

# **SRI LANKA COMMUNITY FORESTRY PROGRAM (SLCFP)**

## **Independent Completion Report**

**April 2017**



Prepared for

**Department of Foreign Affairs and Trade**

by

Luca Tacconi

Dhanawardana Gamage

## Table of contents

Acronyms .....	ii
Executive Summary.....	iii
1 Introduction .....	1
1.1 Objective of the ICR Mission .....	1
1.2 Method .....	2
2 Findings of the ICR Mission .....	3
2.1 Relevance .....	3
2.1.1 Consistency with Sri Lanka's policy priorities and strategies .....	3
2.1.2 Consistency with the Australian aid strategy.....	4
2.1.3 Origin and relevance of project design .....	5
2.2 Effectiveness.....	8
2.2.1 Field activities (Component 1) .....	8
2.2.2 Institutional support .....	13
2.2.3 Assessment of the overall effectiveness.....	13
2.3 Appropriateness of program management and implementation arrangements .....	14
2.4 Efficiency.....	15
2.4.1 Economic and financial efficiency.....	15
2.4.2 Value for money analysis .....	15
2.5 Gender equality .....	16
2.6 Monitoring and evaluation .....	18
2.7 Impact .....	19
2.8 Sustainability .....	21
3 Lessons learned .....	23
4 Recommendations.....	23
Annex 1 Terms of Reference of the ICR Mission .....	25
Annex 2 Evaluation Plan .....	32
Annex 3 Itinerary of ICR Mission .....	36
Annex 4 List of people and organizations met by ICR Mission.....	39
Annex 5 Logframe of SLCFP .....	42

**Acronyms**

ACR	Activity Completion Report
AusAID	Australian Agency for International Development
CBO	Community Based Organization
CD	Community Development
CF	Community Forestry
CFMP	Community Forest Management Plan
DS	Divisional Secretary
DFAT	Department of Foreign Affairs and Trade
DFO	Divisional Forest Officer
FA	Forest Assistant
FD	Forest Department
FEO	Forest Extension Officer
FW	Farmer woodlot
GISR	Gender and Social Inclusiveness
GoA	Government of Australia
GO	Government organizations
GoSL	Government of Sri Lanka
ICR	Independent Completion Report
IGA	Income generation activity
MDGs	Millennium Development Goals
M&E	Monitoring and evaluation
MoMDE	Ministry of Mahaweli Development and Environment
NGO	Non government organisation
PDD	Project Design Document
SHG	Self Help Group
SLANRMP	Sri Lanka – Australia Natural Resource Management Project
TA	Technical assistance
TAG	Technical Assessment Group
UNDP	United Nations Development Programme

## Executive Summary

Initiative title: SRI LANKA COMMUNITY FORESTRY PROGRAM (SLCFP)	
<b>Country:</b> Sri Lanka	<b>Primary sector of initiative:</b> Natural resources
<b>Date initiative commenced:</b>	<b>Main Country Strategy Objective contributed to:</b> Sustainable environmental management
<b>Date initiative complete:</b> 31/12/2016	<b>Form of aid:</b> Program
<b>Initiative cost:</b> DFAT, total estimated expenditure of A\$4.97 million GoSL, LKR 80 million (A\$0.73 million)	<b>Delivery organisation:</b> Forest Department, Ministry of Mahaweli Development and Environment
<b>Managing organisation:</b> United Nations Development Program (UNDP)	

The Independent Completion Report (ICR) Team was tasked to independently assess the performance of the SLCFP, as outlined in the Activity Completion Report, and identify lessons learned from a broader perspective. The overall objective of the ICR is to provide DFAT, the Forest Department, UNDP and other interested stakeholders with an independent assessment of the performance and achievements SLCFP.

The ICR Team undertook the following tasks:

- Desk review of SLCFP documents;
- Preparation of an Evaluation Plan submitted by the ICR Team Leader to the evaluation manager prior to the in-country mission (Annex 2);
- Assessment of SLCFP implementation in Sri Lanka (15-28 January 2017);
- Analysis, report drafting and presentation of preliminary findings through an Aide Memoire at a mission debriefing to DFAT, the Ministry of Mahaweli Development and Environment, and UNDP;
- Drafting of ICR and submission to DFAT.
- Revision of ICR on the basis of comments provided by DFAT, the Forest Department and UNDP.

## ICR MISSION FINDINGS

### Relevance

The SLCFP was fully consistent with Sri Lanka's policy priorities and strategies. The Forest Department has a mandate to reduce deforestation and forest degradation. The FD requested support from the GoA to further extend the community forestry approach that had been developed by SLANRMP in order to contribute to a reduction in deforestation and forest degradation. The SLCFP was also fully consistent with the Australian aid strategy at the time of its design.

## Effectiveness

The goal of SLCFP was:

- To improve the management of natural resources to support livelihoods and contribute to poverty reduction in the dry and intermediate zones.

Overall, the implementation of SLCFP appears to have mostly achieved its goal by bringing about an improvement in natural resource management and livelihoods. However, it is not possible at this stage to establish whether poverty has also been reduced: data on the incidence of poverty (baseline and at program completion) was not collected, therefore it is not possible for the ICR Team to assess the impact on poverty.

The management of the SLCFP was contracted to the United Nations Development Program (UNDP) and implemented by the Forestry Department. This management arrangement was an evolution from the management of the SLANRMP which was managed and implemented by an Australian managing contractor. The management arrangements for the SLANRMP were suited to a project that was testing new models of community forestry, thus requiring significant inputs of external technical assistance. However, once the FD adopted and improved the model developed by SLANRMP, and scaled up its implementation to the national level. The direct implementation of the program by the FD was appropriate.

## Efficiency

The Feasibility Study (FS) of the design of SLANRMP found the program could yield around 20% return on investment. The ICR Team finds that economic efficiency (calculated as Return on Investment, ROI) cannot be assessed on the basis of that study because: i) it is not clear how many hectares of farmer woodlots were assumed to be planted by the FS; ii) the FS assumed teak will mature by year 20, but at all sites visited by the ICR Team the expectation is maturity will be reached after 25 to 30 years; iii) the price of teak used in the FS (Rs 60,000 m<sup>3</sup>) is not realistic. A detailed analysis of the financial efficiency of CF from the farmers' perspective needs to be carried out (also taking into account that farm gates for teak are much lower than the price of marketed timber. This analysis is essential to fully understand the benefits that may be received by the households involved in the program. It is also needed in order to determine the mix of crops and trees to be considered in the establishment of FWs as discussed above.

The implementation of SLCFP required about half the budget that had been expended by SLANRMP and covered about three times the number of sites and forest area. The significantly higher budget required by SLANRMP, which however involved significant testing of the model, in turn requiring international expertise. The ICR Team is not in a position to assess whether the cost per site could be reduced in a further expansion of the program, but it may be possible to do so given the FD has considerably greater expertise in implementation of the CF approach, and could be expected therefore to implement it even more efficiently.

Program expenditure has largely been in line with budget and there have been no cost overruns. Through effectively mobilising community and other agencies contributions to project supported activities, a significant amount of work has been undertaken. Despite this, without a clear and satisfactory economic efficiency analysis, the ICR Team is not in a position to affirm without reservations that the program could be considered to have provided value for money. This statement does not imply that it did not provide value for money. It means that it might have, but at this stage it cannot be fully confirmed although the ICR Team is inclined to believe that it did provide value for money.

## **Gender equity**

Overall, because of the influence of SLANRMP, SLCFP had a particular focus on gender, especially on the participation of females, though at the initial stages gender and social inclusiveness issues had not been given as much prominence as later in the program. However, the situation changed from the third year at a strategic level through studies and training. Women's participation in CBO meetings and paid labour and micro enterprises were found to be appreciable.

In relation to specific indicators, the ACR notes that, in 2014, 52% of the total membership of CBOs were females and 40.2% of the total number of office bearers were females. Higher rate of women's participation in SLCFP activities have resulted in increased collective action, increased voice in the affairs of the village community, self-esteem, their contribution to household economy and family savings. Many unemployed or economically less active women in CBOs have been trained on social, communication, marketing, accounting and technical skills and assisted by providing materials and machinery (e.g., sewing and coir making machines) to start and manage micro enterprises

Recruitment of a GSI expert and a sociologist to analyse and train FD staffs and CBO members after 2014 improved project focus on GSI. A study on Gender & Social Inclusiveness was conducted in 2015 followed by the compilation of a report.

The ACR also found participation of females in CBO meetings surpassed that of the males in the majority of the sites, the main reason being that males were often engaged in income earning activities within or outside the village. In training, capacity building, micro enterprise activities and through social networking women appear to have benefitted more than men have.

## **Monitoring and evaluation**

Most of the M&E indicators developed by FD have been prepared in line with the PDD D and programme has been relatively effective in monitoring field level activities (inputs, activities, outputs), particularly with basic quantifiable data through its life span and different time periods like at mid-term and project completion.

However, the indicators used do not adequately reflect the socio-economic impacts on livelihood development, social and gender inclusiveness, poverty reduction and distribution of those impacts amongst different sectors of the community. For this reason, observed social and economic conditions at CF sites could not be attributed to SLCFP with cause and effect terms. That would only have been possible if data were available for pre and post program conditions with the same data available for comparable communities with no program intervention.

## **Impact**

There are data indicating that SLCFP contributed to an improvement in the management of forests. Whether a reduction in deforestation and forest degradation (D&FD) is ultimately achieved can only be accessed through remote sensing analysis at site level and especially at the country wide level. This is due to the fact that a reduction in D&FD at the site level could potentially lead to D&FD in other areas, an event that is known as leakage within the current international discussion on Reducing Emissions from Deforestation and Degradation (REDD+). Such potential leakage needs to be monitored over time. The development of the remote sensing research capability of the FD is therefore essential.

The assessment of the socio-economic effects positive and negative, primary and secondary, intended or unintended produced by SLCFP directly or indirectly is difficult as a result of the paucity of data available as discussed under monitoring and evaluation above. However, it is clear that the SLCFP has contributed to increase the flow of income to targeted communities through payments for labour work, ability to earn income through diversification of livelihoods base with assistance provided to establish micro enterprises (MEs) and home gardens (HGs) improvement.

### Sustainability

There are several different aspects to the issue of sustainability. **Institutionally**, the approach developed by SLANRMP and further expanded by SLCFP appears almost certain to be sustained given that the FD is fully committed to its implementation. **Financially**, the FD has already obtained approval of the budget to continue the implementation of CF, which will also be included in the new World Bank funded project Eco Systems Conservation and Management Project (ESCOMP). The sustainability of **community development impacts** will depend on the continued dynamism of the CBOs, new income generation activities created through micro enterprises, use of imparted knowledge and networking as there will be no more income transfers from the program. The program has contributed to lasting impact for economic development through the establishment of FWs, building the natural and physical capital like reforestation, fire protection, land rehabilitation, control of soil erosion, and irrigation improvement to assist future income earning capabilities. Active and networking CBOs are essential to maintaining the positive improvements achieved by SLCFP. Finally, **environmental sustainability** will depend on whether the communities have enough resources and income: if that eventuates, they will not need to deforest to establish fields or degrade the forest to extract products. Further intensification of the FWs as discussed above, and development of home gardens, are fundamental to achieving environmental sustainability.

### LESSONS LEARNT AND RECOMMENDATIONS

From the perspective of the GoSL, the most important lesson learnt through SLANRMP and SLCFP has been summarised in the ACR of SLCFP: **meaningful participation of communities in forest management is fundamental** to improving their livelihoods and reducing deforestation and forest degradation.

Related to the first lesson, the second lesson is that **working closely with communities improves trust** between the community and FD staff. Communities are thus more willing to alert the FD to illegal activities in the forest.

Third, trust is important, but **the wellbeing of communities** depends to a great extent on availability of land for cropping for consumption and sale, and from alternative income sources. Therefore, intensifying land use as much as possible, through more diverse FWs and planting useful trees in buffer zones and enriched areas.

Fourth, some **SLCFP sites have been implemented in areas affected by social and environmental marginality**. The people in these areas have come from other areas and are affected by inter generational (chronic) poverty. This is hard to reduce and the FD will have to continue long term engagement with those communities in order to stabilize forest cover.

The **CF approach proved to be the preferred approach** not only in terms for augmenting forest resources and addressing forest management issues effectively, efficiently, cost-effectively, sustainably, but also helping the physically and environmentally marginal communities in Sri Lanka with community and livelihood development opportunities.

**Farmer Woodlots** appeared to be a major attraction for active community participation. Therefore, need for tree species selection or spacing design that can continue to generate income from intercropping with implication for continued attention to FWs found be useful in CF approach.

In relation to development assistance, a key lesson of the SLCFP is that in some circumstances **it may take many years to develop appropriate resource management models that are socially, financially, institutionally and environmentally sustainable**. But that commitment can prove beneficial to communities, the country and its environment.

