, shall be in compliance to the Policy Statements of this Policy and the Guideline on the Identification and Management of Environmentally Sensitive Areas that is set out in aligned with the Policy (hereafter the Guideline), in land use planning and practices, irrespective of the land ownership or land management hold by the public or private institutions or individuals or communities.

Thrust Area 1.1: The Secretary to the Ministry of Environment shall issue Guidelines on Identification and Management of Environmentally Sensitive Areas, time to time and as appropriate, with the approval of the National Steering Committee of the Environmentally Sensitive Areas.

Thrust Area 1.2: The public institutions that own land or manage land shall develop institutional regulations, guidelines and procedures as appropriate and in line with the *Guidelines on Identification and Management of Environmentally Sensitive Areas*, and declare and ensure such guidelines are implemented.

Thrust Area 1.3: The following categories of public institutions that are directly connected to the environmental services of Environmentally Sensitive Areas shall develop sectoral guidelines to regulate use of environmental services of Environmentally Sensitive Areas.

(a) Technical services providing institutions (Department of Agriculture, Department of Agrarian Development, Department of Animal Production and Health, National Aquaculture Development Authority)

(b) Financial services providing institutions (Central Bank of Sri Lanka)

(c) Services receiving or managing institutions (National Water Supply and Drainage Board, Sri Lanka Tourism Development Authority)

Thrust Area 1.4: Urban Development Authority shall declare relevant urban planning and development regulations in compliance with the *Guidelines on Identification and Management of Environmentally Sensitive Areas* for the effect of Environmentally Sensitive Areas that are fallen within urban areas.

3.2. Thematic Area: Identification of Environmentally Sensitive Areas.

Policy Statement (2):

Environmentally Sensitive Areas shall be identified, as per the Guidelines on Identification and Management of Environmentally Sensitive Areas, based on a scientific evaluation carried out considering the environmental, economic and sociocultural criteria, and are on the latest information available in the country and validated by the relevant government institutions with academia or other interested parties.

Thrust Area 2.1: Identification shall be based on (a) significance of biodiversity and vegetation types, (b) ecosystem services and (c) significance of land for the resilience for climate change and disaster risk reduction.

Thrust Area 2.2: Identification shall be based on valuation of each land parcel, which is carried out assessing the percentage of contribution of each of the above mentioned three areas separately to the total value of the land parcel, that enable it to be identified as an Environmentally Sensitive Area.

Thrust Area 2.3: Communities, including Civil Society Organizations, and public institutions shall be encouraged and facilitated to carry out research and identify and nominate Environmentally Sensitive Areas based on their local, indigenous or scientific knowledge.

3.3. Thematic Area: Declaration of Environmentally Sensitive Areas.

Policy Statement (3):

Environmentally Sensitive Areas shall be announced by the Secretary to the Ministry of Environment on the recommendation of the National Steering Committee on Environmentally Sensitive Area.

Policy Statement (4):

When an Environmentally Sensitive Area is being announced, the relevant statutory authorities that hold land ownership and/or mandatory for land management, or conservation of particular species or types of land parcels, shall declare the establishment of Environmentally Sensitive Area, and regulations relating to land use planning and land management practices applicable to the Environmentally Sensitive Area.

Thrust Area 4.1: When Environmentally Sensitive Areas are fallen within the local government areas, the Local Government Authorities shall pass by-laws, as appropriate, in compliance with the *Guidelines on Identification and Management of Environmentally Sensitive Areas*, to regulate mandatory services.

Policy Statement (5):

Declared Environmentally Sensitive Areas shall be incorporated into the area land use maps by the Land Use Policy Planning Department for sustainable land use planning and practices.

3.4. Thematic Area: Management of Environmentally Sensitive Areas.

Policy Statement (6):

Management of Environmentally Sensitive Areas, at all levels, shall adhere to the key principles of environment governance, including a rights-based approach in natural resource management and public – private partnerships.

Thrust Area 6.1: The National Steering Committee, convened by the Secretary to the Ministry of Environment and co-chaired by the Secretaries to the Ministry of the subjects of Environment and Land shall oversee the administration, implementation and monitoring of the Policy, and the Committee shall composite with the relevant public, private, academic and community representation, as detailed below.

a. Secretaries or the nominees of the Secretaries of the Ministries of the subjects of Environment, Land, Mahaweli Development, Forest, Wildlife Resources, Fisheries, Irrigation, Agriculture, Disaster Management, Plantation, Urban Development, Local Government and Provincial Councils, and Finance,

b. Heads of the Departments or the nominees of the Department of Forest, Wildlife, Land Use Policy Planning, Irrigation, Coastal Conservation, and Archaeological,

c. Commissioner General of Land, and Commissioner General of Agrarian Services,

d. Director General of Central Environmental Authority, Mahaweli Development Authority, Irrigation, Disaster Management Centre, Sri Lanka Tourism Development Authority, Urban Development Authority, Land Reform Commission, and Director of Natural Resources Management Centre, and General Manager of Sri Lanka Land Development Cooperation.

e. Directors of Biodiversity Secretariat, Climate Change Secretariat of Ministry of Environment,

f. X members of biodiversity expert group of the Biodiversity Secretariat, X independent environmental scientists or activists, X academics in the field of planning, climate change adaptation and mitigation, natural resources management, etc.,

g. X community members actively engaged in Environmentally Sensitive Areas management, and X from private sector engaging in environmental conservation or research and innovations related Environmentally Sensitive Areas.

Thrust Area 6.2: The Secretary to the Ministry of Environment shall assign a relevant Department or Authority or a Division as the coordinating body of Administration of the Policy, and management of Environmentally Sensitive Areas.

Thrust Area 6.3: The District Environment Committee shall also serve as the District Governance Committee on Environmentally Sensitive Areas. The Committee shall facilitate for and oversee management of Environmentally Sensitive Areas.

Thrust Area 6.4: The Divisional Environment Committee shall also serve as the Divisional Governance Committee on Environmentally Sensitive Areas. The Committee shall facilitate, coordinate and monitor management of Environmentally Sensitive Areas.

Thrust Area 6.5: Each Environmentally Sensitive Area shall be governed by a Committee with the composition of relevant stakeholders, irrespective of the District or Divisional Secretariat Divisional boundaries.

Thrust Area 6.6: The individuals and institutions of land ownership or land management of a particular Environmentally Sensitive Area shall be held accountable for protection, monitoring and reporting of especial biodiversity elements of the particular Environmentally Sensitive Area.

Thrust Area 6.7: Management Plans will be developed for each Environmentally Sensitive Area by the respective Environment Sensitive Area Management Committee or the individuals or institutions that hold land ownership or engage in land management of particular Environmentally Sensitive Area.

Thrust Area 6.8: Latest data driven Environmentally Sensitive Areas Management Plans will be prepared and conservation of biodiversity significances that are considered for valuing the land parcel will compulsorily be taken as environmental conservation indicators.

Thrust Area 6.9: Due concerns shall be given for balancing interest of socioeconomic development, environmental conservation and resilience economies and communities in management of Environmentally Sensitive Areas.

Thrust Area 6.10: Valuing the principle of common goal, agreed agenda and shared responsibility in conservation of Environmentally Sensitive Areas, co-management approach shall be adopted as appropriate, in managing Environmentally Sensitive Areas.

Thrust Area 6.11: Technical and financial contribution of the private sector, academia and environmental conservation organizations shall be recognized and encouraged in managing Environmentally Sensitive Areas.

Thrust Area 6.12: Environmental Policy Integration approach shall be adhered and conservation of Environmentally Sensitive Areas shall be integrated into area and sectoral development plans at all levels.

Thrust Area 6.13: Public shall have access to information relating to the Environmentally Sensitive Areas, and its management as per the laws relating to the Rights to Information in Sri Lanka.

3.5. Thematic Area: Equality in Environmentally Sensitive Areas.

Policy Statement (7):

Environmental justice shall be guaranteed for all persons with no discrimination at any level in identification and management of Environmentally Sensitive Areas, and in benefit and burden sharing of Environmentally Sensitive Areas, in both the vertical and horizontal axes.

Policy Statement (8):

Nothing in this Policy prevents offering special provisions for indigenous or disadvantaged communities in managing and benefit and burden sharing of Environmentally Sensitive Areas, for advancement of such communities.

Policy Statement (9):

The National Steering Committee, and the District and Divisional Environmental Sensitive Areas Committees will establish appropriate relief and redress mechanisms, including conflict mitigation mechanisms, with an effective process for the justice of disadvantaged or aggrieved parties in declaration, management and benefits sharing of Environmental Sensitive Areas.

3.6. Thematic Area: Sustainable Financing for Environmentally Sensitive Areas.

Policy Statement (10):

Special provisions shall be made available, by all relevant public and private institutions, to encourage local communities and industries, to transform to and engage in Environmentally Sensitive Area friendly production, services and development activities.

Thrust Area 10.1:	Public and private sector at national, subnational and local levels, shall ensure required financial flows for effective implementation of Environmentally Sensitive Area Management Plans.
Thrust Area 10.2:	Green financing initiatives and practices shall be promoted by the relevant authorities, including the Central Bank of Sri Lanka and Finance Commission, for the benefit of Environmentally Sensitive Areas.
Thrust Area 10.3:	Innovative and incentive schemes shall be introduced and promoted for the communities and industries engaging in environment friendly research, innovations, productions, services and development activities connected to Environmentally Sensitive Areas.
Thrust Area 10.4:	Environmentally Sensitive Areas declaration authorities, as appropriate and with the consent of the land owner, shall purchase or lease the right to development or sub dividing rights of the land owner of private land in the Environmentally Sensitive Areas as a conservation easement, with financial facilities from any public or private sources, to protect and conserve endangered species, significant habitats and places vital for disaster resilience.

3.7. Thematic Area: Monitoring of Environmentally Sensitive Areas.

Policy Statement (11):

Environmentally Sensitive Areas and its management shall be monitored scientifically and in participatory manner.

Thrust Area 11.1: The Environmentally Sensitive Areas Management Committee shall collect and collate data periodically against the indicators that are required to determine the changes in environment, resilience and socioeconomic status of the communities in Environmentally Sensitive Areas, and shall review the status of Environmentally Sensitive Areas.

Thrust Area 11.2: A scientific Biodiversity Conservation Monitoring System will be established, to evaluate the reduction of threats to and conservation of biodiversity elements, on site and remotely, under the guidance of the National Steering Committee and facilitation of the Ministry of Environment.

Thrust Area 11.3: The Environmentally Sensitive Areas Management Committee shall periodically make available the conservation status of biodiversity elements and environmental services of respective Environmentally Sensitive Areas to the public knowledge, and also report to the National Steering Committee.

3.8. Thematic Area: Policy on Knowledge Management of Environmentally Sensitive Areas.

Policy Statement (12):

Research, innovation and knowledge sharing on Environmentally Sensitive Areas shall be given high priority, and facilitated and coordinated at all levels.

Thrust Area 12.1: Researchers, Scientists and Innovators shall be given opportunities for planned and continued opportunities for research and product development.

Thrust Area 12.2: Knowledge sharing platforms on Environmentally Sensitive Areas shall be created on site and virtually.

Thrust Area 12.3: Innovators, service delivery persons and institutions related to the Environmentally Sensitive Areas shall be facilitated for sustainable production, market and value chain development.

Thrust Area 12.4: Opportunities for Environmentally Sensitive Areas related knowledge gaining, skills development and behavioural changes through shaping

attitudes towards environmental sensitivity shall be made available at all levels for all.

3.9. Thematic Area: Policy on Scaling Up Environmentally Sensitive Areas.

Policy Statement (13):

Continuous and periodic assessments shall be carried out in Environmentally Sensitive Areas and other areas.

Thrust Area 13.1: Continuous and periodic assessments shall be carried out in Environmentally Sensitive Areas periodically for revaluing of the (a) significance of biodiversity and vegetation types, (b) environmental services and (c) significance of land for the resilience for climate change and disaster risk reduction.

Thrust Area 13.2: Considering the national demand for conservation of biodiversity in Environmentally Sensitive Areas, the Environmentally Sensitive Areas shall be graded as Protected Areas under relevant legal framework.

Thrust Area 13.3: The Ministry of Environment, in consultation with National Steering Committee, shall periodically carry out assessment for identification of new Environmentally Sensitive Areas.

The Terminologies.

(This terminology has been developed based on the concepts and terminologies of International Institute for Environment and Development, IUCN, CBD Glossary and Global Environmental Fund)

Biological Diversity (biodiversity): The variability among living organisms from all sources, including terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they form part; this includes diversity within species, between species and of ecosystems.

Biological Diversity Values: The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components.

Climate Change: Climate change refers to any change in climate over time, whether due to natural variability or as a result of human activity. This usage differs from that in the United Nations Framework Convention on Climate Change (UNFCCC), which defines ‘climate change‘ as: ―a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods.

Community: Is a social unit with commonality such as norms, values or identity, and shares a sense of place (geographical area) or space (virtual space) and shares common roles in social institutions including humanity at large.

Conservation: The protection, care, management and maintenance of ecosystems, habitats, wildlife species and populations, within or outside of their natural environments, in order to safeguard the natural conditions for their long-term permanence.

Ecosystem Services: the direct and indirect contributions of ecosystems to human wellbeing. They can be categorized in four main types: provisioning services (e.g. food, water, fuel, medicines); regulating services (e.g. local climate, soil erosion, wastewater treatment, pollination, flood control); habitat services (e.g. for species and genetic diversity); and cultural services (e.g. recreation, tourism).

Environmental Justice: Fair treatment and meaningful involvement of all people regardless of race, colour, national origin, or income, with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. This goal will be achieved when everyone enjoys the same degree of protection from environmental and health hazards, and equal access to the decision-making process to have a healthy environment in which to live, learn, and work.

Environmental Policy Integration (EPI): A process of integrating environmental objectives (both mitigation and adaptation) into non-environmental and economically focused policy areas, such as agriculture, transport, energy, and development, as a key element of sustainable development.

Green Financing: Increasing level of financial flows (from banking, micro-credit, insurance and investment) from the public, private and not-for-profit sectors to sustainable development priorities.

Habitat: the place or type of site where an organism or population occurs naturally.

Hotspot: An area on earth with an unusual concentration of species, many of which are endemic to the area, and which is under serious threat by people.

Integrity: is a measure of the wholeness and intactness of the natural and/or cultural heritage and its elements. Examining the conditions of integrity, therefore requires assessing the extent to which the property: a) includes all elements necessary to express its outstanding universal value; b) is of adequate size to ensure the complete representation of the features and processes which convey the property's significance; c) suffers from adverse effects of development and/or neglect (IUCN, 2011)

Nature-based Solutions (NbS): are defined by IUCN as "actions to protect, sustainably manage, and restore natural or modified ecosystems that address societal challenges effectively and adaptively, simultaneously providing human well-being and biodiversity benefits".

Natural Capital: is a way of explaining the value of nature and biodiversity to economically minded decision makers. A deliberate parallel is drawn to financial systems where stocks of financial capital generate financial flows. Similarly, natural capital is the world's stock of natural assets such as water, land, soil and wildlife, from which flow a multitude of valuable goods and services. Just as a more diverse portfolio of financial stocks is more resilient to external shocks, so is a more diverse portfolio of natural capital.

Natural Resources: Materials or substances occurring in nature which can be exploited for economic gain. They may be renewable, and derived from living resources, such as timber, bush

meat, and firewood; or finite, and derived from inanimate sources, such as oil and gas and minerals. Biodiversity secures the long-term production of these resources.

Protected Areas: An area is a clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long term conservation of nature with associated ecosystem services and cultural values**.** (IUCN Definition 2008)

Purchase of Development Rights or Transform of Development Rights: Protection and conservation of privately own sensitive or productive or aesthetic landscapes through purchasing right to development or sub dividing rights of the land owner of a private land, while land owner retains all other rights and responsibilities associated with the land parcel. The land parcel shall purchase by the government or a government approved private party when the land is highly encumbered with a conservation easement, by compensating the land owner for development restrictions and taking protective measures imposed on the land owner.

Sustainable Financing: Process of taking due account of environmental, social and governance (ESG) considerations when making investment decisions in the financial sector, leading to increased longer-term investments into sustainable economic activities and projects.

Sustainable Use: Sustainable use means the use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining its potential to meet the needs and aspirations of present and future generations (Article 2 of Convention on Biological Diversity).

Wise Use: Maintenance of their ecological character, achieved through the implementation of ecological approaches, within the context of sustainable development (COP3, Rasmar Convention). Wise use proponents describe human use of the environment as "stewardship of the land, the water and the air" for the benefit of human beings (www.definitions.net/definition).

Process Documentation of ESA Policy & Strategy

Sequence	When	What	Who	Remarks
STAGE 01				
01	02/02/2017	Developed ToR of Environmental Policy and Law Expert_ Local to review existing policies, strategies, actions and related institutional arrangements that are relevant to biodiversity conservation or environmental sensitive area management and assist developing a National Policy and Strategy for Conservation and Sustainable Management of ESAs	SS & PMU	
02	16/03/2017	Hired Dr. Kokila Konasinghe	UNDP	
03	18/ 04/2017	Developed ToR of International Consultant: Environmental Policy and Law Expert to develop a National Policy and Strategy for Conservation and Sustainable Management of ESAs and to develop a National ESA Scale up plan	SS & PMU	
04	20/06/2017	Hired Dr. Nienke Van Der Burgt	UNDP	
05	10/07/2017	Submitted Desk Review	Dr. Nienke Van Der Burgt	
06	11/08/2017	Produced gap analysis of Policies & laws	Dr. Kokila Konasinghe	
07	11/11/2017	Reviewed gap analysis of Policies & laws	Dr. Nienke Van Der Burgt	
08	14/11/2017	National level consultation	Dr. Nienke Van Der Burgt & Dr. Kokila Konasinghe with PMU	
09	15/11/2017	Appointed Policy Advisory Committee with the oversight of BDS	Mr. Jagath Gunawardena Dr. Sevvandi Jayakody	

			Dr. U.K.D. Padmalal Mr. Samantha Gunasekara Dr. Jini Dela	
10		Meeting with Policy Committee	PMU	
11	26-30/03/2018	Joint mission on ESA Policy & Strategy: Mr. Malcom Jansen, Dr. Nienke Van der Burgt & Dr. Kokila Konasinghe and upon series of consultations developing Action Plan	Dr. Nienke van der Burgt and Malcolm Jansen	
12		Consultation with Policy Committee & obtaining feedback on ESA Concept	PMU	
13		Developing ESA Ideas paper	Mr. Malcom Jansen, Dr. Nienke Van der Burgt	
14		Developing ESA Technical Paper	Mr. Malcom Jansen	
15	17/07/2018	First Draft of ESA Policy & Strategy	Dr. Nienke van der Burgt	
16		Presenting to Policy Committee & obtaining feedback	Dr. Nienke van der Burgt & PMU	
17	16/08/2018	Second draft of ESA Policy & Strategy		
18		Presenting to Policy Committee & obtaining feedback	Dr. Nienke van der Burgt & PMU	Policy Committee was in the view that Policy finalization should lead by Country experts.
19	20/08/2018	Based on feedback of Policy Committee started revision of Version 02 with the support of Dr. Dissanayake and PMU team		
20	03/09/2018-30/09/2018	**Midterm Review recommendation 4.** Outcome # 1: The ESA Policy and inter-sectoral plan should be finalized after designating ESAs and their management options and key partners agreed upon.		**Management Response** While a draft policy document has been developed, the recommendation is accepted and

				finalization of the Policy shall be delayed until appropriate learning and experience is forthcoming from the implementation of the agreed ESA concept and planning processes so as to make the policy relevant to the ESAs.
Stage Two				
21	July 2020	Resumed ESA Policy & Strategy discussions		
	30/ 07/2020	Discussing the version kept on hold from August 2018 to understand areas to be strengthened	MoE, PMU UNDP	
	17/08/2020	Follow-up comments received at former discussion and unpack more ideas	PMU	
	25/08/2020	Discussion with Addl. Secretary -Policy on Policy formation process • The pilot tested ESAs like proposed forest reserves (ManaweKanda, Gangewadiya) comes under Other Forest Category could be upgraded as PAs. • Land ownership is very important to decide on scaleup after lessons learnt 1. Community lands 2. Public lands -Institutional lands (Agrarian, Irrigation lands) 3. Private lands • 2001/5 circular will cancel today. ESA Could be an approach to promote wise use. Once FD, selects, what is going to become PAs, rest of the lands could be adopt on ESA mgt.	MoE, PMU UNDP	

- SLIDA could be used for capacitating Divisional Secretaries
- EPAs doesn't have mechanism to manage.
- GA is the chair of **EPA management**. If this is improved
- How to take action on ensure proper mgt

Existing efforts: PS propose policy frameworks to take for Bi-Laws, DAC, Env. Committee (But lack of Env. Officer is an issue), Sectoral plans (based on existing)

- Key areas to be define/clarify:

i. Scope of the Policy,
ii. Mechanism and process of identification, declaration and management of ESAs,
iii. Powers, functions, accountabilities, rights and duties of the mechanisms,
iv. Rights, entitlements and responsibilities of the community members in the ESAs and in adjoining areas,
v. Legal framework and strategies of legalizing (soft and hard) ESAs, and the mechanism,

- Integrating ESAs in to development initiatives,

2. Some points to be considered/answered:

- Is there any criteria for the size of the ESA (minimum or maximum),

- If ESAs are to be based on scientific BD assessment, if not always, what is the minimum level (ex. Is community identifications are valid and what is the level of acceptance of them),

- What is the process of verification and validation for declaration of ESAs,
- Who declare the ESAs: A single national agency or the respective national agencies with land ownerships or the respective mandate holding national agencies or a local body,
- Can such a body declare the ESAs without considering the land ownership; especially the private land is there.
- What is the mode and the process of declaration of such ESAs, and what is the documentation and depositing mechanism?
- When an ESAs are declared, and if private lands are included in the ESAs, what mechanism is available for occupants/ landowners to make appeals,
- If the identified ESA legally belongs to the government agencies and the area is legally protected (ex. Reservations) and if people occupy such ESAs, occupants are asked to leave or facilitate to leave or enforced laws to remove. If it is selected as the last option, who proposed to do that (Ex. LMC or DAC propose MASL).
- If the land ownership of the part of the ESA is government and already given permits for occupation, and found an ESA, no extension of the permits or regulations are laid on the land.
- If the part of ESA occupys people with no land ownership or permits, what is going to be done,
- If the land ownership is private in identified ESA, what is the process of management of the ESA,

- When ESAs are declared, what are the common rules and regulations are imposed on the ESAs and adjoining areas,
- What is the mechanism for integrating / imposing the any recommendations on conservation of BD institutional/sectoral plans.
- What is the link between ESAs and NBSAPs,
- Who has the mandate/power to monitor the conservation status of BD in ESAs,
- Which agency has the power for law enforcement.