The ICR Team **recommends** that the FD consider:

- Increasing the role of communities in the management of enrichment and buffer zone plantings whenever they can be planted with species useful to communities.
- Modifying the planting density of teak woodlots to allow much longer intercropping of annual crops, and including a mix of fruit and nut tree species that generate more regular income.
- Carrying out the analysis of the financial efficiency from the farmers' perspective of alternative models of the FWs to maximise their benefits, thus reducing threats to forests in the area.
- CBOs that have been established under SLCFP have functioned as the link or entry point to the program sites for other agencies entrusted with rural and agricultural development. Strengthening such links is needed to have a scaling up effect and sustain community development outcomes. CBOs should be supported to network with other CBOs locally, and across sites to share the experience and stimulate their work.
- Continuing the engagement with communities in conflict affected areas to further build trust by supporting diversified home gardens and inclusion of useful species in buffer zone and enrichment planting areas (which involve farmers in the choice of species).
- Recruiting Tamil officers for the Northern and Eastern district areas;
- Assessing how to make the establishment of new sites could be reduced to make even more cost effective the future expansion of the program; this could be done by considering the costs of community forestry and reforestation initiatives carried out by other countries in the region;
- The monitoring and evaluation of livelihood impacts should also include compiling and reporting of disaggregated data for relevant variables like percentage participation by gender (dichotomized also for single parent households), activities engaged in, income earned per period and percentage of contribution to household income of CF activities.
- Sampling to collect information should be stratified so that fewer sites would need to be monitored. Sampling should include cases of matching non-program communities as control groups so that the impact of CF activities can be better assessed.
- Field staff should be trained to undertake aggregation and simple analysis for them to understand their own performance and set new targets.
- Seeking funding to further develop capacity in remote sensing research and monitoring.
- Carrying out a strategic planning exercise (by analysing all the Range Management Plans that have been prepared) to identify the areas that would need to be targeted through CF in order to develop a medium to long term plan for the expansion of CF and assess priorities and potential costs.



## 1 Introduction

### 1.1 Objective of the ICR Mission

The Independent Completion Report (ICR) Team<sup>1</sup> was tasked to independently assess the performance of the Sri Lanka Community Forestry Program (SLCFP). The overall objective of the Independent Completion Report (ICR) is to provide DFAT, the Forest Department (FD), UNDP and other interested stakeholders with an independent assessment of the performance and achievements of SLCFP. The specific objectives of this review were:

- To assess the performance of SLCFP against the program objectives;
- To identify key lessons learned through program activities; and
- To comment on the actions required to increase sustainability of CF activities carried out by SLCFP.

In particular, the ICR Team was asked to:

- Assess the implementation performance of SLCFP, against the performance indicators contained in the project design. Performance will be assessed using the elements of:
  - **Relevance** - the extent to which the objectives of SLCFP are consistent with beneficiaries' requirements, country needs and GoSL and Government of Australia (GOA) policies.
  - **Effectiveness** - whether the program achieved its stated objectives.
  - **Efficiency** - whether the Program was efficiently managed to obtain value for money from DFAT inputs (e.g. funds, staff and other resources) and to continually manage risks.
  - **Gender Equality**- whether the Program adequately identified and is effectively addressing, monitoring and reporting on gender equality issues.
  - **Monitoring and Evaluation (M&E)**- whether the program's monitoring and evaluation framework effectively measured progress towards meeting objectives.
  - **Impact** - the positive and negative, primary and secondary long term effects produced by SLCFP, directly or indirectly, intended or unintended, and
  - **Sustainability** - the likely continuation of benefits from SLCFP after project assistance has been completed;
- Assess how SLCFP has contributed to poverty reduction (i.e. at the goal level);
- Assess how effectively SLCFP has contributed to policy and regulatory change, and has increased the capacity of the GoSL (FD) to manage natural resources, especially through community forestry programs;
- Assess tested models of Community Forestry replications by the Forest Department (FD);
- Document key lessons learned from the implementation of SLCFP and make recommendations on how these lessons can be integrated into future management.
- Comment on the Partner Government's views/perceptions on the relative successes (or otherwise) of the project, including their experience of project implementation, and of themselves as implementing partners; and
- Assess the quality of relationships developed between stakeholders at national and provincial levels, communities and service providers, microfinance institutions and the potential for sustaining these partnerships and relationships following the end of the project.

---

<sup>1</sup> The ICR Team comprised: Luca Tacconi, Team Leader / Natural Resource Management Specialist; Dhanawardana Gamage, Community Development Expert. The Team was accompanied in the field by Mr Dunstan Fernando, DFAT Colombo.

The detailed TOR of the ICR Mission is provided in Annex 1.

## **1.2 Method**

The ICR Team undertook the following tasks:

- Desk review of SLCFP documents;
- Preparation of an Evaluation Plan submitted by the ICR Team Leader to the evaluation manager prior to the in-country mission (Annex 2);
- Assessment of SLCFP implementation in Sri Lanka (15-28 January 2017, see Itinerary in Annex 3). This included visits to eleven sites in seven districts where the SLCFP has been operating (Figure 1).
- Analysis, report drafting and presentation of preliminary findings through an Aide Memoire at a mission debriefing to DFAT, the Forest Department and UNDP;
- Drafting of ICR and submission to DFAT.

The analysis presented in this report is based on:

- review of documents prepared by the SLCFP;
- interviews with: i) UNDP staff, ii) Forest Department staff in Colombo and in the districts and ranges visited, iii) members of communities involved in the SLCFP;
- presentations by FD staff in the districts visited followed by group discussions;
- visits to the woodlots and reforestation sites together with community members and Forest Department staff.

The list of people and organizations met are reported in Annex 4.

The ICR Team would like to thank staff of the Australian High Commission for their support and insightful discussions and support in organizing the field visits. Many staff of the Forest Department discussed with the ICR Team many aspects of the SLCFP and forestry in general. We are grateful to the rural communities we visited for sharing with us their views about the SLCFP and hopes for future activities, for their warm hospitality.

**Figure 1. The districts visited by the ICR Team**

## 2 Findings of the ICR Mission

### 2.1 Relevance

#### ***Focusing questions:***

Were the objectives of SLCFP consistent with beneficiaries' requirements, country needs and GoSL and Government of Australia (GOA) policies?

#### **2.1.1 Consistency with Sri Lanka's policy priorities and strategies**

The SLCFP was fully consistent with Sri Lanka's policy priorities and strategies. The Forest Department has a mandate to reduce deforestation and forest degradation. The FD requested support from the GoA to further extend the community forestry approach that had been developed by SLANRMP in order to contribute to a reduction in deforestation and forest degradation.

Towards the end of SLANRMP, the FD prepared the Strategy for Community Forest Management in Sri Lanka. This Strategy clearly states:

“The goal of this strategy is:

*Encourage communities in and around forests in Sri Lanka to engage in protection, development and management of their adjacent forest resources and improve their access to derive equitable benefits from forest management activities.*

The purpose of this strategy is:

*To set out strategies for a national community forest management program that supports and implements effective sustainable management of natural forest resources by adjacent communities.*

The Strategy has two major objectives:

- *To expand Community Forest Management throughout Sri Lanka as a national program.*
- *To develop the capacity of Forest Department staff and community members to implement an effective national Community Forest Management Program.”*

The Strategy itself notes that it is was fully aligned with the GoSL’s Development Framework for 2006 to 2016, the “Mahinda Chintana”: the Chapter on the Environment Sector recognizes that the development of natural resources and environment would be in line with sustainable development principles which avoid costly remedial measures. It also recognized that enhancement of rural economies with natural resources will contribute towards reduction of poverty related environmental degradation. Moreover, “Ensure Environmental Sustainability” is listed as Goal number 7 in the Millennium Development Goals set out by the GoSL. The target agreed for this particular Goal was to integrate the principles of sustainable development into the country’s policies and programmes, and reverse the loss of environmental resources. It is important to note that the “community participations “is one of the main strategies identified by the GoSL to achieve this particular Millennium Development Goal. The SLCFP is also in line with the objective of the current Sri Lankan Government to increase the country’s forest area from 28% to 32% of the land area.

The SLCFP was also aimed at improving rural livelihoods and reducing poverty as discussed later. The focus of the program was therefore consistent with the rural beneficiaries’ needs.

### **2.1.2 Consistency with the Australian aid strategy**

The SLCFP was fully consistent with the Australian aid strategy at the time of its design. As noted in the Project Design Document (PDD) of the program:

- Australia’s Sri Lanka Country Strategy (2011-2015) aimed to support rural livelihoods and help the poor find a sustainable path out of poverty (including further assistance in the management of natural resources for poor or marginalised rural communities);
- The Australian aid (internal draft of May 2010) Environment and Climate Change Strategy had an objective to improve the management of natural resources and ecosystems to support livelihoods, which in turn aims to achieve sustainable livelihoods; and
- Australia’s development assistance program objectives aimed to assist developing countries to reduce poverty and achieve sustainable development, thus assisting them to achieve the Millennium Development Goals, including MDG #1: to eradicate extreme hunger and poverty, and MDG#7: ensure environmental sustainability.

Although it was titled Community Forestry Program, the SLCFP focused on improving natural resource management by promoting sustainable rural development, thus seeking to contribute to poverty reduction.

### 2.1.3 Origin and relevance of project design

#### ***Focusing questions:***

How did CF evolve and expand in the country, and how did it influence the current CFP?

The SLCFP was designed to consolidate the approach to community forestry and activities developed and implemented by the SLANRMP implemented from 2003 to 2009. The SLANRMP was developed itself following on the experience and lessons learned by two other donor-funded forestry programs, namely the Community Forestry Program (CFP), in 1983 and the Participatory Forestry Program (PFP), in 1990. Those projects initially involved communities mostly as laborers in the establishment of plantation woodlots, but moved to establishing partnership agreements in the latter phase (those partnership agreements were the basis for the development of the agreements implemented by SLANRMP). An Australian Project Identification Mission in March 1999 recommended therefore the preparation of a project comprising five major components of farm forestry, participatory management of natural forests, training and education, enhanced income generation and project management. The SLANRMP was developed following that identification mission. The chronological summary of the activities starting with the 1999 mission is reported in Box 1 as a record of over fifteen years of Australian aid's support to the forest sector of Sri Lanka.

The evolution of the goal, objectives, and components of SLANRMP and SLCFP are summarised in Table 1. The goal of SLCFP was *to improve the management of natural resources to support livelihoods and contribute to poverty reduction in the dry and intermediate zones*. This goal is more akin to the mandate of the FD than the goals of the pilot and the implementation phase of SLANRMP.

The emphasis on improved natural resource management reflects the community forestry management approach, which aims to:

- Reduce deforestation and forest degradation by providing alternative agricultural and non-agricultural income generating opportunities to local communities;
- Reduce erosion by reducing the cultivation of *chena* and improving soil and water conservation in home gardens; and
- Increase the quantity and quality of timber and NTFPs produced from both woodlots and home gardens.

It is also useful to recall the rationale of the CF approach that was piloted and implemented by SLANRMP, as explained by the ICR for SLANRMP:

- improved natural resource management, and particularly community forest management, contributes to less vulnerable livelihoods and reduced poverty; and
- improved livelihoods contribute to more sustainable natural forest management.

Achieving more sustainable natural forest management and improving rural livelihoods and reducing poverty are part of the goal and objective of the SLCFP and will be considered in Section 2.2 on Effectiveness and Section 2.6 on Impact.

**Box 1. Chronological summary of Australian assistance to the forest sector**

1999 March - A Project Identification Mission recommends a project comprising five major

2000 February/April - Australian Mission conducts a design and feasibility study in Sri Lanka.

2000 July - The same Mission team conducts a design study in Sri Lanka

2000 September - The draft Project Design Document (PDD) submitted to GoA

2000 December - Field appraisal of PDD undertaken

2001 February - GoA approves revised PDD

2002 May/June - PDD reviewed in Sri Lanka and an Addendum completed and approved by GoA

2002 December - URS Australia Pty Ltd in association with Infotechs-IDEAS Pvt Ltd awarded contract

2003 9th February SLANRMP commences in country

2004 November - Draft PDD for Phase 2 submitted to AusAID. Technical Assessment Group (TAG) Mid Term Review team visits to review PDD