In order to give more clarity having specific policy is very important. Therefore; try to me more specific

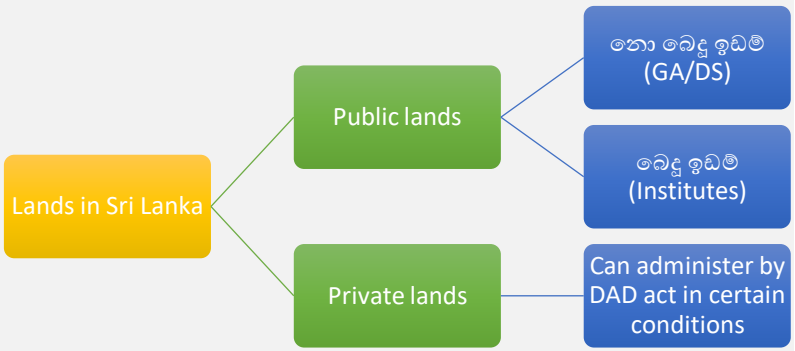
What is everyone responsibility?

Dr. D suggested Community Policy to be integrated also.

Whom should be consulted in KIIs.

i. To develop guidance (With Addl. Sec)
ii. BDS
iii. KIs with Experts
iv. KIs with mandate institutes (DAD, Agri,)
v. KIs at field: GA, DS

Once KIs on progress; get more ideas and decision making happen at collective stage
Document on process plan to be done ASAP. Start from what has been done and
KIs with sample sizes Working plan will be shared by next Friday.

		 (1.) Land Administrator (2.) Land Manager without Administrative power (Minor irrigation) (3.) Land administration with Mandate (DoA, NLDB, Cashew) (4.) Benefiters of land (SLTDA)		
22		Started Key Informant Interviews as per following schedule		
1.	26/08/2020 LUPPD 1. Mr. Sisisra Hapuarchchi 2. Mr. J.A.D. Jayadeva 3. Ms. Merly Priyanthi	i. LUPPD Policy -In old policy Environment Sensitive Areas was mentioned explicitly but more prominent in Reviewed Policy Under statement strategies are being developed on ESA Management ii. Only Policy is there. Though act is drafted it couldn't enact yet. ii. Even if Land use plan is there no legal provisions presently for land use plan. v. At least Divisional Secretary level intervention is needed to reflect need of legal provisions for backing. v. If Admin boundaries cross, then implementation is not effective vi. Land use plans hasn't developed based on community request so far.		

		ii. Requests received on land use plan: For restoring degraded plans, BD integration ii. Dankotuwa Clay excavation: Study was done, and recommendation came on zoning by proximity to river x. Issues: Development, Agriculture, Tourism a. Land use planning Committees -DS level, GA level all officers there but the committee is not backed by Act, only a circular [Decision of this committee use when gov. land goes for development] b. A cabinet paper requested last year via Ministry of Environment NPD +LUPPD to prepare zoning plans but not continued. In a zoning plan ESAs could be included c. Zoning and adopting zoning are possible when new developments comes but difficult to change existing practices d. Implementation of Land use Plan differs from place to place. Success depend on keen interest of IPs.) EG: NWSDB -Upper Kandy project use LUPPD plans e. LUPPD has done research on NW Canal project on paddy area which will face water scarcity and by changing contours in design, solved the issue f. 5 categories in land identification National Plan (Protected Area, Proposed PA, Unused lands, underutilized, Misused land) Proposed PA can categorize in to Two and identify as ESAs & to be proposed as PAs. g. Even a point location can be selected h. Community proposals came to LUPPD: Eg in Kaluthara, if felt need is there, Narammala waste disposal in community i. Community Benefit Sharing within ESA, Wise Use is allowed j. Based on observations initial checklist could be tested		
2.	Forest Department (26/ 08/ 2020) 1.30 p.m. Ms. M.A.T.R Kularathne, Deputy	i. Challenges in application of forest policy 2005-2020 was discussed two times and agreed it needs to be revised. ii. Is there experience on managing forests without ownership to FD, but which manage under community forestry		(Rest of the discussion was minuted by Kema since we had parallel KIs) Not received.

	Conservator of Forests		Yes. There are revisions made and sent for draftsman Ex: Bomburuella – Manage by Nuwara Elia, Uva Paranagama In the beginning due to irregular tourism, it was an issue. The entrance was from Uva Paranagama. There were two communities and thought of going with Agreement. But two CBOs came to a conflict. PS started to issue a ticket for road. FD faced challenges in benefit sharing with community. iii. Policy needs backing on community benefit sharing. iv. Does the Forest policy identified gaps: not having clear landownership in certain forest patches like riverine forest patches. There are problems. Yes. Since few institutions involve, when development needs come, strategy is using EIA only. When few institutions involve some people come up with land ownerships. v. Based on priority of development needs, there is no proper mechanism to prioritize conservation/ development (Not having land use plan create further issues)		
3.	Central Environment Authority (CEA) (26/ 08/2020) Ms. Kanthi De Silva , DDG(CEA) Mr. Dhammika Jayasinghe Ms. Priyangani	i. ii. iii. iv.	CEA doesn't see ESAs can be backed by NEA. NEA is not an umbrella Act. NEA doesn't have provisions to govern other mandates. It is not explicit in written. "Viyathmaga" has recommended to make an Umbrella Act on Environment but this will take a long process and years to come. Therefore, under circumstances CEA doesn't have power over FD & DWC via NEA. EPA is a similar concept to ESA but having a wider criterion other than BD & Ecosystem Services. But there are no management powers for EPAs enacted by NEA. Permitted activities, not permitted activities identified in EPAs but that's all. In EPA no land acquiring. Therefore; it is		It was proposed to continue the discussion with Dr. Jagath Gunawardena.

		conflicting to enforce anything on Private Owners land. CEA is not keen on declaring new PAs as it is not effective. v. Sanctuaries of FFPO which comes under DWC is a good option to conserve BD in Private lands. However, CEA accept declaring more sanctuaries is not practical. Recommended to consult with lawyers on DWC, FD, CEAs on provisions. vi. CEA is having prescribed list for EIA/ EPA/ EPL and no management plans in action. vii. CEA is in the view ESAs need black and white laws and they are difficult to Co-Managed. viii. Procedures, Zoning, Pradesiya Saba Bi-laws -Constitution are possible alternatives for ESAs. ix. As per DDG District Secretary doesn't have any power vested by a law. They are delegated authority on coordination. x. CEA is not capacitated to manage ESAs. Find answers outside NEA		
4.	Department of Wildlife Conservation (DWC) Mr. Ranjan Marasinghe, Director (Operations), Dr. Lakshman Pieris, Director (Training & Research), Mr. Prasantha L. Wimaladasa (26/ 08/ 2020)	i. When ESA is identified, should we go for buffer zones? ii. Land ownership (Institutional lands, state lands) iii. Integration issues The existing 02 Policies on Wild Elephant Mgt & Human Wild Animal conflict doesn't cover conservation of BD outside PA but Wild life Policy has provisions with schedules and provisions. 2000 policy revision added inter-agency participation, outreach thinking has come with that. After 2000, Participatory conservation and adaptive management was introduced. But with political influence expectations distorted. It discusses on Co-management. However, Policy is elephant fence should set at ecosystem boundary. But since people have objected this is difficult to enforce. iv. Usually law needs to come with Policy v. 100 m buffer around sanctuary which supports by FFPO.		

vi. If there are species in negative and positive lists in area the possibility of acquiring land but there is legal gap. How power of administration effect on this?
vii. Ideology is not working
viii. MER comes from Act of 2009 (60% MASL, 30 FD, 10% Private) is a similar concept to ESA. To conserve Elephants but practically this was not successful.
ix. Do sanctuaries have levels? (There are no provisions in Act. But EIA regulations apply
x. If the ESAs upscaled, this should be updated in NPP and LUPPD plan. Legal validity is within Survey department and so it should be updated in NSDI
xi. Reference: NPD approved document which is cabinet approved for MER
xii. ESA should be identified in quantitative approach
xiii. Scoring system will support the final decision
xiv. Identification of ESA (Someone should propose it: Institute, NGO, Individual, Researcher). Once ESA is proposed, fact finding study to be done with a checklist by District body.
xv. If district body is rejected, then they should be able to appeal.
xvi. If CEA couldn't take a decision can present it to National steering Committee
xvii. Should we change mode of ESA
xviii. When all information is received, committee can decide to which organization the ESA should be assigned.
xix. Mahaweli Act can gazette Mahaweli special zone. But if overlap with Irrigation Department,
xx. If ESA identified but which belongs to institute without legal power, it can take over by an institute which has power. Then other institute should agree.
xxi. PES: How can this be applied in a n ESA. In a CES, if hotel is there PES is charged but CES doesn't reinvest on ESA/ Area.
xxii. Regional committee (AG division)
xxiii. If Circular is issued via GAs committee can maintain.

		xiv. There should be a law to keep this sustainable. xxv. EPA & ESA define and amendment within NEA IS A possible option.		
5.	Mr. Ajith D Silva, Addl. Secretary (Environment & Development) 04/09/2020	Who will manage ESAs at top level? Need of legal power to protect environment considering present context Therefore; present pilot sites as Gangewadiya, once gazetted as PAs they are not ESAs. What is the answer for it? Need legal backing. But even when difficult to manage while laws there; if they violate due to political barriers what is the answer In Thailand community mgt happen. But in Sri Lanka 1. Why not managed? Is it due to not having Policy, Act/ law or gaps in law or political will or development is not mainstreamed with BD conservation? a. Mix of these b. Though we consider SD, still it is not truly at practice c. Land use plan is not in practice due to various reasons and human settlements and fundamentals are not practiced d. Low enforcement is weak 2. Which of above could address via policy a. Political will is there as Policy is approved via cabinet b. Sri Lanka has leadership, included in Splendor document c. But when go to practice, al the safeguard tools not applying well 3. If development should regulate which layers should convince a. Political leadership at District level b. Agenda in DCC or DAC c. Clear understanding on importance of Environment and uses within their territory		

		4. Is there opportunity to add additional values to ESA? a. More than additional, should understand, value of existing components and get best use out of it Eg: Rather taking Elephant on conflict see advantage of Co-Existence 5. Why reservation demarcation is slow? a. Institutional lethargy b. Not due to absence of mandate but lacking interest 6. Not only community but Administration/ politicians all should mobilize 7. Based on Political benefits to voters, politicians take decisions. 8. Best Strategy to work with local government a. Provincial Councils should couple with this b. Central government will support institutes c. Local governments will provide bi-laws and land allocations ‹vi. Income generation with safeguards will create enthusiasm		
6.	Ms. Pathma Abekoon, Director, BDS (4/09/2020)	1. How to create links among ESA & NBSAP 2. How to promote citizen science 3. Is it possible for BDS, to create a network to feed BD data 4. Interest parties on deposit mechanism 5. Policy should propose, when development proposal comes, BDS needs to vet the proposal based on BD profile 6. With Provincial and local gov. Why should we go for policies? Can't we go for a guideline within an existing policy? a. Env. Policy has rules and regulations within NEA b. Since we are stuck in the process, there are options I. There are clauses and must support criteria II. What is the reason for differ from EPA c. ESA Definition (ESA is a component within EPA, but we bring out how of management in ESA) d. Community/ planter/ PS could link with management		

e. ESAs can't occur without community interference
f. We can protect BD legally via a sanctuary if we identify BD importance. But this brings lot of pressure due to land limitation.
g. But if we go with Co-Mgt concept community will cooperate more.
h. If the land is a state land best option is going for PA expansion
i. But if gov. land divided as (pure gov land/ railway reservation)
j. If a small area is found which is difficult to upgrade as a PS what are their options. Yes. EPA
k. Cashew cooperation having bigger lands. If biodiversity is there in such land, DWC/ FD has to acquire it or declare as sanctuary
l. MASL land could legally acquire by FD/DWC if essential and declare as sanctuaries. Though practically difficult theoretically feasible
m. Large lands (Private) but having high important BD. (If community is given recognition for their action it is been protected)
n. ESA: Is it an area or a concept? It is a concept
o. What are the options
p. If a land is proposed as a PA no need to take as a ESA. If need support until acquiring until acquisition completes keeps an EPA
q. Best way to identify an ESA?
    I. Fact finding to be done
    II. What is the authority who will give recognition to ESA. It could be BDS with National BD Expert Group
    III. Presently proposals come from citizens, scientists, NGOs, Institutes
    IV. It is good if proposals come with endorsement of GA after recommendations with observations at ground level

V. If GA rejects, if still feels it worth can appeal to secretary
VI. BDS take the process
VII. BDS committee will adopt scoring criteria with minimum standards
VIII. Does ESA need to be declared
IX. Since act amendment is difficult, act interpretations to be taken.
X. Without backing of Act, declaration is not possible at national level.
XI. If go with provincial level acts, it could be feasible
XII. Can add in to LUPPD, UDA maps
XIII. Local government Authorities could bring bi-laws. But they have to apply UDA guidelines, RDA guidelines.
XIV. In Pradesiya saba involves; BDS is not clear on those. Have to check further
XV. How to adopt BD Compatible agric practices

r. ESA Management (Administrative mechanism/ Resourcing)
   I. After identification ESA administration – Centrally LIST could be within BDS. But coordination and mgt to be done by DS
   II. Is the DAC/ DCC can manage ESAs
s. BD assessments happen in ESA Identification. Is there a minimum standard checklist/template?
   I. Presently no. Preparing standards is difficult as adopting measures are too difficult. BDS not agreed as it is not practical, and they are happy with existing protocols. But can give minimum standards
   II. Is there a place to deposit all these days?
   III. Community experts/ Citizen scientists: Can they get in to network of BDS (If the existing researchers groups have them. No problem

		NBSAP – MABs, Specials Mgt areas there. ESAs can add there. NBSAP can officially identify ESAs once officially done		
7.	08/ 09/ 2020 Dr. Jagath Gunawardena	I. In Sri Lankan context there are policies which are not covered by law Eg: IAS policy-As per risk guidelines should enacted by Act which has not happened II. Success stories of not having laws a. CITIES b. The success factor would be enthusiasm. But not sure c. Biosafety doesn't have laws but only mechanism. Due to enthusiasm of officials this works. III. Does the special committees effective? It depends based on effort, power of system and sustainability plans. Also, this depends on collective decision making IV. What affect enthusiasm of officers? Is it not having legal backing/political context? No. It is lack of self-vision of individuals. This was discussed by Macallys as of result of education system created to ensure dependency. V. This situation has caused drawbacks but still there are instances where individuals move ahead VI. In Environmental Activism is there a gap? What is it? In society majority goes to aggression or withdrawal. Only minor proportion is available for Activism. VII. Due to our cultural values being abandoned and our models not picked there are evident drawbacks within Sri Lankans. VIII. Richard Murfy – Models have not given due respect IX. There are certain campaigns which society get engaged. Why env. Campaign fails. The resources for env. Campaign is not adequate to give a strong message to people X. Since country has deprioritized Env. Conservation culture, Psychology is used in business purposes, env. Is not equipped with Psychologically bonding.		

XI. Is there an example of Policy which could create artificial demand after policy introduction?
   a. RTI Policy
   b. But in Env. , artificial demand is fruitless
   c. Waste is a crucial issue to government since people feel it more
   d. But demand doesn't direct to required position like PS, MC etc
   e. Where do we use law as a tool for policy?
      - ✓ Wetlands (Due to landfilling in Muthurajawela)
      - ✓ Biosafety/ GMO
      - ✓ Sand Policy (Since judge asked what is the policy)
      - ✓ Waste Policy
      - ✓2016 IAS policy. Still this is violated

b. If look into regulations what are judgement based regulations? Based on location/ requirement, regulation or law supersede each other. In NEA, regulation is the key
c. If we need to change something and best tool is law, then Institutional structure is very important
d. If Institution is not capacitated to implement the law then law is useless.
e. Legal activism
   1. The legal literacy on Environment is very law in Sri Lanka whereas general legal literacy is very law. If person doesn't love himself, not protect himself, we can expect bigger or higher causes
   2. Application of legal mechanisms
f. Community participation, Co-Management etc are just jargons. These concepts only. Community doesn't exist. Only physical structures of buildings
g. How can we protect a small ecosystem in this context? Context based, perhaps pride and recognition
h. People motivated by negative perception though it is bad
   - ✓ Destruction of Wilpattu

		✓ Waste dumps i. What is the drive which attract people interest? The fear of losing j. If the people get ownership of assets (Forest patch/ lake etc) does it change their attitude. This is context specific. No solid answer k. Does people use law to protect environment Legal network ✓ Started in 1980 s by CSOs and ✓ Strategic case is used by institution and Tactical case used by community ✓ Lawyers like to take initiatives to protect environment due to their social responsibility ✓ The lawyers Networking: Mr. JG is not agreeing on networking. Legal network is sustainable. But Project/ NGO networks not sustainable. But connectedness within mutual interest groups is fruitful. ✓ In present DCCs personal debates supersede the system operation l. How ESA is best managed with rules m. To down approach is needed via Law and institutions n. Why management concept is tied with definition. If ESA is a definition, why Co-Mgt is integrated o. Definition should have special salient features p. ESA concept is not important as species conservation happens via DWC & FD q. Do we need a policy framework to protect BD outside PAs Low is powerful than policy? r. If there is need to identify special locations on BD importance ✓ If BD-Ministry of En, Ministry Wildlife, Ministry of ✓ Identification process should be delegated by Secretary. BDS to be enhanced by manpower and mandate. BDS is a division with a Director. If it is a secretariat then it needs to be empowered to give autonomy		

		✓ Since BD is very rich in Sri Lanka this should be done at national level, divisional level and location wise it should do by mandated in states like FD, DWC, DSs ✓ If ESA/ EPA is proposed from ground level, then it should be facilitated by government to test out ✓ Negative perception is reinforced continuously within society ✓ ESA definition is not clear need to remove how part from it. ✓ When declaration takes to conservation side based on criteria of Institute declaration differs. ✓ Without empowering institutes, there is no opportunity for full legal enforcement. ✓ Bhutan is a country which promote non extractive uses. Since Singapore demonstrated development even in the absence of NRs, this is something to reflect on.		
8.	Mr. M.G.W.M.W.T.B. Dissanayake, Additional Secretary (Environment Policy & Planning) 08/09/2020	I. This concept is not limited to BioDiversity. It expands to different ESAs. This is always not needed to be legal. The trend and today context do not go with expanding PA. II. When there is an ESA beyond PA, should we always put it without legal protection III. Legal provisions can think of later on but if we think of concept establishment that will suffix. IV. We should not limited to BD but expand with other environment aspects V. ESA Definition: Definition 02 is better. Measure is how to manage. Revise and adopt second definition. Environmentally Sensitive Area (ESA): An area outside a formal Protected Area that is vital for the long-term maintenance of biodiversity and/or the productivity of water, soil and other natural resources to provide ecological, environmental, economic and cultural benefits to the local community involved as well as to the national and global community as a whole.		

VI. Common features around ESA Concept;
   a. Lack of common agreement
   b. Since this is an ideology, believe existing laws and regulation will suffix. But accept issues there
   c. Think extra work will come to their desk take proactive
   d. Seeing necessity see the workload and additional work

VII. CEA might take this as additional pressure to gazette them as EPAs

VIII. Custodian of salt marshes/ Villus

IX. Ministry of Env. Endorsed decision to proceed with ESA concept & Policy

X. During past any policy which was succeeded and why?
Waste Mgt Policy, The close reflection

XI. Forest Policy- Have we implement it fully. Still there are opportunities to fully adopt. The areas which were not adopted were not due to lack of law but due to capacity issues on comprehension of forest policy, incompetence thinking Forest policy is limited to FD

XII. Can we couple ESA policy with another? Theoretically possible. But practically not happen due to not looking through a wholistic view. Eg: Forest Policy & Wildlife policy

XIII. Any policy which went up to Local Government level

XIV. Are there policies in SL which can influence other policies? Analysis happened on sustainable consumption and production.

XV. When policy is developed to cater burning issues, practical answers are developed.

XVI. Provincial Council- At legislation

What are the disagreement at PC on waste Policy? No disagreements raised.