2005 July - Phase 2 PDD submitted to GoA

2005 October - Phase 2 PDD approved

2006 July - All Project field implementation handed over to FD field staff

2007 December - Transition Strategy accepted by GoA

2008 October Completion Report finalised

2008 October/November - Independent Completion Report prepared

2008 December - Forest Department prepares Strategy for Community Forest Management in Sri Lanka

2008 Forest Department requests assistance to implement Strategy for Community Forest Management

2009 January - Close down of SLANRMP

2009-2012 Forest Department Maintains SLANRMP sites and establishes new ones

2009 October - Feasibility Assessment of support to Strategy for Community Forest Management

2011 November – Final PDD for SLCFP completed

2012 September - SLFCP commences

2014 Mid-term review carried out

2016 December – Close down of SLCFP

2017 January – ICR Mission carried out in country

**Table 1. Comparison of Goal, Purpose and Objectives for SLANRMP and SLCFP**

SLANRMP Pilot Phase	SLANRMP Implementation Phase	SLCFP
<b>Goal</b> To contribute to poverty alleviation through improved natural resource management in the dry zone of Sri Lanka	<b>Goal</b> To contribute to poverty reduction through improved natural resource management in the dry and intermediate zones of Sri Lanka	<b>Goal</b> To improve the management of natural resources to support livelihoods and contribute to poverty reduction in the dry and intermediate zones
<b>Purpose</b> To develop and apply models for improved and equitable natural resource management in the dry zone areas of Kurunegala and Matale districts and potentially one other district and disseminate the results nationally	<b>Purpose</b> To assist the Forest Department and other agencies involved in natural resource management to develop and implement policy, legislation and practices to work with local communities in the participatory management of dry and intermediate zone forests and other natural resources	
<b>COMPONENT 1: SYSTEM DEVELOPMENT &amp; APPLIED RESEARCH</b> <b>Objective:</b> To test, develop and demonstrate community-focused extension methods and technologies for the management of natural resources	<b>COMPONENT 1: INSTITUTIONAL SUPPORT FOR INTEGRATED NATURAL RESOURCE MANAGEMENT</b> <b>Objective:</b> To improve the capacity of the Forest Department and other service providers to implement participatory resource management programs that improve utilisation, encourage coordination mechanisms and ensure integration of service providers	<b>COMPONENT 1: FIELD ACTIVITIES</b> <b>Objective:</b> To reduce deforestation and forest degradation by involving communities in forest management.
<b>COMPONENT 2: AWARENESS, TRAINING &amp; EXTENSION</b> <b>Objective:</b> To improve the capacity of the Forest Department and other service suppliers to support community forestry approaches in the Project Area	<b>COMPONENT 2: PARTICIPATORY NATURAL RESOURCE MANAGEMENT SYSTEMS</b> <b>Objective:</b> To test, develop and implement processes for the community management of natural resources that equitably improve livelihoods and reduce poverty of rural households in the dry and intermediate zones	<b>COMPONENT 2: INSTITUTIONAL SUPPORT</b> <b>Objective:</b> To build the capacity of the Forest Department so community forestry approaches can be implemented nationally.
<b>COMPONENT 3: COMMUNITY SUPPORT</b> <b>Objective:</b> To assist communities to identify priorities and implement projects to improve their natural resource base and reduce poverty		
<b>COMPONENT 4: PROJECT MANAGEMENT</b> <b>Objective:</b> To effectively manage and coordinate the project with Forest Department and other stakeholders	<b>COMPONENT 3: PROJECT MANAGEMENT</b> <b>Objective:</b> To effectively manage and coordinate the Project with the FD and other stakeholders	

## 2.2 Effectiveness

### ***Focusing questions:***

Has the program achieved its stated goal and objectives?

Has the program improved the management of natural resources to support livelihoods and contribute to poverty reduction in the dry and intermediate zones?

As noted above, the goal of SLCFP was:

- To improve the management of natural resources to support livelihoods and contribute to poverty reduction in the dry and intermediate zones.

Overall, the implementation of SLCFP appears to have mostly achieved its goal by bringing about an improvement in natural resource management and livelihoods. However, it is not possible at this stage to establish whether poverty has also been reduced: data on the incidence of poverty (baseline and at program completion) was not collected, therefore it is not possible for the ICR Team to assess the impact on poverty in quantitative or qualitative terms. The fact that the SLCFP may have contributed to poverty reduction can only be assumed on the basis of the fact that it does appear to have contributed positively to livelihoods (as discussed later), which in turn may have contributed to poverty reduction. This issue will be considered again in the assessment of the impact of the program which is considered in Section 2.6. The effectiveness of the individual components is considered in the following two sections.

### 2.2.1 Field activities (Component 1)

#### ***Focusing questions:***

Has the project reduced deforestation and forest degradation by involving communities in forest management?

Has the program appropriately implemented processes for the community management of natural resources?

The Outputs of this component were:

- 1.1 Suitable program sites identified
- 1.2 Community groups formed and capacity enhanced
- 1.3 Community Forest Management Plans prepared which address the leading causes of deforestation and forest degradation at each site
- 1.4 Community Forest Management Plans implemented in partnership with other government and potentially non-government organisations
- 1.5 Home garden development program implemented in other/conflict affected areas, as the opportunity arises.

The identification of suitable program sites was done using the site selection criteria as explained in the PDD, instructions given by CF (SF&E) and based on the training provided by consultants.



The most suitable unit for management of CF sites is one that contains the inhabitants of the selected village/s, their agricultural land resources, associated water storage and tank systems, the forested catchments of these water systems, and other natural and plantation forests.

After the identification of the suitable sites, discussion with community members and awareness creation ensued by mobilizing them to establish forest management focused CBOs, one per site totaling 167 by 2016. The CBO members included those who wished to be involved in community forest management (CFM) and community development (CD) activities. CBO establishment followed by their registration the Divisional Secretary (DS) of the area to ensure their legality. A CBO generally structured into small groups or self-help groups (SFG) of 6-8 members in each assigning specified functions including the starting a micro-finance (MF) component to implement saving and credit, a tradition established during SLNRMP for CF activities.

Capacity development was the bottom line of CF approach and the major instrument used for this is training that included CBO constitution, book keeping, microfinance, planning and management, leadership development, communication, networking with other CBOs, relevant Government Organizations (GOs) and Non-Government Organization (NGOs) for linking and seeking support for CF and CD activities. During the initial stages, social inclusiveness training covered the need for participation of all, specifically the poor and enabling them to share benefits. It is not certain of the extent to which issues like gender awareness/ gender equality have been discussed in its broad sense during these early training sessions. Though the aspects of training on consciousness raising and gender issues have been introduced later in terms of social inclusiveness into CF strategy, previous experience of FD, particularly SLANRM, appears to have been instrumental in training of CBO members on need for equal participation of men and women.

Capacity development for forest resources management included training for awareness creation of forest resource benefits and stewardships, training for seedling production, establishment of tree nurseries and farmer woodlots (FWs) and management, tree planting and maintenance, certain fire protection measures like the fire belts and live fence establishment, CBO rights and responsibilities together with field based orientation training. Capacity development also included training for ME development and skill training for selected trades like tailoring/sewing, hair cutting etc.

As GSI report records “No evidence was found that the CBOs have done capacity assessment during the PRA or afterwards but prior to such trainings. And there was also no evidence found in all the above sites that these trainees have assumed any responsibilities after the training. But, it was found that some officials personally mentor members and CBO officials in managing the CBOs and SLCFP activities, which has brought drastic changes in the CBOs as well as within them”.

Community Forestry Management Plans (CFMPs) were prepared and implemented by each CBO for assigned forest areas in order to control deforestation and forest degradation. This activity also had the objective of promoting alternative livelihoods for communities to reduce the need for reforestation as a result of shifting cultivation and other detrimental forest uses. Based on PRAs, CBOs were helped by FD field staffs to compile baseline data, identify issues related to conservation of forests as well as community, livelihood and infrastructure development etc in order to prepare CMPS for the respective sites. The CFMPs commonly covered activities involving capacity development, participatory forestry, community development, livelihood development and community infrastructure development.

The CFMPs generally include activities for the rehabilitation of minor irrigation tanks<sup>2</sup> where relevant to provide water for irrigation and domestic purposes; management of forest resources including the establishment of FWs; improving the productivity of home gardens and a range of other agricultural and non-agricultural income-generation activities including MEs for livelihood development; activities involving social infrastructure (i.e. Community Halls, Nursery Schools etc) and capacity building activities to support the above activities.

It was observed that CBOs developed their own CFMP models to suit their environmental conditions and to address site specific socio-economic conditions. For example, farmers at some sites rejected teak plantation and wished to plant natural forest species with fruits and nuts species suitable to their specific environment and socio-economic requirements. In addition to commonly identified FWs, enrichment and buffer zone planting and establishment of fire belts etc in CFMPs, at some locations forestry activities included catchment planting in catchment areas, live fences for forest demarcation or to prevent elephant invasions in areas susceptible to elephant damage and planting of fruit plants in the forest areas controlling village crops damaging by wild animals like monkeys. Therefore, what one sees is the flexibility of CFMPs so that local needs could be incorporated.

The FD facilitated the preparation process of CFMPs and after the completion these were to be approved by the respective DFOs followed by signing of agreements with CBOs for implementation. When FWs involved, thirty-year lease agreement was signed with FD ensuring its rights and usufruct rights of farmers.

The CFMPs seems to have guided almost all CF activities after the approval by FD officials. The programme provided support to implement the forestry component of CFMPs included cash payments for work done on planting of FWs, enrichments, buffer zones, firebreaks and live fences. Responsibilities and rights between CBOs and the FD for the community management of FD owned forest areas were signed prior to the implementation of CMPS at sites. The farmers participating in FWs have signed agreements with FD for operating those on long term leasehold basis (30 years) with tree tenure rights to them for pruned branches and trees from thinning operations and 80% of trees at maturity.

CFMPs included improvement to infrastructure including rural roads, anicuts, minor water supply schemes, minor tank rehabilitation work etc for which the labour contribution was paid and/or material and equipment supplied. The volume of infrastructure development activities carried out up to 2015 is high as to the ACR and relatively fewer activities have been undertaken in the districts of Northern and Eastern Provinces (Kilinochchi, Vavuniya, Ampara and Batticaloa). Some CFMPs included proposals for improvement or new construction of community halls and needed building materials were supplied by the programme while the skilled and unskilled labour provided by the communities.

Under livelihood development activities, MEs proposed in CFMPs varied by site and training and facilitating those and establishing links with micro-credit institutions have been ensued. Livelihoods development activities under SLCFP are examined with more details in poverty reduction and gender and social inclusiveness aspects.

The SLCFP implemented home-garden support with the combined objectives of supporting livelihoods and reducing the need for bringing pressure on forest by the communities. Home-gardens are traditional system of farming that was supported through training, providing planting material and linking the relevant agencies for extension support. The MTR suggested allocation

---

<sup>2</sup> Earth barriers constructed to capture water during periods of rain, typically used for domestic purposes and irrigation.

of more resources for war-affected Northern and Eastern districts. This was ensued by allocations of additional 20% funding from 2015 for Vavuniya, Mannar, Mullaitivu, Trincomalee, Batticaloa, and Kilinochchi districts though the performance has fallen behind targets due problem of establishing trust with communities and lack of Tamil speaking staff to mobilize communities.

The key quantitative indicators of achievements under Component 1 are summarized in Table 2.

The area of forest included in the program's sites also meet the stated objective of the PDD. It needs to be stressed that that area is simply the area of forest around the villages where SLCFP operated and that is supposed to be protected by the fact that local communities have entered into a CFMP with the FD, and also that they will not put pressure on it as a result of the livelihood activities implemented by the SLCFP. It should be noted that the area planted with FW, buffer zones, enrichment planting and live fences is significantly smaller than 23,000 ha. This stated simply to avoid the potential, mistaken, impression that 23,000 ha were planted by the SLCFP.

The ICR mission does not include in Table 2 the number of participating households and that of total beneficiaries from the SLCFP because the data to ascertain them does not seem to be too clear or robust. It should be noted that:

- i) the definition of what constitutes a 'participating households' is not clear;
- ii) the ratio of beneficiaries to participating households is 9:1, which seems to imply that beneficiaries might have been defined to include non-participating household (given that the average number of members of households is certainly well below 9);
- iii) but it is not clear how non-participating households would benefit from the activities implemented by the SLCFP. It can be assumed that non-participating households living in surrounding areas at programme sites may benefit from positive environmental outcomes arising from the SLCFP, but whether they receive other benefits has not been documented.

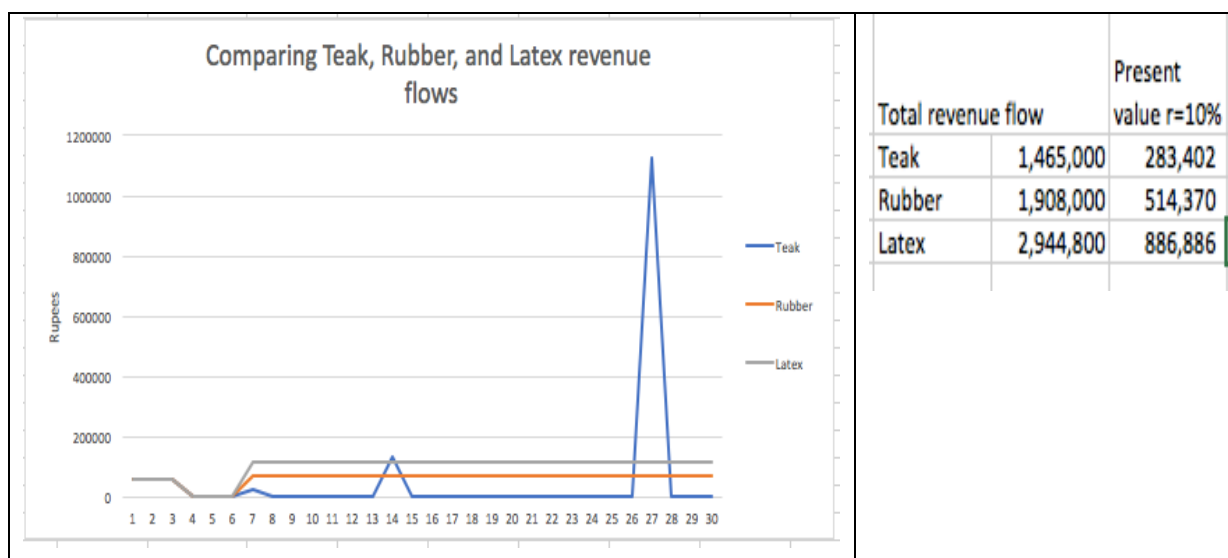
**Table 2. Key indicators for Community Forestry Sites**

	SLANRMP 2002-8	Forest Dept 2007-9	Planned for SLCFP (from PDD) 2011-16	Achieved by SLCFP (from ACR)
Number of districts	5	9	15	18
Number of sites	55	24	167	167
Area of forest within sites (ha), including:	7,388	4,255	23,000	23,000
-Farmer woodlots planted(ha)			NA	701
-Buffer zone planting (ha)			NA	376
-Enrichment Planting (ha)			NA	388
- Establishment of Fire Belts (m)			NA	96,260
- Establishment of Live Fence (m)			NA	31,790
Home gardens supported (No)			NA	5,705
Participating households	3,719	1,680	10,000	
Total beneficiaries	37,000	13,000	90,000	

Whilst the implementation of the SLCFP appears to have mostly delivered on the design objectives, the ICR mission has suggestions for the potential improvements of future CF activities.