XVII. How can we create a demand on Policy? Based on felt needs

XVIII. 2001/5 circular cancelation happens tomorrow. ESA need will come to surface

XIX. Land sensitivity is higher in Wet zone

XX. Criteria development on ESAs

Do we consider indirect community benefits for ESAs. ESAs can upgrade to PAs

XXI. Addl. doesn't believe mapping exercises will lead to identify mapping ESAs. But use consultation process. Community movement-Pansalathenna

XXII. ESA identification

a) Ground level evolving is suffix on guidelines on ESA identification
b) Complex guidelines to be used for future verifications
c) Nominations: Until mechanism is formed nominations to keep with lower layers and empower
d) Once ESA suggested to DS, Pradesiya Parisara committee will recommend and internally declare
e) A circular being developed for regional Env. Committee. ESA can take up this and support to develop this and use this platform
f) They identified, they prepare a simple plan
g) When DS proposed national institute assess and verify.
h) Should this be informed to national level? Yes. But decision is not influenced
i) DS should accommodate and coordinate
j) Once declaration is done can introduce bi-laws and capacitate DSs
k) ESA is a delegated function but not a central concept.
l) Who will link the main thing nationally? Ministry of Environment will transfer funds as required. Resources available. Information deposit will happen centrally. This can

Extras;

I. If introduce ESAs within Clearing house, then name them as BD areas
II. ESA management plans to be developed at local level
III. Dr. Dissanayake explained the process of writing report. Addl. Secretary said, mgt plan is guideline of manager who has main mandate. Main stakeholder needs technical report. But in ESA who is the manager. Different institute are there.
IV. Addl. said mgt plan is for the local ESA. Community is the manager.
V. ESA could be less than 25 ha with 01/02 community involves. Therefore; Community plan would suffix.
VI. The five -year plan will develop with assistance of officers but by Villagers
VII. Exclusion should avoided but proximity should
VIII. Based on complexity and size of ESA the management plan nature should change
IX. Aruwakkalu ESA: This involves a bigger risk. No community and can protect with regulations. Therefore, can leave out management plan preparation for the moment
X. Conservationist tend to recommend PA expansion rather ESA. But if land is State can go for it. But if ownership is private without acquiring can go for ESAs
XI. We have riverine reservations when gov land is adjacent can have reservation. If a small reservation which is important, then minimum guidelines should be given by respective technical officers of the areas will guide community to take required measures.
XII. Encroachment of ESAs- If one cultivates within sensitive zone, then removal of encroacher will collectively decide of removal.
XIII. There is no need of giving strict guidelines on ESA. But they should be able to adopt adaptive management

		XIV. In places where big issues persist, custodian is there. But not due adopting XV. If illegal encroacher is recognized, then it is an issue. Therefore; if management committee propose to evacuate them it could be managed by them. But committee needs to be careful not to override mandated institute. By strengthen XVI. Policy guidelines need to be general and can adopt based on context within the relevant mandated institution a. Environment Committee can decide to evacuate encroachers within mandate of custodian		
9.	Mr. Samantha Gunasekara (Member of Policy Committee) (15/09/2020)	What is an ESA as a free thinker? Why do we need an ESA? What is cause of demand? Is this need as a response of external environment 1. Env. Policies divided among DWC, FD mainly when come to BD. Which area doesn't cover by those? 2. If covered, how to proceed without contradictory 3. If overlap how to proceed 4. Is it BD areas or Ecosystem services? Mr. SG said this ESA needs to cover areas provide ecosystem services rather than BD as BD is covered by other policies 5. The study should reveal BD, ecosystem services and ESAs needs to prioritize protecting ecosystems 6. Further Env. Politics Eco. Politics 7. If focus on Sri Lanka take as a whole; do, we need a system limit to BD/ Ecosystem/ environment? Answer is Ecosystem service- It is a best point to ensure political will as at today 8. Assume; there are ESAs in Sri Lanka in order to keep ESAs in 2030; what could be challenges from society ▪ First from People o Will the restrictions on Agriculture? o Whether land will be acquired		

		▪ Then objections from CSOs/ CBOs ▪ Then from Government sector/ institutions 9. ESAs could find in government lands/ private lands. Irrespective of the size of the land; what could be forces negatively impact on ESAs o Political resistance due to their interest 10. What could be reasons that could count against ESA from academia o It can depend on what is the definition. Partly if ESA covers ecosystem services this could be sold out o NCR report says by protecting 08 forest clusters, fauna, flora, eco- system services are conserved automatically 11. What is the reason some pilots were failed in Sri Lanka? A. Bureaucracy (If gaps there; gap analysis but nothing exposed or used) B. Corruption C. Direct/ indirect benefits comes to grass root level are not uncovered/ convinced D. to public well 12. Does the env. Damage happens mainly by economically or socially poor o By socially poor 13. The concepts which didn't succeed: Database on plants of traditional herbs 14. Preventive measures to minimise bureaucracy i. First policy ii. Laws iii. Regulation iv. Mechanism to implement		

15. But in other cases, even while having above four still accountability is lacking. Why? What provisions needs for accountability in ESAs on inter agency
    - Detailed responsibilities to be cleared to institutions on how, when by whom
16. River continuum concept to be maintained. Sri lank is a good example to demonstrate it. Eg: Amuni against Daduru Oya
17. There is list of Dos'/ Don't decided. But there is bureaucracy and corruption in system. How can we block these?
    - Env. Education
18. There needs a parent organization to centrally govern ESAs. Policy needs to be in Ministry. In America, agencies are first place and have power over ministry. But in Sri Lanka now CEA & GSMB is under MoE.
19. NEA is under revision. Under CEA Chairman, legal officer working on this. There is a clause in NEA as Wetlands, but this could advocate to be used as ESA. (To discuss with DG-Hemantha about his)
20. Since NEA is being changed use the opportunity to shoe this as a mandate of CEA
21. Env. Politics
    - While Policy & Law is kept at central level, devolving power is needed in implementation .eg: Water, ecotourism

    Access needs to be given to community. Co-Mgt is needed at provincial level. Community participation needed
    - Should there be a role of LG?
      Need for management of ESAs. What kind of provisions there? This needs to be given as a welcoming policy

		○ Places where Env. Commi/ DACs, DCC should have a role ○ They are needed for implementation but not for declaration ○ Can't we use best practices as a model 22. Are there special direction for ESA policy ○ Promote wise use of natural resources		
10.	Dr. U.K. D. Padmalal (Member of Policy Committee) (15/09/2020)	i. The env. importance given to important areas outside PAs not adequate ii. There are management mechanisms which are not effective. There are provisions for village forests which are not declared. iii. There is need for having ESA concept iv. There are two types of dependencies. Resource dependencies/ economic dependencies v. Without considering dependencies you can't identify boundary vi. Geographical distribution vii. Cultural biodiversity also to be considered viii. Policy have to implement with legal backing ix. If NEA identifies EPAs they can be taken x. In Sri Lanka X% is within PA cover. There are balance ENV. SENSITIVE AREAS outside. Who is the owner? It is under FD, Irrigation department, UC, TC, MASL, LLRC, SLRDC. xi. Outside PA, we will get important BD spots. Depending on location, criteria, taxa there is BD. Lands belongs to public/ private. xii. Within public category; in their mandate of function lists BD is not discussed. Considering the ownership of these they can attend land management. If we identify ESA in a such location; how ESA policy, strategy identify these.? If MASL taken as example, Mahaweli Act supersede all else. If BD is important; the Act can conserve important BD. In policy what kind of provisions should propose for them?		

If Manhaweli release lands for DWC, FD or community. When we bring ESA concept in to Mahaweli;/ Institutional then if BD can release to DWC.

‹iii. DAD: They have gazetted their lands. They can declare lands for community entertainment of Natural Resources. Have power over reservation demarcation. Since they have provisions, they can control activities. They can give minimum ESA. When they declare Wildlife ranger can look into BD also. And can transfer land to management of another institute. There will be ESAs can manage with their mandate when not possible can transfer to where needed.

‹iv. LRC: They don't have manpower. So technically can give land to where it could manage.

xv. As per constitution and FFPO, people can't destroy biodiversity even in private land.

‹vi. Since ESAs not identified yet; we can't point out how much ESAs there outside PAs

vii. ESA is not a rigid concept. Area specific, Ownership specific, context specific

/iii. If a private land; can motivate; educate for action. This is the most difficult part. (Identify ESAs but the person will be given recognition) and he will receive incentives like tax free etc. They adopt MoU with local government. Since the national req have to try and see.

ESA Definition; Dr. Padmalal suggested to remove following words from definition to make it simplified.

Environmentally Sensitive Area (ESA): An area outside a formal Protected Area that is vital for the ~~long-term~~ maintenance of biodiversity and/or ~~the productivity of~~ water, soil and other natural resources to provide ecological, environmental, economic and cultural benefits to the local community involved as well as to the national and global community as a whole.

‹ix. Identification of ESAs: technical & Social (Identify with joint collaboration of experts + community)

a. Propose by social body/ subject matter expert/ institution
b. Should propose to national government (Two channels- across DS and directly to national level. Secretary of Environment
c. Appeal to secretary
d. Policy says there is X Advisory Committte. If the ESA not being accepted, can appeal to committee
e. When proposed; a local committee is assigned to scrutinize before send by DS to Ministry of Environment
f. When expert committee summon; they have to go and check against criteria and recommend.
g. Once recommendation reached; then ESA declaration is in the hand of respective agency.
h. But if Private land to be declared options:
i. National Steering Committee- Heads of Departments (Don't expand the committee beyond six -Secretary/ Heads of department
j. Declaration- Should it be officially done on protocol. There is no appeal requirement. Gazetting / degazetting
k. Where is ESA boundary- Based on ground truthing with community decide habitat boundary. Technical people visit land and decide in consultation of community.
l. This identification should be included in landuse plan
m. Zonation to be done at microlevel
n. In encroaches, existing laws to be applied
o. ESAs doesn't mention on resettlements.
p. Boundary demarcation: If gazette -then need to be legal
q. If community boundary then without gazet community will propose and identify it with social demarcation
r. Once ESA identified it should be deposited in Survey department. If not, it is within GN or DSs land use plan. If institute identified, then gazette and go to survey

		s. Landscape system level/ area specific plan, if national level- go to NPD t. Resourcing by BD u. Monitoring: Based on guidelines respective institution need to monitoring? v. How Private Sector can engage: Sponsorships can be given for watershed management xx. Where can we link ESA policy to synergies it with all relevant policies? xxi. Once we don't see solid resources to bring together, link with respective institutions.		
11.	Dr. K.T. Premakanth, Conservator, Forest Department 18/ 09/ 2020	I. Where we would have ESAs (in which area around the country, belongs to whom, what type of landscapes, with what environmental significance, etc. and out of which how many or what is the percentage that could have comes under the FD) Difficult to say exact percentage. Sec 20 of Forest policy gives power to protect Non-Gazetted land. NCR was done for forest cover. Aim is to make conservation forests or forest reserves one day. The private lands without forest cover, or riverine forests, RCC lands having forest patches in plantations, Mangroves need to be taken as ESAs. Eg: Kaluwamodara, Kogala. 2. If there are some areas in above mentioned areas and that could come under the purview of the FD, why not they have taken under the FD. (what is the difference between those land and the land come under 5/2001 circular, what was policy. Legal institutional, political or any other factors for not gazette them under the FD) According to their thinking these are still under their purview.		