First, communities are mostly involved as labourers in enrichment and buffer zone planting (although in some cases species useful to farmers have been planted). They do not have management rights and therefore do not appear to have a significant interest in the maintenance of those plantings. The ICR Team has encountered cases where those plantings have also involved trees useful to communities, such as fruit trees. However, unless the management rights and responsibilities are clear, it is unlikely that they will be managed sustainably.

Second, farmer woodlots (FWs) are a fundamental component of the program as they are the only forest management activity in which farmers have a significant stake, an important decision making role, and can provide a good income. They are a key way to increase the income of communities so that they reduce pressure on the forest, as per program rationale reported above. However, teak FWs planted at the current tree density allows farmers to intercrop for just three years. Then, they need to wait some 30 years until they receive further significant benefits, apart from the limited benefits derived from pruning thinning around year 7 and 14. Moreover, the financial benefits to be derived at harvest appear to have been grossly overestimated, as discussed later. Farmers in the intermediate zone that had planted rubber in FWs rather than teak appeared to be more satisfied with the FWs as they realize that a more regular income (from rubber tapping) can be derived just a few years after they stopped intercropping. Farmers in the dry zone are poorer than those in the intermediate zone but the current planting patterns penalize the former in terms of income flow. Therefore, consideration would need to be given to modifying the planting density of teak woodlots to allow much longer intercropping of annual crops, and including a mix of tree species that generate more regular income, such as fruits and nuts, in addition to the timber which harvested after 25-30 years from planting. This aspect is fundamental to achieving the goal and objectives of the program. If farmers do not have a regular income generating activity (that also keeps them employed) they are more likely to carry out forest degrading activities even if they are aware of its negative impacts. They often degrade forests because they do not have other alternatives.



### 2.2.2 Institutional support

**Focusing question:** How effective has the initiative been in developing the capacity of the Forest Department to implement community forestry activities?

This component aimed to continue the process of building the capacity of the FD so that CF can be implemented nationally. Overall, this component appears to have met its objectives.

An amendment to the forestry law to improve the implementation of CF has been approved by the Attorney General (AG) and has been submitted to the Parliament for final approval. Whilst the PDD stated the objective what the approval of the regulatory change, the fact that it has been approved by the AG it indicates that it is likely to be approved by Parliament.

The SLCFP updated and reprinted a large number of Training Modules prepared by SLANRMP in Sinhala (#15,000), English (#3,200) and Tamil languages in 2013 and 2014. FD staff has been trained in CF approaches in 1,135 training sessions locally. In country study tours were implemented for FD staff. Forest Officers from various districts and various levels have also been provided overseas training. Scholarships for Masters by coursework or research were also available through the Australian Development Scholarships (ADS) scheme.

Capacity to implement CF has been strengthened by providing logistical support to the FD field offices includes vehicles, equipment, furniture, office equipment, and office renovations.

The capacity of the FD also has been enhanced in technical areas through recruitment by UNDP of a Gender and Social Inclusiveness Specialist, Livelihood Development Specialist, Sociologist, a Program Officer, a Project Associate, a Community a Forestry Specialist, a Trainer and a Tamil Translator to assist SLCFP on a contract basis. They were discontinued after completion of the assigned tasks. In addition, Training Manual and Training Guide for EOs on ME Development Facilitation (In Sinhala, Final Report on Development of Micro Finance and Micro Enterprise was prepared and submitted in 2016.

Finally, there remains some weakness in the capacity of the FD to carry out activities in the Northern and Eastern areas of the country due to lack of Tamil forestry officers. The FD made the right choice to extend the SLCFP to districts in the former conflict area, and the Tamil officers there have made a good contribution to the program. Retaining their services would seem to be a high priority.

### 2.2.3 Assessment of the overall effectiveness

The Activity Completion Report (ACR) provides data showing that the program appears to have reduced negative environmental events such as the occurrence of fires and illegal harvesting of timber. This could indicate that deforestation threats have been reduced. Whilst that circumstantial evidence represents a positive sign, a comprehensive assessment of whether the activities supported by the SLCFP are resulting in reduced deforestation will require remote sensing monitoring undertaken over time. This will need to consider whether the forests in the sites where the SLCFP was implemented are being maintained, as well as whether deforestation that would have taken place in these sites is being displaced to other locations rather than being stopped.

The effectiveness of the SLCFP in supporting improvements in livelihoods and reducing poverty will be considered in the section assessing its impact (Section 2.6). This is due to the fact that other aspects of program implementation need to be reviewed before discussing its impact on livelihoods and poverty.

In relation to the effectiveness of CF activities, the SLCFP appears to have been very effective at community participation. Participation in CF activities was mobilized through CBOs. A total 167

CBOs were established with a total membership of 7,953 with 52% (4,107) being females and 48% (3,846) being males. Out of the total number of office bearers of all CBOs, 503 (40.2%) were females and 747 (59.75) were males. Field observation by ICR team shows that the participation of unmarried youth was relatively low though elderly participated proportionately to their age. The CBO meetings varied from 6-12 per year with an average of 4,376 females and 4,200 males participating in them in all 167 CBOs in 2015 as to the ACR. It appears that the participation of CBO members in different program activities varied by gender, type of activity though female participation have been relatively high in almost all activities as males in general have tended to work outside the area as well as females having opportunity to earn cash incomes within the area itself have promoted their participation. Perceived benefits of forests and environmental improvement and enthusiasm created by official stakeholders have meant the assistance by women in fire control activities as well as GSI report suggest.

In plant nursery management, enrichment planting and buffer zones, fire belts and live fire lines establishment, participation by men and women slightly varied from activity to activity and site to site. Female participation in above activities likely to have been induced by their ability to earn extra incomes to meet practical needs, ability to use flexible times and working in groups with low risks involved, being acceptable work socially and culturally as these activities were not considered as hired labour work as well as self fulfillment. Women's participation in activities involving preventing illegal felling of forest trees, for instance, was noted as modest in GSI report. It seemed that men considered that they are less important in forest protection activities and that is a men's job and this position of men was affirmed by many women. This was due to many reasons including the logistic issues, personal security, gender specific and cultural factors defining tasks what women can and cannot do.

All available people at SLCFP sites, irrespective of their gender, economic or social positions reported to have extended their help to forest officials to manage forest fires as and when they occur as revealed by GSI report. Unlike in forest protection tasks, females alone with males have played a major role in controlling forest fires such as by bringing water, supplying bush branches etc and providing food to people who are engaged in controlling those as noted in GSI report. It has been observed that while women owned and operated food plants and horticulture nurseries whilst men owned and operated forest plant nurseries.

### **2.3 Appropriateness of program management and implementation arrangements**

The management of the SLCFP was contracted to the United Nations Development Program and implemented by the Forestry Department. This management arrangement was an evolution from the management of the SLANRMP which was managed and implemented by an Australian managing contractor. The management arrangements for the SLANRMP were suited to a project that was testing new models of community forestry, thus requiring significant inputs of external technical assistance. However, once the FD adopted and improved the model developed by SLANRMP, and scaled up its implementation to the national level. the direct implementation of the program by the FD was appropriate.

Whilst direct funding from Australia to the GoSL for the implementation of the SLCFP could have been considered, contracting the UNDP seemed to be appropriate as it provided an additional level of transparency in program administration and budgeting. UNDP also supported the contracting of the limited number of technical assistance inputs which were beneficial to the SLCFP. The cost of this management arrangement was overall modest at about 8% of total budget, which is a competitive rate compared to most contracted donor activities.

## 2.4 Efficiency

### ***Focusing questions:***

Is the SLCFP likely to result in economically efficient outcomes?

Was the SLCFP efficiently managed to obtain value for money from DFAT inputs (e.g. funds, staff and other resources) and to continually manage risks?

### 2.4.1 Economic and financial efficiency

***Economic and financial efficiency.*** The Feasibility Study (FS) of the design of SLANRMP found the program could yield around 20% return on investment. The ICR Team finds that economic efficiency (calculated on the basis of the Return on Investment, ROI) cannot be assessed on the basis of that study because: i) it is not clear how many hectares of farmer woodlots were assumed to be planted by the FS; ii) the FS assumed teak will mature by year 20, but at all sites visited by the ICR Team the expectation is that maturity would be reached after 25 to 30 years; iii) the price of teak used in the FS (Rs 60,000 m<sup>3</sup>) is not realistic as the current price of teak in 2016 ranged between Rs. 28,000 and Rs. 40,000m<sup>3</sup> in different districts<sup>3</sup>, and on international markets currently (March 2017) ranges between US\$120 and US\$150 m<sup>3</sup>.

In order to assess whether the ROI is positive, a study would need to be undertaken and, ideally, it would calculate:

- i) The ROI for the overall project;
- ii) The ROI for the FWs and agricultural activities promoted by the project, as they are somewhat more straightforward to be assessed compared to other livelihood activities.

Such a study would require about two to three weeks of two staff and it is beyond the scope of the present ICR.

Also, a detailed analysis of the financial efficiency of CF from the farmers' perspective needs to be carried out (also taking into account that farm gates for teak are much lower than the price of marketed timber, and it was indicated by farmers that currently the farm gate price is around Rs 5-6,000 per tree). This analysis is essential to fully understand the benefits that may be received by the households involved in the program. It is also needed in order to determine the mix of crops and trees to be considered in the establishment of FWs as discussed above.

### 2.4.2 Value for money analysis

***Value for money.*** The implementation of SLCFP required about half the budget that had been expended by SLANRMP (AUD10,593,509) and covered about three times the number of sites and forest area. This appears to indicate that SLCFP provided 'value for money', although it needs to be stressed that the significantly higher budget required by SLANRMP was due to the fact that it involved significant testing of the new community forestry model, which in turn required outside expertise. The ICR Team is not in a position to assess whether the cost per site could be reduced in a further expansion of the program, but it may be possible to do so given the FD has considerably greater expertise in implementation of the CF approach, and could be expected therefore to implement it even more efficiently.

---

<sup>3</sup> Information provided by the Sri Lankan State Timber Corporation to Mr Dunstan Fernando.

Program expenditure has largely been in line with budget and there have been no cost overruns. Through effectively mobilising community and other agencies contributions to project supported activities, a significant amount of work has been undertaken. Despite this, without a clear and satisfactory economic efficiency analysis, the ICR Team is not in a position to affirm without reservations that the program could be considered to have provided value for money. This statement does not imply that it did not provide value for money. It means that it might have, but at this stage it cannot be fully confirmed although the ICR Team is inclined to believe that it did provide value for money.

## 2.5 Gender equality

**Focusing questions:** Did the SLCFP adequately identify and effectively address gender equality issues?

Because of the influence of SLANRMP, SLCFP had a particular focus on gender, especially on the participation of females, though at the initial stages gender and social inclusiveness issues had not been given as much prominence as later in the program. However, the situation changed from the third year at a strategic level through studies and training. Women's participation in CBO meetings and paid labour and micro enterprises were found to be appreciable.

The MTR (2014) observed that "Women derive a considerable proportion of the direct benefits of the program, mainly in woodlots, livelihood activities, together with training and impressive economic growth and savings, and indirect benefits of receiving economic support for their family members" and has given a gender rating of 4. However, the MTR did recommend further training on gender equality and social inclusiveness (GSI) issues for FD officers.

Subsequently, attention to GSI issues was increased through the appointment of a GSI expert and a sociologist to analyse issues and train FD staffs and CBO members in 2014. The GSI training for senior staff of FD was completed in November 2014 and for other field staff was completed in 2015. A workbook for EOs on CF activities comprising of topics like community forestry, learning for change, introduction to gender and gender equality and gender responsive programming was prepared, printed and distributed. A study on Gender & Social Inclusiveness was conducted in 2015 followed by the compilation of a report. The above activities show the attention given to GSI issues by the SLCFP.

As the ACR notes, of the total membership of 7,953 in all 167 CBOs in 2014, 52% (4,107) were females and 48% (3,846) were males. Out of the total number of office bearers of all CBOs, 40.2% (503) were females and 59.75 (747) were males whilst women tended to take up roles like secretary and treasurer, rather than the position of president. The ACR also found participation of females in CBO meetings surpassed that of the males in the majority of the sites, the main reason being that males were often engaged in income earning activities within or outside the village. In training, capacity building, micro enterprise activities and through social networking women appear to have benefitted more than men.