		Village forests still belongs to FD. Based on Sec.20 still can go for courts if lands are misused. Categorically silent on later part. NOTE: This is **most important question** that we are supposed to ask during this KII process. If they could not do when they have very strong low, policy and institutional mechanism, how we are going to declare the ESAs. **Please give the highest priority for this as a learning point**) FD can convert state lands into Cons. Forests, Forest Reserves but not Private lands or lands belongs to other institutions without acquiring it. Dr. Premakantha was doubtful on the need of declaring ESAs since there are no regulatory provisions under Forest Policy to manage ESAs. Also; he thinks ESA policy is not required and since CEA is not committed questions the use of declaring ESAs without championship of FD or DWC. They don't see ESAs as an option since they don't believe institutes other than FD/DWC, rest doesn't have passion to conserve biodiversity / ES and therefore discourage the ESA concept other than expanding FD lands. 3. How FD conserve endemic /threatened flora species and its habitat? (what is the mandate, what are the relevant sections of the ordinance, how policy discuss the conservation components, what are available mechanism/programs on conservation, what are the priorities, how they give the priority – selection criteria, is FD engage in habitat conservation of endemic /threatened species, is it in situ or ex situ, what are the examples, Forest policy is the mandate and section 3, 3- ඵ. Available mechanism/programs on conservation are CSR, strategic partnerships but as per Premakanth; PES is not		

		happening in Sri Lanka with FD as per original concept like use in downstream but permits allow certain use of Env. services Started to adopt global forest watch as pilot which gives data in week time and take action before permanent development happens Originally needs to adopt NCR recommendations. But practically based on pragmatic approaches, workload, resources No Exsitu beside timer production via community forestry 4. What is the practice/ procedure of conservation when some endemic /threatened species are in private or other government land (what are the examples, experiences and leaning), (NOTE: how do they interpret - and which sections of the ordinance- the FD power over the others – private or public – land. Pl give them some examples like riverine forest when land belongs to irrigation or MASL, DAD, etc.) Inform to Botanical Gardens. Even if really crucial but not much examples. 5. What is the experience of conservation under different management approaches (ex. Community forestry, Farmers wood lots, etc), what is the sustainability of them. Unless community benefits last this doesn't work. In Sri Lanka, community dependency is controlled. Since people don't live within forests of Sri Lanka; Co-Management is difficult. Good to have ESAs but need someone to manage them. FD can give a supportive role. Experience on Co-Mgt is not positive. Manawekanda is a failure since the location has not been selected with prior		

		wisdom. It is not possible to create tri-partite agreement with Private Sector since this is forest land. But can facilitate model to organize Private Sector events/ Fairs at the location.		
12.	**Mr. B.K.Prabath Chandrakeerthi, Director General, CC & CRMD** 28/ 09/ 2020	i. How to proceed on management without land ownership. Regulatory part is being done. Coastal erosion is being addressed. When development activities are controlled. Tourism, fisheries, Coastal habitat is considered I Coastal Zone management. ii. When land being managed there are challenges from political authority, communities and thugs/ mafia. iii. Most of state lands not identified in certain areas and state lands being encroached in the long run. iv. Sometimes due to erosion difficult to identify boundaries. Though act is clear, practically difficult v. Same reservation and Irrigation measures are applied. But difficult to identify 2km at river mouth due to way of landuse. vi. Basic permission of CCD and then Irrigation permission is sort or vice versa vii. Based on scale of development activity, CCD take decisions jointly. Joi inspection is carried out before issuing permit viii. Act 7-C -Impact assessment DG has right to take decision, but the practice is joint decision is taken at scoping meeting ix. When scoping it looks whether project is done within zone x. When shared responsibility is there and no institute is obvious as lead agency, within coastal zone Land management can happen jointly. This can be used in dispute settlement. xi. The Act is done in 1981. The things having history beyond that, there is flexibility on those. But still for new		

developments/ landscape changes need to take permission.

xii. When SLTDA makes a plan within an area CCDA managed, how to ensure SLTDA follow minimum guidelines of CCDA.

xiii. Eg: Port City- For basic plan need to take permits from CCD also for sub plans need to get permits. Setbacks/ EIA procedures are included

xiv. In Coastal mgt plan, biodiversity/ archeological value/ sites being identified. When go for development planning these are considered can be referred.

xv. Sanikadu -Sanddune done but not integrated

xvi. Examples of integration of identified Sensitive areas by CCD. Eg: Vahare lagoon. NAQDA aquaculture plan has excluded this area identified by CCD.

xvii. Lagoon demarcation started in 2017-2018 and thereafter Coastal Fisheries department took over.

xviii. Beach parks have developed and have handed over to PS/ Local authorities for maintenance and cleaning. Condition is set accordingly.

xix. Private Sector Involvement on Conservation. Unilever has offered on collection points and taken over the collected waste.

xx. Demarcation is used to decide the setback. GPS points used for assurance but not completed. Southern, Colombo is already done and plan to complete island wide by next year.

xxi. How does CCD decide reservation boundary? Done in collaboration of Survey department but still there are

conflicts and due to coastal erosion the ambiguity aggravate

xxii. But by continuous meetings with DS offices, GNs, Religious leaders conflict resolving happens in 75% of cases

xxiii. There are no instances on adopting appeal process against DG decisions on demarcation.

xxiv. Permit process is successful. Appeals come for demotion orders

xxv. Secretary takes final decision

xxvi. CCD Mechanism: There are CCD officers based in divisional level. They work with Local government sometimes. But when NWPE take decision, Provincial land commissioner have a role and Pr. Council involves. There officer of CCD engages. However, the CCD officers based at DS office are not consulted during development plans comes under PCs.

xxvii. DDC in Trincomalee there is good engagement.

xxviii. If setback is violated; CCD take action

xxix. Relation sip between MEPA & CCD. Both having same area but CCD having mandate for managing coastal development. MEPA also lead beach cleaning. When CCD Act brings there was no provision to bring MEPA but Dr. Turney engages through Alumini/ University rep. Cleaning part needs to fully shift to MEPA / ps.

xxx. CCD Act - 7 D about controlling; then applies what is the role of MEPA. Dev. Activity. Even in cleaning, technically CCD approval is needed though it is disregard due to understanding

xxxi. Conservation: Coastal resources, habitats are identified under management plans. This is taken to inventory to prioritize in IEE/ EIA for mitigation.

xxxii. Act doesn't use biodiversity, but Mgt Plans uses habitats. Considering ecosystem values isn't it increase worth.

			Presently CCD take actions against Mangrove destruction. But in detail attention? During zoning priority zones identified. But not clear Mangrove belongs to whom.		
		‹xxiii.	If land area is not covered under PA, but high biodiversity cluster is identified within CCD, will they able to conserve it. In the past when sensitive areas idfentified CCD gave to FD for gazetting.		
		‹xxiv.	Considering Coastal Act; if something is declared, nothing could be done. Based on that human activity is not possible.		
		xxxv.	Does CCD have mandate to takeover management of biodiversity spots in Kala Oya River Mouth. They discourage gazzetting under CCD Act but encourage going with community under oversight of CCD & Fisheries.		
		‹xxvi.	Does CCD Act allow Co-Mgt? There is special area management process which used Co-Mgt. But this wasn't very successful as community always expects more benefits. Though concept is really good, due to lack of legal power before Act, this had drawbacks. But now with provisions from Act SAM plans might work		
		xxvii.	Paid attention on Water Quality but not on Biodiversity		
		‹xviii.	If Ministry request CCD to give special protection to an ESA it is possible.		
		‹xxix.	If Ministry asked CCD can identify ESAs with a basic criterion		
		xl.	Since CCD officers there they can contribute in identifying/ monitoring ESAs.		
13.	Dr. N.S. Wijeyarathne, DGM-Wetlands, SLLDA	i.	Why R is removed. When any land going to develop need approval of SLLDC, beside; land development, facilitate drainage etc		
		ii.	In the past when Colombo transform to an urban city SLRDC has formed to support it. When started land filling in the past these were considered as swarm lands but wit		

		time it was realized importance of swampy lands as Wetlands. iii. Introduction: iv. Land ownership could differ v. Land management authority vi. Regulatory power vii. SLDRC started viii. Irrigation Dep. Had a division for canal maintenance for Canal of Colombo area in the past. Then it needed to establish to board for this. Then irrigation gives their division to new institute. Irrigation wants to give water for Agriculture. For Urban drainage needed a separate division (Mark kindoms and select three in one contour) ix. Then drainage transfers to reclamation (Land reclamation, usually known as reclamation, and also known as land fill (not to be confused with a landfill), is the process of creating new land from oceans, seas, riverbeds or lake beds. The land reclaimed is known as reclamation ground or land fill.) x. 2007/2008 discussion on Removing R xi. In 2016- Removed R xii. Think of going away from Colombo. Think of hydrology. If fill need to make drainage and drain water. Demand is within Urban. Irrigation says they have no role. DAD Can't. xiii. Today in 2021, Sri Lanka Land Development Authority xiv. Considering mandate; it says Colombo wetland. Act is for Sri Lanka. xv. When Act is there; xvi. If everything is gazetted then fine; But since only 6 is gazette; how could work in whole country		

		xvii.	When put in to NPPD; then there should be sufficient funds.		
		xviii.	After Districts were gazette are there grey areas which doesn't belong /come under DAD/ Irrigation/ SLDC.		
		xix.	This is only declaration. Why DG of DAD has this much power? Farmer spend time and energy to maintain soil structure?		
		xx.	SLLDC having 1000 Ac as mandate When remove encroachment 700Ac.		
		xxi.	From Ramsar sites; under declaration all Ramsar sites there. Canal Reservation is there. 6.5 is max bec machine size. If Canal filling goes, can prosecute a case.		
		xxii.	If we have ESAs what is the best way to identify them declare them and manage them?		
		xxiii.	Polluter Pay is started last month. But in Colombo Canal system started to take fee for treated wastewater		
		xxiv.	Wise use for management with Community.		
		xxv.	In Wetland policy; ESA management is possible		
		xxvi.	19 Sq. Km of Colombo wetlands are ESAs		
		xxvii.	Homagama – SGP is a good example on community participation.		
		xxviii.	In Wetland management; the access should be limited. System is formed. Then system manage people		
		xxix.	National Wetland committee		
		xxx.	Officially by BDS		
		xxxi.	Think of connecting Wetland committee +ESA Committee		
14.	Mr. Pathmasiri Liyanage Director-Lands, Land Reform Commission	i.	LRC Composition is with Board members Land Commissioner, Treasury, Finance, DAD, DoA. MASL is not there but it was due to MASL was n't there in beginning.		
		ii.	There are LRC lands managed by MASL.		

iii. MASL thinks they have ownership but land- ownership is with LRC.
iv. FD is one stakeholder who has LRC lands but managed by FD.
v. FD has gazette certain lands after acquisition of LRC lands.
vi. LRC lands are released when gazetting for management. 23 gazettes have given SDGBG given for management but due to technical issues in gazette, the ownership not clear.
vii. When, acquisition act set forth, the land goes out of LRC. LRC gives condition in section 24.
viii. Some LRC lands are with forests, but not from gazette but manage by FD.
ix. DWC don't have LRC land.
x. Railway Dep, Ministries acquire LRC lnds. But Pradeshiya Saba buy them.
xi. In Ambilipitiya area there are MASL managed LRC lands.
xii. If a land is given for mortgage, still landownership is with LRC.
xiii. Around 2, 5,10,15 Ac is leased for 30 years with reporting entitlement.
xiv. EIA is done when land is released.
xv. LRC lands not available in Colombo, Gampaha, Kaluthara now. Other than that min is in Polonnaruwa.
xvi. There is valuation system done by department for LRC lands. Not by LRC.
xvii. There is district mechanism to identify LRC lands. But no system to identify these lands env. Values.
xviii. No land classifications based on Natural Resources or sectors like agriculture, tourism etc
xix. In the Board, DAD, DoA etc are there but they have not requested catchments of their tanks under DAD. But if asked can release.
xx. When lands used for Agriculture, they don't present

		xxi.	LRC lands 12 lacks Ac. But now 1 lack remains. Though there is no database, Director lands is trying to address this. Without GPS location, it is trying to identify LRC lands in GND basis for the database. Once this is being done, LRC will be open for guidelines on Environment.	
		xxii.	There is chance for pilot testing LRC land model with Ministry of Env. To condition on best practices.	
		xxiii.	One villu within Wanathawilluwa belong to LRC. Four Villus being surveyed and going to take under DAD. But what about villu under LRC. Can we pilot test.	
		xxiv.	It will be feasible. May be taken up with	
		xxv.	Willing for training. There are lands identified for reforestation and list is with Chairman.	
15.	Agrarian Development Department Mr. W. M. M. B. Weerasekara Commissioner General & Eng. D.D. Prabath Witharana	i.	Section 37- Land Banking. Was it successful? This land banking is not established yet. Regulation has done.	
		ii.	High land documents being done. Paddy lands is not easy to do as a database. Beside ownership, lot of other information being collected. Will need more time.	
		iii.	Though land bank is mentioned in Act it is not operational yet.	
		iv.	All details are taken for *Goda idam. Mada Idam* on progress. Are there difficulties in getting ecological data in the form?	
		v.	Mr. Prabath said earlier all acts tried to maintain tenants. But this act desired not to continue tenants but transform tenants as landowners. This concept is within land bank. When owner going to sell the land to tenant, if tenant don't have money, then take the land to bank and facilitate purchase. But this didn't work and thus the act was reviewed. Reverse process on progress while concept is hold as land bank.	

vi. As per Hanzard, some sections have changed I preamble. Structure is same. Strategies have changed. Act on paddy land has changed five times. Act on productivity is going in another direction. In 79 transition there was no political base. Farmers nominate for committee. (5 Gov. Officers +10 Farmer representatives)

vii. LMC Vs DAC

viii. 2000 Act: Agrarian Development Council is there which have AGM. They have executive committee with gov. officers as advisors but no voting powers.

ix. The Farmers have more rights. But this wasn't operational until now but CG trying to do it now. Regulations is being done. All ready. But environment is not feasible. But CGs determination is farmers to be empowered.

x. Registered Farmer companies Vs 2000 Act;

xi. Farmer organizations are formed based on Tanks, amuna, watershed. Agra. Dev. Board is semi government. Farmer company can be formed for 200 sq Km. by clustering 2-3 Ag Dev. Board. This has pilot tested for sub watershed under smart Agriculture project.

xii. DAD can get the ownership to cultivate land within stipulated duration. But it is a long process and take 02 years. (*Santhakaya apasu ganima*).

xiii. Watershed management is not included in Act. As that concept wasn't considered in that time. So micro catchments not in Act.

xiv. Micro catchment, Meso catchment, sub basin, River Basin concepts evolve but have they identified.

xv. 103 River catchments, 85 sub catchments, 1266 meso catchments

xvi. Ranking Village tank cascades in Sri Lanka, Eng. D.D. Prabath Witharana

xvii. Cascade – Integrated Farmer Organization +other societies = Federation. (Since act doesn't support federation, then provisions given in regulations which is with legal draftsman by now.

xviii. Still it is not needed to wait for final approval, DAD proceed with federation

xix. If we have identified ecological boundary in one cascade, legal boundary is identified, and it is going to be gazette

xx. CG don't have power for ruling Do's & Don't . But this can get through Farmer Organizatin. Once Farmer Or. Took decisions can legalize.

xxi. MSL- Sch. B Act has validity in MASL area. It is same act of Agrarian. But implementation done by MASL. Still DAD offices there.

xxii. Pro. Council Act can't supersede DAD Act. Usually Locakl Gov. can't overrule Central Gov.

xxiii. When Act, is formed, it should go according to relevant Act. If they going to alter it have to approve it within Cabinet.

xxiv. Agrarian act has come after 13th amendment. So Provincial councils has to be in line with Act if they go on their mgt.

xxv. Diya Gilma/ Wav Gilma/ Thavalla etc came from society. All sciences are inbuilt within society. Scientist can interpret it. This suits to our society.

xxvi. Go to village. Study what people do.

xxvii. Since we have cascades

xxviii. Commissioner – Ahalepola

xxix. Decision on Parchchampthiya on Pr. Council

xxx. In 2013 judgement is given

xxxi. Letter to Legal draftsman has details. The decision is in favoration of DAD.

xxxii. (10% of Sri Lanka land is Paddy lands.).
‹xxiii. Sri Lanka needs to keep 50% of Paddy and canopy cover. But still we are at 30% in Dry zone.
‹xxiv. Working paddy land is a sponge. Its feet bund system has ground water recharge and flood mitigation. When composite land use is there this has synergy effect.

xxxv. Demarcation via Irrigation Dep. In Minor tank from flood level to HFL. But ideal is BTL.
‹xxvi. There are controversial in land use. Can't go for acquisition but go with available land and try to protect what is available from reservations.

xxvii. Opportunities to go Central Gove+ Local Gover together;
‹xviii. A ToR is given to find solution to establish entity with

‹xxix. If such body is there should it run by / Policy/Law/ Standards?
xl. It needs Policy/ Concept/ Law/ standards and institution.
xli. Is there gap in Policies in conserving minor Irrigation tanks

xlii. Yes. There is conceptual gap on Policies. Policies without concepts, laws without linkage doesn't solve problems.
xliii. (Pandukambaya defined Village using hydrolocal boundary.)
xliv. People conserved village. Then automatically watershed conserved.
xlv. Kanna meetings reflect example of Water Rights in Sri Lanka
xlvi. Is a policy coming out of publication of Mr. Prabath?

xlvii. The concept Watershed based ecological application should generalize within society and need to come as a Policy.

xlviii. Need to include self- sufficiency as it is a development model, ecological model.

xlix. In a checklist; could it include environment demands in NPD plan.

l. How to bring this down in policy. Once identified concept, need to transform it back to society. As a custom need to transform to society rather than giving standards.

li. Mr. Prabath said planning should be done with a vision of long term. Scenario based changes to be done. History, where you are is important in defining future. Changing mindset of people is different subject

lii. Knowledge base of Sri Lankan is very important.

liii. Society is ownership.

liv. Need to give responsibility. Social benefits would encourage them. Committees protect more ecosystem.

lv. ESA definition and Agrarian Demand is almost similar. But there is lack in Policy to cater this. Is Env. Ministry in a position to cater this Policy demand by supporting watershed mgt?

lvi. Agrarian Act has a good legal base. They started cascade studies, committees etc. Same way identifies

lvii. what others do.

lviii. When all these done dialog among all on national policy.

lix. If we start synergy building up and make other complementary;

lx. Actor Map

lxi. Landowners

lxii. Land Administrators

lxiii. Subject Institutes

lxiv. Institute get benefits from ESA

lxv. Trying to couple demand and opportunity.
lxvi. DAD CG says, system should establish to conserve ecosystem.
lxvii. Priority River Basin 20 based on cascade analysis is done by DAD.
lxviii. Policy need to bring until action plan without limiting to principles.
lxix. Need to bring the Policy and based on responsibilities need to establish mechanism.
lxx. Dev. Council (5 +10) and it should be empowered them and DAD is planning on that.
lxxi. Minor tanks bound with ecological aspect. But this is not explicit in Act. However; the idea is there. The environment aspect to be picked up with regulation.
lxxii. When Act is not explicit; still when says to protect cascade committee needs to protect it via CGs advise.
lxxiii. It is possible to include habitat conservation in regulations. BD is already there. Yes. Possible. As role of Farmer Organization responsibilities; it is feasible to take up habitat conservation.
lxxiv. Strategy could change with time.
lxxv. 15958 tank, *amunu* 15807 Canal 16,187 under DAD in Sri Lanka.
lxxvi. Where Villu can add in act?
xxvii. Irrigation: 4 features of Villu suffix it
‹xviii. In Villus there is level canal.
lxxix. Ramsar Convention
lxxx. Villu – How to relate this. Villu mgt can include within regulation and Mr. Prabath will address this.
lxxxi. Inventory Villus and Map them. DAD will do a survey.
xxxii. It is important to maintain coastal waterbodies, to keep hydrological pressure to prevent saltwater intrusion or going ground water to sea.
‹xxiii. Water quality monitoring could be done by DAD.

		‹xxiv.	Does PES apply in tanks. Farmers get benefits does they pay back.		
		xxxv.	In past; Responsibility >adherence> Perform> Acquire rights this was operational in ancient Sri Lanka. (PES was in full operation with FOs even now to a certain extent)		
16.	Ms. G. D. L. Udayakumari, Addl. Secretary, DS Office, Rathnapura 14/ 10/ 2020 9.30 a.m.	i. ii. iii. iv. v. vi. vii. viii. ix.	How do we see Rathnapura as an ESA? What are the elements having more importance? Sinharaja is already protected. But there are proposed forest reserves, Kalu Ganga, forests associated with Samanala, Nivithigala DSD also having areas which affected by sand and soil excavation. Earlier sand mining happened wit Permit earlier with GMSB. But now since sand excavation is requested without CEA approval and with DS recommendation, DS needs to give approval within 14 days to release material for development process. But CEA has informed 17 DSDs there. Out of these, Udawalawa, Balangoda, Nivithigala, Kalawana-Handapan Ella etc, Godakawala (Private land) etc. are good examples. There are six Private States (Balangoda, Makwood, Hapugasthanna, Kahawattha) in Rathnapura. Some ESAs are adjacent to these states. But there are no bigger issues associated with estates. There is 28% forest cover in Rathnapura district. Tea is in abundance with higher productivity. Does environmental issues are discussed within DACs? Not occasionally. But at the instances where disasters hit these are being discussed. Further there are Tea plantations which gets fertilizer subsidies even where when slope is too high and beyond recommended slope for Tea plantation. Agriculture Committees: Why do they not discuss environmental issues.		