Many unemployed or economically less active women in CBOs have been trained on social, communication, marketing, accounting and technical skills and assisted by providing materials and machinery (e.g., sewing and coir making machines) to start and manage micro enterprises. Income from diversified sources has helped women to meet some of their practical and gender



needs.<sup>4</sup> The ACR (2016) observes that participation of women in certain micro enterprises (MEs) is higher than that of men. According to the data collected from CF sites in 2015, involvement of women in ME was much higher than that of men in the majority of the sites. Women's activities mostly included livestock and poultry management, manufacturing of brooms and shoes, food processing and cultivation of nursery plants, vegetables, aloe, ginger and mushrooms, flowers etc. Bags and jaggery<sup>5</sup> production were undertaken by females only while pepper cultivation had equal numbers.

However, there seemed to be unrealized potential for further improvement of performance of MEs. Products of MEs found to be largely oriented to local markets except at few sites and few products showing the need for taking into serious consideration the market expansion potential to scale up. Continuing training and assistance for improving agriculture and manufacturing productivity could have helped. The ICR believe that further strengthening the microfinance (MF) component could also have benefitted women more since the access to financial services was identified as a key constraint to the promotion of MEs in the programme sites by MTR. Potential issues that affect MEs are further discussed under sustainability.

Other source of tangible benefits for women appeared to be increased opportunities for earning incomes through engagement in paid work on tree planting and infrastructure development activities created through the SLCFP. Women also showed certain signs of empowerment like in addressing groups, collective actions, mutual helps, organizing events and dealing with outsiders and official actors etc.

Considering the distribution of economic and social benefits from a gender perspective, there are certain aspects needing further attention. MTR noted that female headed households (FHHs) accounted for about 25% of all the HHs receiving land for FWs. When asked as to this difference in participation in FWs during field visits by ICR, women themselves expressed such ideas as that FWs are for the family and therefore it is of no concern to them that they can't attend to hard work and protection of woodlots at night etc. As GSI report remarks women who had FWs applied for those because the husband was working outside the village, was unwell or unable to work.

If the time granted, FWs could have been a significant source of income for FHHs in Northern and Eastern district as the war has left many widows and this fact should be taken into account in future CF activities those provinces. It is also noted that the male-headed households collect more forest products than the female headed households though only few instances (medicinal items in Baduludena CFP site in Badulla Division and cashew in Aludeniya in Kurunegala Division) where the above activity has been reported community members collecting forest resources and sell them as GSI report noted. The GSI study used only a sample of carefully selected few sites.

Little program information exists as to how equity issues, principles and practices have been implemented across the programme though participation of females, males, adults, handicapped, landless, poor etc. In the districts of north and East, disabled and handicapped,

---

<sup>4</sup>Practical gender needs are the needs of women or men that relate to responsibilities and tasks associated with their traditional gender roles or to immediate perceived necessities. Responding to practical needs can improve quality of life but does not challenge gender divisions or men's and women's position in the society. Strategic gender needs (SGNs) represent what women or men require in order to improve their position or status in regard to each other.

<sup>5</sup> Jaggery is a traditional non-centrifugal cane sugar consumed in Asia, Africa and some countries in the Americas.

FHHs have participated in CF as they present a significant portion of the community. The available information indicate low levels of intentional discrimination of women though systemic issues like attitudes and perception of socially and culturally established gender roles, in particular what women can and should do appears to have had some influence in gender streamlining.

Women perform a significant role in the conservation and management of forests, therefore more pre-planned strategies and activities to integrate their needs including NTFPs should be given attention. For instance, GSI report observed that women preferred trees that could also be used as vegetables, greens and fruits whilst the men preferred trees for hard wood that will have better income.

The FD has long been considered as a male dominated agency and it appears to have started to address this issue in recruiting a number of female extension officers (FEOs) to work with forest communities. For the first time in FD history, females (largely) FEOs have been provided with motor cycles.

## 2.6 Monitoring and evaluation

### ***Focusing questions:***

Did the SLCFP's monitoring and evaluation framework effectively measure progress towards meeting objectives?

Did the SLCFP adequately monitor and report gender equality issues?

Monitoring of program activities was undertaken on a regular basis by conducting quarterly progress review meetings at Regional Steering Committee Meetings chaired by RDCFs, National Steering Committee (NSC) meetings chaired by CGF and at National Program Steering Committee (NPSC) meetings chaired by Secretary, Ministry of Mahaweli Development and Environment and (MMDE) every six months. In addition, quarterly Programme Supervisory Missions and Field Monitoring Missions have been conducted. Further, a Technical Assistance Group mission was carried out in June 2013 and a Mid Term Review was conducted in November 2014. UNDP provided 30,000 USD from its own resources to expedite the procurement activities and support programme monitoring and evaluations in the extended period (2015-2016)

Most of the M&E indicators developed by FD have been prepared in line with the PDD and programme has been relatively effective in monitoring field level activities (inputs, activities, outputs), particularly with basic quantifiable data through its life span and different time periods like at mid-term and project completion.

However, the indicators used do not adequately reflect the socio-economic impacts on livelihood development, social and gender inclusiveness, poverty reduction and distribution of those impacts amongst different sectors of the community. For this reason, observed social and economic conditions at CF sites could not be attributed to SLCFP with cause and effect terms. That would only have been possible if data were available for pre and post program conditions with the same data available for comparable communities with no program intervention.

Therefore, the M&E of social and economic impacts appears to be the major weak link in the M&E framework applied by the SLCFP. M&E system could have attempted to capture how, when, in relation to what activities and extent to which the programme mediate the livelihoods, living conditions and overall wellbeing of the individuals, households, communities and the community institutions with their direction (positive, negative) magnitude (severity and numbers affected due to negative impacts (if at all) by age, sex, ethnicity, religion, duration etc to inform the policy and practice. M&E of SLCFP on the lines listed above could have supported its efforts not only to induce more positive effects and impacts to enhance the program's total positive outcome as well as provide information/analysis for mitigation of unplanned, unanticipated negative effects and impacts, if any. An illustrative example for an unplanned, negative impact would be whether or not some chena cultivators so far depended on degraded land under FD were distributed to others as FWs.

## 2.7 Impact

### ***Focusing questions:***

Were there effects (past, present and expected) positive and negative, primary and secondary, intended or unintended produced by SLCFP directly or indirectly?

Has the SLCFP contributed to improving livelihoods?

Has the SLCFP contributed to poverty reduction?

As noted earlier, there are some data indicating that SLCFP contributed to an improvement in the management of forests. Whether a reduction in deforestation and forest degradation (D&FD) is ultimately achieved can only be accessed through remote sensing analysis at site level and especially at the country wide level. This is due to the fact that a reduction in D&FD at the site level could potentially lead to D&FD in other areas, an event that is known as leakage within the current international discussion on Reducing Emissions from Deforestation and Degradation (REDD+). Such potential leakage needs to be monitored over time. The development of the remote sensing research capability of the FD is therefore essential.

The assessment of the socio-economic effects (past, present and expected) positive and negative, primary and secondary, intended or unintended produced by SLCFP directly or indirectly is difficult as a result of the paucity of data available as discussed under monitoring and evaluation above.

Livelihood and poverty impacts of the SLCFP need to be considered by paying attention to the context in which some of its targeted communities operate. First, many of the CF site communities have been formed by migrated spontaneous settlers on state owned land in the dry zone two-three generations ago and are located in physically marginal areas with poor access roads limiting their access to educational and health services, public transportation and markets. Second, environmental marginality is another factor explaining poverty in program sites. For example, rainfall is largely seasonal and unpredictable in the dry zone of the country on which the major livelihoods of the targeted communities, mainly highland or shifting farming, is dependent on. Associated with above two factors can be intergenerational or chronic poverty. Reduction of chronic poverty phenomenon, if exists, is a complex and difficult task needing broader policy and action support.

The major immediate contribution to livelihoods from the implementation of SLCFP came from the payments to communities for their labour. Substantial labour opportunities with daily pay

have been created in the establishment of FWs, tree planting on degraded areas, planting on live fences, and establishment of fire belts as a new income source. These income opportunities have been effective to boost average daily wage rates in few communities as GSI report notes. Similarly, programme assisted infrastructure development such as roads, irrigation, and agricultural wells also created paid labour opportunities whilst work on community halls was mostly labour donation (*shramadana*) with material supplied by the SLCFP. However, the income impact of these activities on livelihoods may seem non-sustainable due to the fact that this type of income would require further payments from the FD. On the other hand, SLCFP helped micro enterprises establishment, home garden improvements, plant nurseries, and livestock development, and these new income sources contribute to more sustainable enhancement of livelihoods.

The SLCFP has contributed to increase the flow of direct incomes to targeted communities through payments for labour work, ability to earn income through diversification of livelihoods base with assistance provided to establish micro enterprises (MEs) and home gardens (HGs) improvement. According to ACR, forty types of micro enterprises have been implemented by SLCFP until the end of 2015 in 17 districts benefitting a total of 3,871 CBO members with additional monthly income of over Rs. 2,217,000. Of the forty types of MEs introduced, livestock & poultry management, floriculture, carpentry (only a few engaged), tailoring and Jaggery production are the income generating MEs with success. ACR reports that above mentioned MEs provided monthly income of over Rs. 100,000 per type. Bee keeping, vegetable cultivation, mushroom, pepper and betel cultivation, fresh water fish production, handicraft and sweet production are the mostly adopted MEs in most of the CF sites. On the other hand, it is noted MEs involving mushroom, incense stick, candle making etc have been not successful implicating the need for less priority on those in future CF activities.

Agricultural intensification and diversification of home gardens as well as engagement in livelihoods like microenterprises have the potential of improving food availability and disposable incomes to purchase food at the household level though not recorded.

FWs provided income from inter cropping those with seasonal food crops between 3-5 years and pruning of excess trees from time to time and finally cash sale of 80% of trees at maturity is expected to bring in substantial income for participating farmers. Improved infrastructure under SLCFP activities should have enhanced livelihood opportunities and living standards by improving access to markets and services. Direct contribution to incomes and food security also are likely to have emanated from construction or repair of minor water supply schemes and minor tank rehabilitation to enhance water availability for farming and household purposes. Further, the program is likely to have improved communities' overall resilience through improvements to natural, human and social capital. Self-Help Groups (SHGs) established and integrated with forest CBOs during the community mobilization are effective in mutual help and the implementation of micro-finance (MF) activities and networking to foster market links under the program. Effective MF activities are a long tradition in the sites even before the advent of CF activities and recovery rates of lend money is very high. Eventually, growth in MF funds likely to help MEs of small scale like poultry farming.

According to the ACR, the extent of *chena* (shifting) cultivation in 11 districts between 2013 and 2016 appears to have decreased including in SLCFP districts such as Ampara, Batticaloa, Anuradhapura and Moneragala. In Ampara district alone reported reduction is 665 ha (from 1,140 ha to 475 ha). This could be due to a range of factors beyond the SLCFP, such as improving overall employment opportunities and incomes at district levels, reduced availability of land for *chena* cultivation and increasing awareness of forest and land degradation problems. However, it is a good trend in reduction of *chena* cultivation that is associated with forest, land and water resources degradation in dry zone districts.

Besides direct income generation, the program implemented activities that have induced changes in skills and capacity, perception, behaviour, and values conducive to the expansion of economic activities at the program sites. The SLCFP has made a positive contribution to increasing community resilience by improved natural resource management and physical capital. However, the number of people actually impacted and magnitude of impact is undecided due to paucity of data. The PDD included potential indirect beneficiaries, but it is not clear how that number can be calculated as already noted earlier.

Livelihood improvement activities like micro enterprises, home garden improvements, livestock farming, tree and plant nursery management at the scale they operate and income earned through providing labour for program activities do not equate with poverty reduction. Whether the SLCFP has actually reduced poverty cannot be objectively assessed due mainly to lack of quantitative data at the baseline and later as impact evaluation at midterm or end of the program, as already noted in the section on Monitoring and Evaluation.

## 2.8 Sustainability

### ***Focusing questions:***

Are the activities supported by SLCFP likely to continue after program assistance has been completed?

Are the benefits generated by SLCFP, if any, likely to continue after program assistance has been completed?

What is the quality of relationships developed between stakeholders at national and district levels, communities and service providers, microfinance institutions and the potential for sustaining these partnerships and relationships following the end of the project? (CDE)

There are several aspects to the issue of sustainability which are considered below and relate to: institutions, finance, community development, and the environment.

***Institutionally***, the approach developed by SLANRMP and further expanded by SLCFP appears almost certain to be sustained given that the FD is fully committed to its implementation.

Community Based Forest Management is considered as the most important forest policy development of the past 2 to 3 decades. The Strategy Paper prepared by the FD set out the strategic objectives, actions and resources needed for the effective implementation of a national level community forest management program in Sri Lanka with the goal indicated as of “Encourage communities in and around forests in Sri Lanka to engage in protection, development and management of their adjacent forest resources and improve their access to derive equitable benefits from forest management activities. Therefore, it is likely the implementation of CFM will continue.

The FD has established positive links with a broad range of stakeholders working at the national, district, divisional and village levels, the organizations involved in the natural resource management sector in the country including non-government organizations and CBOs during the implementation of the programme. The programme also has enlisted other agencies involved in development of rural and agricultural sectors like agriculture, horticulture, rubber and tea smallholder departments and Cashew Corporation to assist the CBOs with a scaling up effect on the FD investment impact. The programme supported home garden development activities were implemented with planting material and extension support of agriculture, minor export crops and horticulture departments.

Other GOs that has been linked include Agrarian Services (for supply of inputs such as fertilizer and agro-chemicals and management of minor irrigation tanks), Livestock Development Board (to support animal husbandry through incentives, technology and extension), Minor Export Crops Department (for extension, incentives and purchase of products) and provincial councils through provincial ministries. Banks like the Rural Development Bank has been enlisted to support promotion of savings and credit whilst saving and micro credit facilities through microfinance activities of CBOs have also being established. How many of the international and national NGOs and international agencies like CARE International, World Vision, Plan International and Sewalanka, Sarvodaya are enlisted to support is not apparent except for UNDP that became SLCFP's implementation partner. UNDP is said to be committed to support the forestry sector, especially the CF approach in the country and lately it has developed positive relations with FD. There have been few attempts with partnerships with private sector for enhancing markets opportunities though this process appears to be in its early stages and need more attention in future works.

**Financially**, the FD has already obtained approval of the budget to continue the implementation of CF, which will also be included in the new World Bank funded project Eco Systems Conservation and Management Project (ESCAMP).

The sustainability of **community development impacts** will depend on the continued dynamism of the CBOs, new income generation activities created through micro enterprises, use of imparted knowledge and networking as there will be no more income transfers from the program. The program has contributed to lasting impact for economic development through the establishment of FWs, building the natural and physical capital like reforestation, fire protection, land rehabilitation, control of soil erosion, and irrigation improvement to assist future income earning capabilities. Active and networking CBOs are essential to maintaining the positive improvements achieved by SLCFP.

The SLCFP has connected CBOs with service providers of public and private sector agencies and NGOs at many sites and they have developed the capacity to use their help for agriculture, animal husbandry and M&E works. Under SLCFP, micro finance and micro enterprise development (MFME) training has been provided to the relevant EOs and CBO members, provided them with analytical tools to assess MFME, information of micro finance schemes available in the areas and have established initial link with the service providers. It was found that MEs that became popular in SLCPF like home gardens, agro forestry, livestock development etc has had a spreading effect in SLNRMP even after its completion.

However, it is too early to assess the sustainability of many MFME activities established under SLCFP. This is because the variety of MEs that were established under SLNRMP, some survived and some expanded but most of the MEs have ended mainly because of lack of follow up action according to the Micro Finance and Micro Enterprise consultant's report (2014). Above report also notes that entrepreneurs were depended on further external support as they lacked self-confidence, managerial training and experience, access to credit (or interest rates were high), were unable to adopt new technologies. The poor infrastructure, lack of marketing information and market linkages were the other factors contributing to the downfall of some MEs under SLNRMP. Thus, given the successes and lack of those impacting MFMEs, capacity and motivation of EOs to help in establishing linkages and marketing opportunities, raw material availability, profitability, selecting the suitable activities and supporting most appropriate persons to carry out those, suitability of the technology to the specific area, lack of proper monitoring process and follow up appear to be factors influencing success of MFMEs.

Finally, **environmental sustainability** will depend on whether the communities have enough resources and income: if that eventuates, they will not need to deforest to establish fields or degrade the forest to extract products. Further intensification of the FWs as discussed above, and development of home gardens, are fundamental to achieving environmental sustainability.

### 3 Lessons learned

#### ***Focusing questions:***

What are the technical and management / operational lessons can be learned from the Australian intervention?

How can these lessons be integrated into future management of CF?

From the perspective of the GoSL, the most important lesson learnt through SLANRMP and SLCFP has been summarised in the ACR of SLCFP: ***meaningful participation of communities in forest management is fundamental*** to improving their livelihoods and reducing deforestation and forest degradation.

Related to the first lesson, the second lesson is that ***working closely with communities improves trust*** between the community and FD staff. Communities are thus more willing to alert the FD to illegal activities in the forest.

Third, trust is important, but ***the wellbeing of communities*** depends to a great extent on availability of land for cropping for consumption and sale, and from alternative income sources. Therefore, intensifying land use as much as possible, through more diverse FWs and planting useful trees in buffer zones and enriched areas.

Fourth, some ***SLCFP sites have been implemented in areas affected by social and environmental marginality***. The people in these areas have come from other areas and are affected by inter generational (chronic) poverty. This is hard to reduce and the FD will have to continue long term engagement with those communities in order to stabilize forest cover.

The ***CF approach proved to be the preferred approach*** not only in terms for augmenting forest resources and addressing forest management issues effectively, efficiently, cost-effectively, sustainably, but also helping the physically and environmentally marginal communities in Sri Lanka with community and livelihood development opportunities.

***Farmer Woodlots*** appeared to be a major attraction for active community participation. Therefore, need for tree species selection or spacing design that can continue to generate income from intercropping with implication for continued attention to FWs found be useful in CF approach.

In relation to development assistance, a key lesson of the SLCFP is that in some circumstances ***it may take many years to develop appropriate resource management models that are socially, financially, institutionally and environmentally sustainable***. But that commitment can prove beneficial to communities, the country and its environment.

### 4 Recommendations

#### ***Focusing questions:***

What conclusions, challenges and recommendations can be made from this intervention?

The ICR Team ***recommends*** that the FD consider:

- Increasing the role of communities in the management of enrichment and buffer zone plantings whenever they can be planted with species useful to communities.
- Modifying the planting density of teak woodlots to allow much longer intercropping of annual crops, and including a mix of fruit and nut tree species that generate more regular income.

- Carrying out the analysis of the financial efficiency from the farmers' perspective of alternative models of the FWs to maximise their benefits, thus reducing threats to forests in the area.
- CBOs that have been established under SLCFP have functioned as the link or entry point to the program sites for other agencies entrusted with rural and agricultural development. Strengthening such links is needed to have a scaling up effect and sustain community development outcomes. CBOs should be supported to network with other CBOs locally, and across sites to share the experience and stimulate their work.
- Continuing the engagement with communities in conflict affected areas to further build trust by supporting diversified home gardens and inclusion of useful species in buffer zone and enrichment planting areas (which involve farmers in the choice of species).
- Recruiting Tamil officers for the Northern and Eastern district areas;
- Assessing how to make the establishment of new sites could be reduced to make even more cost effective the future expansion of the program; this could be done by considering the costs of community forestry and reforestation initiatives carried out by other countries in the region;
- The monitoring and evaluation of livelihood impacts should also include compiling and reporting of disaggregated data for relevant variables like percentage participation by gender (dichotomized also for single parent households), activities engaged in, income earned per period and percentage of contribution to household income of CF activities.
- Sampling to collect information should be stratified so that fewer sites would need to be monitored. Sampling should include cases of matching non-program communities as control groups so that the impact of CF activities can be better assessed.
- Field staff should be trained to undertake aggregation and simple analysis for them to understand their own performance and set new targets.
- Seeking funding to further develop capacity in remote sensing research and monitoring.
- Carrying out a strategic planning exercise (by analysing all the Range Management Plans that have been prepared) to identify the areas that would need to be targeted through CF in order to develop a medium to long term plan for the expansion of CF and assess priorities and potential costs.



## **Annex 1 Terms of Reference of the ICR Mission**

### **SRI LANKA COMMUNITY FORESTRY PROGRAM (SLCFP)**

---

#### **1. Purpose**

These Terms of Reference have been developed for the purpose of undertaking an independent review of the Sri Lanka Community Forestry Project (SLCFP) at project completion. DFAT investments over AUD 10 million are required to complete at least one independent evaluation during the life of the investment. However, in the case of the Community Forestry Project, Colombo Post decided to conduct two independent evaluations to measure the impacts of the investment of AUD4.97. The first evaluation (Mid-Term Review – MTR) was conducted in 2014 to ensure whether the project is on track to achieve its goals and MTR was effective in shaping up the implementation strategies especially in the post-conflict situation. While an additional independent evaluation is not required according to DFAT guidelines, Colombo Post proposes to field an ICR to document its experience in community forestry based on the following reasons:

- Australian investments in community forestry in Sri Lanka started in the early 1990s. Based on the experience in the region (Egg. Nepal etc.), Australia has introduced effective community forestry concepts and models to improve the country's forest cover while providing economic support to forestry communities in remote locations. It will be beneficial for both countries and other stakeholders to study the evidence and impacts of the long-standing relationship in this particular sector.
- The current investment in community forestry will also be the last DFAT investment in the sector. As per the new Aid Investment Plan for Sri Lanka 2015/16 to 2019/20, Australia's focus will shift towards creating more economic opportunities for the poor, improving governance at national and sub-national levels and empowering women and girls. Therefore, it will be worthwhile to assess the achievements of this final investment and document the experiences and lessons learned through the project.

#### **2. Background**

The Sri Lanka Community Forestry Project (SLCFP) commenced to consolidate the forestry development activities implemented by the Sri Lanka Australia Natural Resource Management Project (SLANRMP) implemented from 2003 to 2009. SLANRMP was developed on the recommendations made by a Project Identification Mission in March 1999. It was formulated based on experience and lessons learned by two donor-funded forestry programs, namely the Community Forestry Program (CFP), in 1983 and the Participatory Forestry Program (PFP), in 1990. SLANRMP was a successful pilot project implemented in five districts and there were a number of benefits to communities, partner government and other stakeholders.

The Sri Lanka Community Forestry Program (SLCFP) commenced in 2012 and will be completed in December 2016<sup>6</sup>. The program design was based on the 'Strategy for Community

---

<sup>6</sup> A one year extension from its original completion date of 31 Dec 2015 was granted by DFAT as there was a delay in approving the program by GoSL, Forest Department requested a no cost extension to make use of full funding allocations.

Forestry Management’ developed by the Forest Department in 2008. The community forestry approach is well established in Sri Lanka and agrees with GoSL environmental and economic development strategies for the country.

The Australian government supported the community forestry program with grant funding of AUD 4.97 million. The estimated additional GoSL contribution was around LKR 80 million (approximately AUD 730,000). UNDP manages the program on behalf of DFAT and the Conservator General of Forests (CGF) is responsible for project implementation within the Forest Department.

The goal of SLCFP is to improve the management of natural resources to support livelihoods and contribute to poverty reduction in the dry and intermediate zones of Sri Lanka. In addition, program has focused on new areas based on the experience gained by previous interventions. Accordingly, gender, sociological and livelihood aspects were considered as important areas to address through the program. (Please refer the program brief attached). The program has been implemented in 18 administrative districts benefiting 167 forest communities (approximately 125,000 individuals) across 167 sites. Nearly 23,500 hectares of forests were developed through Farmer’s Wood Lots, Buffer Zone Planting and enrichment of catchments and home gardens.

### 3. Objectives of the ICR

The overall objective of the Independent Completion Report (ICR) is to provide DFAT with information that will independently assess the performance and achievements by the project. The ICR will enable DFAT to review and assess the success of SLCFP towards meeting its overall goals. The objectives of this review are:

- To assess the performance of SLCFP against the program objectives;
- To identify key lessons learned through program activities; and
- To comment on the actions required that may increase sustainability.

### 4. Scope of Services:

The review will focus on SLCFP performance in delivering the outputs, achievements and outcomes specified in the design and will assess the program in terms of overall aid effectiveness. It will also identify and draw lessons from what has and what has not worked and implications on future programming in this sector by other actors.

The ICR Mission will focus in more depth on (but not limited to) the following:

- Assess the implementation performance of SLCFP, against the performance indicators contained in the project design. Performance will be assessed using the elements of:
  - **Relevance** - the extent to which the objectives of SLCFP are consistent with beneficiaries’ requirements, country needs and GoSL and Government of Australia (GOA) policies.
  - **Effectiveness** - whether the program achieved its stated objectives.

- **Efficiency** - whether the Program was efficiently managed to obtain value for money from DFAT inputs (e.g. funds, staff and other resources) and to continually manage risks.
- **Gender Equality**- whether the Program adequately identified and is effectively addressing, monitoring and reporting on gender equality issues.
- **Monitoring and Evaluation (M&E)** - whether the program's monitoring and evaluation framework effectively measured progress towards meeting objectives.
- **Impact** - the positive and negative, primary and secondary long term effects produced by SLCFP, directly or indirectly, intended or unintended, and
- **Sustainability** - the likely continuation of benefits from SLCFP after project assistance has been completed;
- Assess how SLCFP has contributed to poverty reduction (i.e. at the goal level);
- Assess how effectively SLCFP has contributed to policy and regulatory change, and has increased the capacity of the GoSL (FD) to manage natural resources, especially through community forestry programs;
- Assess tested fielded models of Community Forestry replications by the Forest Department (FD);
- Document key lessons learned from the implementation of SLCFP and make recommendations on how these lessons can be integrated into future management.
- Comment on the Partner Government's views/perceptions on the relative successes (or otherwise) of the project, including their experience of project implementation, and of themselves as implementing partners; and
- Assess the quality of relationships developed between stakeholders at national and provincial levels, communities and service providers, microfinance institutions and the potential for sustaining these partnerships and relationships following the end of the project.