		x.	Even if discussed, it is about informing the line agencies. Even once this is informed to line agencies, no actions are taken. Therefore; DAC is discouraged to take up these without result.		
		xi.	DCC is another body. But CEA doesn't raise environment concerns at DCC even though Development projects are discussed.		
		xii.	If DCC has power then can take action unless line agencies, ministries take action		
		xiii.	It is informed Chairman of DCC will come to sit at DS office.		
		xiv.	If facts and figures could feed to Chairman will it work. It depends on individuals.		
		xv.	If officials are responding with facts and figures independently then certain compromise can reach.		
		xvi.	The participation of GMSB not happen at decision making level for district level/ division level meetings.		
		xvii.	In divisions environment aspects also discussed in Divisional Agriculture Committees. Both committees are useful.		
		xviii.	Is land use Committee being functional/ useful? There is committee. Land use map is there. There are Asst. Directors. But there is no remarkable engagement unless there is direct request of DS for recommendations.		
		xix.	Degraded lands haven't taken to proper attention due to resource limitations.		
		xx.	District DMC has mapped disaster prone areas and plans being developed in three times. Have they been transferred to District Planning Process/ district development agenda/ environment agenda? No.		
		xxi.	Is there special attention/ discussion on Low land / Marshy land conservation. Special measures not taken on biodiversity via DS office. FD & DWC implement their plans.		

		xxii.	Local Government joins for divisional committees. They have Env. Division also. Do they adopt env. Checklists? Is it feasible? a. Now even without approval, development projects proceed. DS can give proposals to Local Government to adopt Env. Safeguards. But problem is they will not adhere. b. This is not always due to ignorance but due to need of supporting the voters, they undermine environment issues.		
		xxiii.	Though recommendations given, not even Political authorities but officials ignore.		
		xxiv.	View of Provincial Council interference. PC also adopt EIA in major projects. But mostly are minor projects. Divisional secretaries pay attention. Provincial Tourism Board take actions to safeguard env. System as they need to generate income through this.		
		xxv.	ESA Identification has to be done in DS level. There are janapada Niladari, Land use officers, Development Officer CEA etc who work with Div. Secretary in developing proposal on ESA Identification.		
		xxvi.	Delegating power to DS in deciding lands to conserve? It is good considering time taken to get approval across traditional authorities.		
		xxvii.	Who can enforce landuse plan. It is better GA has power. Also, it can use the platform to solve interdivisional issues.		
		xxviii.	Who take decisions on interdistrict/ interprovincial issues? National Landuse Committee.		
		xxix.	When DS declare ESAs in private/ public lands, is it possible to list do's don'ts within ESAs? It is good to have such system. Even when granting loans from banks, needs to add env. Safe guards. The people live in Sinharaja buffer, need to show what could be done or don't		

		xxx. xxxi.	Incentives are better than regulations to encourage people to adopt best practices.		
17.	**Eng.(Ms) T.J. Meegastenna** **Additional Director General of Irrigation (Construction & Development)** Irrigation Department	i. ii. iii. iv. v. vi. vii. viii.	As a landowner how Irrigation department come forward; (Control over all agro-climatic zones in Sri Lanka, provide benefits to communities, riverine conservation/import riverine ecosystem Water resources planning, managing &maintenance. Until late, riverine has being hanging without proper ownership. Therefore, since gazettee came after 2000, Ministry produced cabinet paper. In 2018, riverine division formed. AddDGM post created. Ms. Thalatha has been the first AddDG. Out of river basin103, 10 basins highly vulnerable for flood and drought. One basin is Kala Oya. Downstream of Kala Oya is highly vulnerable for drought. The study can be shared via email. Paper on gazettee will also be shared. Economic analysis also has done in relation to flood and drought. Recommend drip Irrigation and ways to increase water table. Prefer to go for integrated approach since this is an ESA. When consider with MASL area, still when MASL water connect, MASL has managing power over land. There is provisions for shared management as both MASL & irrigation manage same water bodies in different places of river continuum. Functions: Water quality/ quantity, river bank protection, use of river banks near cities, waste management, sand mining, Awareness among communities and school children, Commemoration of world river day 2018 with activities to mitigate flood/ drought, cleaning campaign; 2019 -		

cleaning programme in 5 km width MEPA for Aththanagalu Oya (Blue beach concept of MEPA)

ix. What is the reason for not applying PES? This has raised to NWSDB & CEB. Though Irrigation department collect revenue, it channels to Treasury. Also burden to end user increase. So, DI has given-up PES.

x. There are places can't have reservoirs. Sometimes need power generation. For such instances try to use.

xi. In 10 basins LS & DS has done. 2016 most recent survey. Variation is mapped for last 20 years. Biodiversity/ ecological aspects not considered within ID. More focus is on disaster. Civil Engineers doesn't have much knowledge on the thematic aspects on ecology.

xii. But catchment protection still come under perview. They accept there is value. Does they see it as strategy establishment of riverine for upper catchment protection. In the past, some initiatives have taken for 10 years to conserve high flood levels. Replanting has done with FD, DoA, nursery trainings, appropriate plants etc

xiii. Reservation demarcation happens in some canals. Areacanut, Savandara etc maintained by farmers and this happens only in selected schemes.

xiv. Since there are more than 40 players, on water the responsibilities dilute or not explicit.

xv. Legal ownership is not given for lands. For three years cabinet paper on reservation is pending cabinet approval. There is political drawback. Reservation demarcation happened as per old circulars. But court says these circulars are not valid in court.

xvi. Dr. Dissanayake said, but in survey code, at reservation guide, irrigation reservations given but Ms Thalatha said it is not accepted at court since these could be misused in personal deeds.

xvii. Why conservation ideology is not explicit in ID. To maintain forest cover it is needed to have water table. The land extent water is provided under FD, DWC is not calculated.

xviii. Northern province involvement of Central government role of DI is lesser due to 13th amendment power devolution.

xix. Under 13th amendment, some PC have different procedures. But majority of rivers under DI. If there are isolated water bodies comes under provincial departments. Sometimes PC monitor water releasing timetables.

xx. Irrigation Ordinance has been revised many times and many sections being amended.

xxi. Most of the power is devolved to GA, and therefore; there are conflicts over DG/ GA. Since GA has power difficult to control misuse at ground level. DG send letter to GA to take action.

xxii. When national policy is formed of environment; Irrigation is a key player. Roughly remarkable amount of FD, DWC lands receive water under Irrigation. Ms. Meegasthanna will talk to DG with factual data

xxiii. What Irrigation Department needs to include in ESA Policy . Therefore; Ms. Meegasthenna will discuss with DG, Addl. DG Riverine and give the feedback in point form.

xxiv. By next Monday a meeting with DG will take place. ESA PMU

xxv. Will share two ESA Co-Management plans with Ms. Thalatha.

xxvi. Randeni asked on cultural aspect of irrigation bodies but DI explained due to resource limitation priority is less.

xxvii. If Farmer Organization is happy to maintain bathing place DI is positive.

18.	**Eng. Sunil S. Perera** **DG MASL** **16/ 10/2020**	1. What type of lands belongs to MASL command area? • 365,000 ha of land for development of agriculture in 13 systems identified under the Mahaweli Development Programme. • It was intended to construct a series of reservoirs and hydroelectricity plants and develop a large area of land with irrigation in order to facilitate the establishment of new settlements and development of agriculture. The implementation of the Mahaweli Development Programme is a mandate of the Mahaweli Authority of Sri Lanka established in 1979 by an Act of Parliament. • The Mahaweli Development Authority 's current task is to implement the envisaged project plan in the balance areas proposed by the Master Plan and also Gazetted areas. • This includes rehabilitating and maintenance of the irrigation network, administration of the land, enhancing the production of agriculture and the post settlement process. • Further, MASL is responsible for managing irrigation water for 101,526 ha of irrigable land in the dry zone. 2. Does Mahaweli having Environment aspect, value of conservation in their Act? What does it say? • Mahawali Act is a old one. The provisions on enviornment are insufficieent. It needs to be reviewed. • There is a plan to mitigate enviornmental threats during construction of reservoirs. There are plant nurseries and there is a Forestry & Enviornment division with enviornment officers. • Riverbanks, catchment reservations, canal reservations, streambanks, • Catchment of tanks		Minutes of discussion with Mr. Aththanayake, Director, Forestry & Environment is pending from Nirosha & Randeni

3. Does MASL lands faces threats in terms of environment/ ecosystem degradation?

Yes. Riverbanks get eroded. Siltation is observed. Due to high poverty, natural resources threatened more.

4. If yes, what does MASL do to mitigate existing threats?

- Integrated, Water Shed Management project on Polgolla dam adopt reforestation to reduce soil erosion and siltation.
- World Heritage Knuckles in Moregahakanda

5. Does MASL is happy to collaborate with Ministry of Environment to identify & manage their ESAs? Or else what do they think?

- Yes. There is a huge potential. If Ministry provides guidelines, MASL is happy to implement them.
- Havin 10 zones. Can pilot test in one. There are biodiversity hotspots, artifacts also. Since Kala Oya is done, need special support in L Zone in Mulathiv district. Better to do a Strategic Env. Assessment.
- Green City planning is a keen interest and happy to collaborate on those if apply with guidelines to promote people to enjoy environment.
- If Ministry environment give recommendations, ready to apply.
- MASL needs guidelines on ESA identification from Ministry and happy to collaborate in identification
- Corridors in Ampara district
- Restoration of degraded forest patches

		• Bamboo planting in riverbanks • Need guidelines on green cities concept. (along streams/ periphery of cities) • If ministry gives a ToR, then MASL can do the requirement accordingly. 6. What are the provisions in Act, financial resources available and opportunities to arrange co-management of ESAs in the MASL lands? Some resources are available.		
Stage 03				
Finalizing ESA Policy & Strategy				
01	**27/11/2020**	Development of draft policy based on above 22 consultation process – Version 02	PMU	
02	**Until 15/01/2021**	Internal comments and feedback	MoE, UNDP, Policy Committee	
03	**15/02/2021**	Address comments and development of Version 03	PMU	
04	**02/03/2021**	Dialog between experts of National ESA Scaleup team and ESA Policy & Strategy to build up consensus on National Policy & Scaleup plan	UNDP	
05	**11/ 05/2021**	Development of Final Version of ESA Policy & Strategy	PMU	
06	**17/05/2021**	Send for comments of national stakeholders	PMU	
07	**11/06/2021**	National consultation workshop	PMU	
08	**21/06/2021**	Final Policy upon accommodating comments and feedback at National consultation	PMU	
10	**28/06/ 2021**	Send the policy for Sinhala & Tamil Translations	PMU	
11	**09/ 07/2021**	Briefing the Policy to Secretary before Public Comments	PMU	
12	**22/ 07/2021**	Public comments – Advertise in paper	PMU	
13	20/08/2021	Deadline of Public comments	PMU	

14	31/ 08/ 2021	Address public comments	PMU	
15	08/09/2021	Validation of ESA Policy upon addressing Public comments	PMU	
16	15/09/2021	Approval of ESA Policy @ NSC	PMU	
17	20/ 09/2021	Submit to Cabinet for approval	PMU	
18	**October 2021**	Print ESA Policy & Guidelines	PMU	

NOTES:

Process documented by Sugandhi Samarasinghe, Technical Coordinator/ Project Manager -ESA