## 5. Key questions to address by the evaluation

1. How CFP evolved and expanded in the country and how it influenced the current CFP?
2. Has the current CFP delivered its original aims and objectives? If not why?
3. What observable changes created by the project in relation to policy, operational and resource management factors?
4. Does the program represent the most efficient and cost effective approach to achieving project objectives?
5. What are the technical and management / operational lessons can be learned from the Australian intervention?
6. What conclusions, challenges and recommendations can be made from this intervention?

## 6. Evaluation Process

The ICR process is intending to be participatory and constructive ensuring all views to be taken on board. The ICR comprises of both desk review and in-country field review. The ICR will undertake, but not be limited to, the following tasks:

**i. Pre-Mission Document Review, Consultations and Evaluation Plan:**

- Preparatory activities and data collection in Australia, including a desk review of SLCFP documents (PDD, MTR, other Monitoring Reports and Annual Reports etc.), discussions and telephone interviews with UNDP and FD staff involved in project implementation, members of the MTR, relevant DFAT officers and project consultants (approximately 3 days).

**ii. Evaluation Plan by ICR Team**

- An **Evaluation Plan** should be submitted by the ICR Team Leader to the evaluation manager prior to the in-country mission. This plan includes (but not limited to), method/s of data collection, possible (open-ended) questions for field interviews (structured or semi-structured), schedule for site visits, roles and functions of team members and how ICR will address evaluation questions to meet evaluation objectives.

**iii. In-country Field Review:**

- Assessment of SLCFP implementation in Sri Lanka, including discussions and interviews with direct counterparts and senior management of the Forest Department, other project stakeholders, and staff of the Australian High Commission (DFAT) to review the project's benefits, strengths, weaknesses and implementation issues (approximately 2 days).
- A program of field visits to project sites to conduct structured interviews with community representatives, project participants and beneficiaries, partner organisations, microfinance institutions, staff of District authorities and field staff of the Forest Department at District and site levels (approximately 11 days – including travel time).
- The selection of sites for visits is to be done within the selected districts based on agreed selection criteria.

**iv. Presentation of Initial Findings**

- Analysis, report drafting and presentation of preliminary findings (through an Aide Memoire) at a mission debriefing to DFAT and GoSL in Sri Lanka (approximately 2 days).

**v. Reporting and Peer-Review**

- Drafting of ICR in Australia and submission to DFAT with the Draft AQC including provision of ratings as appropriate and submit to DFAT as per attached AQC template at Annex 2 (approximately 3 days).
- The MissionLeader will participate in an internal Australian Aid / DFAT Peer Review (if necessary) that will consider the review report from a range of policy, thematic, program and country perspectives.
- Finalisation of ICR drawing on clarifications and comments received from DFAT and FD (2 days) – Team Leader only).

## **vi. Work Plan for ICR Team**

The Review Mission will be conducted over a period of 23 days inclusive. This will include 9 office days and 14 field days, including travel time. Mission will commence review work in country on 9 January 2017 and conclude on 21 April 2017. It is also important that Mission should spend sufficient time with communities in project sites to discuss program implementation issues. (Please refer attached time frame at Annex 4).

## **7. Specifications of the team members**

The review mission will consist of two professional members as indicated below.

### **i. Team Leader (NRM Expert)**

The Team Leader should have the expertise and experience as specified below.

- Excellent theoretical and practical base in natural resource management (NRM) including community forestry<sup>7</sup>;
- Excellent thematic and regional expertise in NRM and community forestry;
- Substantial professional experience in the design, monitoring / evaluation and review of overseas development projects, including those in the natural resource management sector;
- Facilitation skills and ability to use participatory processes for evaluation purposes, including at the community level;
- Ability to work with Australian and Sri Lankan management and technical/professional staff;
- Leadership ability to function as a team leader and ability to coordinate within the team and other stakeholders;
- Experience in organisational capacity improvement and institutional strengthening;
- Experience in aid quality impact and effectiveness assessment reporting; and
- More than 15 years' experience in implementing, monitoring and evaluating of natural resource management and community forestry programs.

### **ii. Community Development Expert (A local consultant)**

- Excellent theoretical and practical base on sociological and community participation / development aspects with rural communities;
- Substantial professional experience in the design, monitoring / evaluation and review of overseas development projects, including those in the natural resource management sector;
- Ability to work with Australian and Sri Lankan management and technical/professional staff;
- Experience in aid quality impact and effectiveness assessment reporting;
- Experience in sociological aspects (including gender), community development, rural livelihoods and microfinance activities;

---

<sup>7</sup> NRM and Community forestry including, Farmers' Wood Lots, Enrichment Planting, Buffer Zone Planting, Home Gardening and Non-timer Forest Products (NTFP).

- Experience with Australian and Sri Lankan government systems and procedures, and be familiar with the operating environment for aid project delivery in Sri Lanka; and
- More than 15 years' experience in community development programs with rural communities.

## 8. Key responsibilities of consultants

The team leader mainly focuses on community forestry aspects in the project. He needs to study and appraise on-going forestry activities in project sites in order to justify the community forestry is cost-effective and acceptable to communities and agree with the environment. His / her technical inputs are more important to upgrade the quality of forestry, water management and home garden components as well. He is also responsible for institutional strengthening and capacity building aspects of stakeholders. In addition, he / she will study the involvement of donors towards policy changes to promote community forest management system.

The community development expert's inputs are more important to study and appraise programs launched by the project on rural and community development aspects. He / she should spend more than 80% of his time with the communities in different sites. Village level planning and implementation, community involvement, income generation, micro enterprises, religious and cultural activities, minor irrigation and supplementary water facilities are the key areas to be considered under rural / community development sector. He / she should study the impacts and results of Training facility at the community level as well.

The ICR mission team members will be responsible for:

- Finalisation of their all international travel;
- Liaison with DFAT (Colombo Post) for preparation/finalisation of work program and meeting schedules prior to mobilisation in-country for the mission;
- Initial planning and review of relevant documentation;
- Coordination among team members on specific tasks during the mission, managed by the Team Leader;
- Cooperation with DFAT, UNDP and GOSL to present and discuss the Aide-Memoire before mission leaves Sri Lanka.

## 9. Reporting

At the conclusion of the Mission the Team will provide following:

- 1 **An Aide Memoire** – The Mission will present the preliminary findings of the in-country field work in the form of an Aid Memoire (up to 5 pages plus annexes) and verbal debrief prior to departure from Sri Lanka.
- 2 **Draft Completion Report** - The first draft of the completion report (up to 25 pages plus annexes) will be submitted to DFAT Colombo office for comment. This report should be submitted to the Post within 20 days of the completion of the field mission.

In addition, the ICR will make use of DFAT's independent evaluation guidelines (Annex 1), including the Aid Quality Check (AQC - Annex 2) for reporting.

Post will forward the draft report to UNDP and FD for comments. All comments from stakeholders will be forwarded to the Mission Leader in order to finalise the main report.

- 3 **Final Draft Completion Report** –The final draft completion report (around 25 pages plus annexes) incorporating DFAT and other stakeholders' comments will be submitted to DFAT, Colombo office and it will be peer reviewed (if necessary) by DFAT with the participation of the mission leader.
- 4 **Final Evaluation Report** – The final Completion Report will be submitted to DFAT, incorporating peer review comments and suggestions.

The final completion report should be a brief, clear and cogent summary of the review outcomes, focusing on a balanced analysis of issues faced by the Program and it should recommend ways to overcome any problems identified. Annexes should be limited to those that are essential for understanding the text.

The reports produced for circulation and comment must include a disclaimer that the views expressed are those of the ICR team and do not necessarily reflect the views of DFAT or the Australian Government.

## 10. Background Information for Review

The Contractor will refer (but not be limited to) the following background documents:

- DFAT Country Program Strategy
- DFAT Aid Quality Check (AQC) Reports
- Sri Lanka Community Forestry Strategy by Forest Department
- SLCFP Project Design Document (PDD)
- SLCFP Draft Project Completion Report
- SLCFP Monitoring and Evaluation (M & E) Framework
- SLCFP Annual Reports 2013,14,15
- Program Supervisory Mission (PSM) Reports
- Mid Term Review (MTR) Report
- Other Reports done by SLCFP consultants
- Minutes of PCC meetings
- Other relevant reports / documents upon request.

## Annex 2 Evaluation Plan

### **Evaluation Plan Independent Completion Report (ICR) SRI LANKA COMMUNITY FORESTRY PROGRAM (SLCFP)**

#### *1. Primary intended users of the evaluation*

The primary users of the evaluation are:

1. Officials of the Government of Sri Lanka with responsibility to implement community forestry programs;
2. Financial authorities of the GoSL, such as the Finance Ministry, who may consider the financial / economic viability of the CF approach;
3. Officials of the Government of Australia with responsibility to implement natural resource management programs.
4. Officials of development agencies who may be interested to support CF in Sri Lanka.

#### *2. Collaborative evaluation approach*

The evaluation will be conducted in a collaborative way:

1. The preparation of the evaluation plan involves input from the Team Leader, the Community Development Expert and the DFAT official responsible for the management of the ICR mission.
2. The evaluation Plan is circulated to the officials of the GOSL who had involvement in the management of the SLCFP, and their views on the Plan are to be included in the final plan. Their views will be sought during the first meeting in Colombo.
3. The ICR Team will seek the views of the parties involved in the SLCFP in addressing the questions listed in Section 5.
4. The ICR Team will revise the report to acknowledge the views expressed on the drafts by the parties involved in the SLCFP.

#### *3. Objectives*

The overall objective of the Independent Completion Report (ICR) is to provide DFAT with information that will independently assess the performance and achievements by the project. The ICR will enable DFAT to review and assess the success of SLCFP towards meeting its overall goals and objectives. The objectives of this review are:

- To assess the performance of SLCFP against the program objectives;
- To identify key lessons learned through program activities; and
- To comment on the actions required that may increase sustainability.

#### *4. Proposed process*

The evaluation will be predominantly descriptive as there is insufficient baseline and comparative information to carry out a cause and effect analysis. Cases of some of the communities involved in the program will be used for the evaluation. The main methods used



include: review of program documentation; interviews with government officials from the Australian and Sri Lankan Governments; representatives of UNDP; presentations by Sri Lankan government officials; interviews with communities, partner agencies, service providers and microfinance institutions.

### 5. Key Evaluation Questions and Methods

The following are the key questions and sub-questions to be addressed by the ICR (which will be used as check list in the field, supplemented by more detailed questions). In parenthesis, it is indicated the ICR team member who has main responsibility for addressing the question (TL: Team Leader; CDE: Community Development Expert), although both team members may need to contribute to addressing some of the questions. The latter input will be discussed during the initial in-country meeting between the TL and the CDE. The Methods used to collect the information are listed under each question.

7. Were the objectives of the SLCFP consistent with beneficiaries' requirements, country needs and GoSL and Government of Australia (GOA) policies? (TL)

Methods: Review of country policies, and program documentation; interviews with government officials from the Australian and Sri Lankan Governments.

8. Has the SLCFP effectively achieved its aims and objectives? (TL/CDE)  
If not, why?  
If yes, what have been the main facilitating factors?

Methods: Review of program documentation; interviews with government officials from the Australian and Sri Lankan Governments; interviews with communities in the field; presentations by Sri Lankan government officials.

9. Has the SLCFP contributed to poverty reduction? (CDE)

Methods: Review of program documentation and other relevant documents; interviews with government officials from the Australian and Sri Lankan Governments; interviews with communities in the field and other relevant stakeholders.

10. Has the SLCFP adequately identified and is effectively addressing, monitoring and reporting on gender equality issues? (CDE)

Methods: Review of program documentation; interviews with government officials from the Australian and Sri Lankan Governments; interviews with communities.

11. What are the Partner Government's views/perceptions on the relative successes (or otherwise) of the project, including their experience of project implementation, and of themselves as implementing partners? (CDE)

Methods: interviews with government officials from the Sri Lankan Government.

12. What observable changes created by the project in relation to policy, operational and resource management factors? (TL)

- a. In particular, how did Community Forestry (CF) evolve and expanded in the country and how did it influence the current CFP?
- b. How has the current CFP influenced the further development of CF in the country?
- c. Has the SLCFP has contributed to policy and regulatory change?
- d. Has the SLCFP increased the capacity of the GoSL (FD) to manage natural resources, especially through community forestry programs?
- e. Have the tested field models of Community Forestry implemented by the Forest Department (FD) being successful? What could be improved? Have they been scaled up?

Methods: Review of program documentation; interviews with government officials from the Sri Lankan Government.

13. Did the program represent the most efficient and cost effective approach to achieving project objectives? (TL)

Methods: Review of program documentation; interviews with government officials from the Australian and Sri Lankan Governments; interviews with representatives of UNDP; interviews with program beneficiaries.

14. Did the program's monitoring and evaluation framework effectively measured progress towards meeting objectives? (CDE)

Methods: Review of program documentation; interviews with government officials from the Australian and Sri Lankan Governments; interviews with representatives of UNDP. Triangulation and synthesis of findings above with community level observation during the field visit.

15. What is the quality of relationships developed between stakeholders at national and provincial levels, communities and service providers, microfinance institutions and the potential for sustaining these partnerships and relationships following the end of the project? (CDE)

Methods: Interviews with government officials from the Sri Lankan Governments; interviews with communities, service providers, and microfinance institutions.

16. Is the continuation of benefits (to all stakeholders involved) from SLCFP after the completion of project assistance likely? (CDE)

Methods: Review of program documentation; interviews with government officials from the Sri Lankan Governments; interviews with communities, service providers, and microfinance institutions.

17. What are the technical and management / operational lessons can be learned from the Australian intervention? How can these lessons can be integrated into future management of CF? (TL/CDE)

Methods: Review of program documentation; analysis and synthesis of responses to the individual questions listed above.

18. What conclusions, challenges and recommendations can be made from this intervention? (TL/CDE)

Methods: Review of program documentation; interviews with government officials from the Australian and Sri Lankan Governments; interviews with representatives of UNDP, interviews with service providers and microfinance institutions; analysis and synthesis of responses to the individual questions listed above.

The schedule of in-country activities for the evaluation (Annex 1) has been developed to ensure that sufficient time is allocated to collect information from the relevant stakeholders, including a sample of communities involved in the SLCFP.

In relation to interviews with communities, as well as with all the other interviewees, the data collected will be stored and reported in ways that do not inadvertently identify informants.

*6. Limitations or constraints for the evaluation*

The time available for the evaluation has informed the approach to the evaluation. Given that the time is somewhat limited, the evaluation will be exploratory, rather than attempting to establish cause and effect through the use of extensive quantitative data collection and analysis.

### Annex 3 Itinerary of ICR Mission

Date (2017)	Time	Program	Accommodation
15 Jan Sunday		ICR Team Leader arrives Colombo	
16 Jan Monday	09.30 – 10.30 10.30 – 10.45  10.45 – 12.00  12.30 – 13.30  14.30 – 16.30	ICR Team Leader meets CDE  Travel to AHC  ICR Team meets DFAT staff at AHC  The mission meets UNDP officials at UNDP  Meeting with FD officials (CGF, CF & others)	At Cinnamon Red
17 Jan Tuesday	08.30 -11.00  11.00 – 16.00  17.00 - 1800	Mission meets CFP consultants at UNDP (Mr B, Dr D, Professor K & Dase)  Travel to Marichcikattuwa via Puttalam  Back to Puttalam (Rs. 6,500 BB)	Senanayaka Guest in Puttalam – 032/2265403
18 Jan Wed.	08.00 – 09.00 09.15 – 10.30	Travel to Puttalam Meet Puttalam DFO and field officers	
	10.15 – 10.45	Travel to Karuwalagas wewa	
	10.45 – 12.30	Inspect Pahariya	
		Travel to Mahenyaya	
	13.00 – 15.30	Inspect Mahahenyaya	
	16.00 – 17.30	Travel to Kurunegala	Kandyan Reach 037-22245440

19 Jan Thursday	08.00 09.30	–	Meet DFO and field officers + presentation on Biodiversity Monitoring at Kumbalpola	
	10.00 16.00	–	Travel to Kilinochchi	
	16.00 17.30	–	Inspect Thelikarai site	
	17.30 18.30	–	Meet DFO and officials at Thelikarai RFO's office	
			Accommodation in Kilinochchi	Friends Inn – 077 399 9210
20 Jan Friday	07.30 11.00	–	Travel to A'pura – Mahakirindegama – Meet RFO and EOs in Mihintale	
	11.00 13.00	–	Inspect Mahakirindegama sites (old & new)	
	13.15 14.30	–	Travel to Kekirawa	
	14.30 17.00	–	Inspect Rathmalkanda	
	17.00 18.30	–	Travel to Kandy	Riverdale Hotel – 081-2223020
21 Jan Saturday	08.00 10.00	–	Meet DFO and her staff – Presentation by DFO	
	10.00 11.30	–	Leave Kandy and travel to the site	
	11.30 15.00	–	Visit Kokagala site	
	15.30 16.30	–	Travel to Mahiyanganaya	
	16.30 17.30	–	Meet RFO and officers in Mahiyanganaya	
			Accommodation in Mahiyanganay	Sorabora Gedera - 0777126512
22 Jan Sunday	08.00 09.45	–	Travel to Bibile	
	10.00 14.00	–	Visit Katupalalla site	
	14.00 18.00	–	Travel back to Colombo	Accommodation in Colombo
23 Jan	Full day		Report writing	Accommodation in Colombo

Monday			
24 Jan - Tuesday	Full day	Report writing	Accommodation in Colombo
25 Jan - Wednesday	10.00 14.00 20.00	Mission sends the draft Aide Memoire to DFAT DFAT provides comments  Mission finalizes the Draft Aide Memoire incorporating DFAT comments and send back to DFAT  DFAT to share the draft Aide Memoire with UNDP and FD	Accommodation in Colombo
26 Jan	16.00 18.00	Comments by UNDP and FD  Mission finalizes the Aide Memoire incorporating comments and share the final report with DFAT	Accommodation in Colombo
27 Jan	08.30 – 09.30 11.00 – 13.00	Meet DFAT officials - brief by the mission  Aide Memoire presentation at the Ministry of Mahaweli Development & Environment	Accommodation in Colombo
28 Jan	Full day	Report writing, Team Leader departs	

## Annex 4 List of people and organizations met by ICR Mission

No	Name of the Officer	Designation	
<b>Colombo</b>			
1	Ms Charlotte Blundell	Councillor, DFAT	
2	Ms Dulani Sirisena	Program Manager, DFAT	
3	Mr Dunstan Fernando	Program officer, DFAT	
4	Mr R. S. Kulathunge	Acting CGF, FD	
5	Mr Lal Abeygunasekara	Conservator of Forest, FD	
6	Ms Visaka Hedallage	Assistant Country Director, UNDP	
7	Mr Ramaitha Wijethunge	Program Managerr, UNDP	
8	Mr Herath Bandarathilake	Community Forestry Expert	
9	Mr W. Dasanayake	Livelihood Expert	
10	Dr S. B. Dissanayake	Social Equity and Gender Expert	
11	Professor K. Karunathilake	Sociologist	
<b>PuttalamDistrict</b>			
1	Mr B. M. B. Bandara	Divisional Forest Officer – (DFO)	
2	Mr H. M. Warunapriya	Additional DFO	
3	Mr S. Buddhadasa	Forester	
4	Mr M. Uplai Ranbanda	EEO	
5	Mr D. A. K. W Kumara	Range Forest Officer (RFO)	
6	Mr M. P. S. P. Marasinghe	Forestry Extension Officer- (FEO)	
7	Mr S. M. J. N. Samarakoon	FEO	
8	Mr A. H. M. Ajith Abesinghe	FEO	
9	Mr W. Ajith Wiraman	FEO	
10	Mr M. S. B. T. M. Ariyadasa	FEO	

<b>Kurunegala District</b>			
1	Mrs S. M. S. L. Wickramasinghe	Divisional Forest Officer	
2	Mr.K. K. S. Kumara	FEO	
3	Mr R. D. J. Thilakarathna	FEO	
4	Mr K. M. R. P. Bandara	FEO	
5	Mr W. G. M K. Sumith	FEO	
6	Mr R. D.A. K. P. Ranasinghe	FEO	
7	Mrs W. M. Sriyakanthi	FEO	
8	Mrs R. M. Y. Manike	FEO	
9	Mr Stephen Balhararie	Australian Volunteer	
<b>Kilinochchi District (Palai Range)</b>			
1	Mr.L.A.L.D.Tissa	Divisional Forest Officer	
2	Mr N. Jayachandra	ADFO	
3	Mr D. M. B. R. Kumaranayake	ARFO	
4	Mr D. M. Undugoda	Field Assistant (FA)	
5	Mr D. M. B. Wijeweera	FA	
6	Mrs B Rupeeka	FEO (UNDP)	
7	Mr M. A. Hakeem	RFO	
8	Mr T. M. B. Sandaruwan	FA	
<b>Anuradhapura District</b>			
1	Mr H. A. M. J. Herath	RFO	
2	Mr G. D. A. S. Dharmadasa	ARFO	
3	Mr K. A. P. A. Kodikara	BFO	
4	Mr R. M. S. Rathnayake	FA	
5	Mrs Namalee Ranathunge	FEO	
6	Mr M. P. M. Karunathilaka	FEO	
<b>Kandy District</b>			
1	Mrs W. Sathima	District Forest Officer	
2	Mr W. A. K. R. P. Wanniarachchi	ARFO	
3	Mr R. A. G. K. Ranatunga	ARFO	
4	Mr A. P. B. Kirindegoda	ARFO	
5	Mr K. S. B. Hikgoda	ARFO	



6	Mr A. H. S. Nissanka	ARFO	
7	Mr B. H. S. Shantha	ARFO	
8	Mrs Chithra Ranathunga	FEO	
9	Mr S. M. M. A. Dharshani	FEO	
10	Mr R. M. Jayasekara	FEO	
11	Mr R. M. R. Banda	FEO	
12	Mr R. G. S. Pushpalal	FEO	
13	Mr M. T. Rajapaksa	FEO	
14	Mr B. S. W. Chandrasekara	FEO	
15	Mr D. P. Kumararathna	FEO	
<b>Ampara District</b>			
1	Mr A. M. T. Maduranga	ARFO	
2	Mr D. S. I. Kadigamuwa	Beat Forest Officer (BFO)	
3	Mr D. M. Wijedasa	FEO	
4	Mr W. Dayarathna	CBO President	
<b>Moneragala District</b>			
1	Mr W. H. M.W. Bandara	RFO	
2	Mr N Sandaruwa	BFO	
3	Mr C. B. R. U. B. Gunarathna (Upul)	FEO	
4	Mr R. K. Dayawansa	FA	
5	L. S. H. Jayalath	FA	

## Annex 5 Logframe of SLCFP

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions
<p><b>Goal</b></p> <p>To improve the management of natural resources to support livelihoods and contribute to poverty reduction in the dry and intermediate zones</p>	<ul style="list-style-type: none"> <li>• The increase in agricultural productivity and sustainability of agricultural land</li> <li>• The area of forest included in the community forestry program</li> <li>• The reduction in the area of <i>chena</i> cultivated, and reduction in the area of <i>chena</i> cultivated using poor agricultural practices (which accelerates soil erosion)</li> <li>• The increase in the quantity and quality of timber produced from both woodlots and home gardens</li> <li>• Preparation of an exit strategy within two years of commencement of the program</li> <li>• Increased income of direct beneficiaries</li> <li>• Increased savings</li> <li>• Reduction in poverty (including analysis of who participates in program activities)</li> <li>• Gender impacts on the division of labour, access to resources and income levels</li> </ul>	<ul style="list-style-type: none"> <li>• Impact assessment studies &amp; research conducted by the Forest Department</li> <li>• Exit Strategy prepared and utilised in budget submissions</li> </ul>	<ul style="list-style-type: none"> <li>• Program activities are implemented in areas with a relatively high incidence of poverty.</li> <li>• Low income levels are a major factor contributing to poverty in the target areas.</li> <li>• A wide sector of the community participates in program activities.</li> </ul>
<b>Component 1: Community Forestry</b>			

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions
<p><b>Objective:</b> To reduce deforestation and forest degradation by involving communities in forest management.</p>	<ul style="list-style-type: none"> <li>• The change in the forest resource (biodiversity, species composition and volume of the forest stand)</li> <li>• The extent of forest cover</li> <li>• Frequency &amp; extent (ha) of forest fires</li> <li>• Frequency of forest offences reported (eg. illegal use or extraction of forest resources)</li> <li>• Voluntary community inputs to reduce fire</li> </ul>	<ul style="list-style-type: none"> <li>• Reports on the results from permanent sample plots</li> <li>• Interviews with community members during impact assessment studies</li> <li>• Record of Forest Fires and community recall during impact assessment studies</li> <li>• Forest Offences Register and interviews with community members during impact assessment studies</li> <li>• Interviews with community members during impact assessment studies</li> </ul>	<ul style="list-style-type: none"> <li>• Unusually dry conditions do not cause catastrophic fire events in the target areas.</li> <li>• Conflict within the community does not jeopardise Program achievements (eg. arson).</li> </ul>
<p><b>Outputs:</b></p> <p>.1 Suitable program sites identified</p>	<ul style="list-style-type: none"> <li>• Number of sites identified</li> <li>• Area of forest in target sites</li> <li>• Selection criteria &amp; process clearly documented</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly Reports</li> <li>• Quarterly Reports</li> <li>• Annual Work Plans</li> </ul>	<p>Range Management Plans contain adequate information to identify and prioritise vulnerable forest areas.</p>
<p>.2 Community groups formed and their capacity enhanced</p>	<ul style="list-style-type: none"> <li>• Number of CBOs and SHGs established</li> <li>• Capacity of CBO members</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly Reports</li> <li>• Impact assessment studies</li> </ul>	<p>Communities are willing to participate in the program.</p>
<p>.3 Community Forest Management Plans prepared which address the leading causes of deforestation and forest degradation at each site</p>	<ul style="list-style-type: none"> <li>• Resource Assessments completed and documented for each site</li> <li>• Number of CFMPs prepared</li> <li>• Number of Forest Management Agreements signed</li> </ul>	<p>Quarterly Reports</p>	<p>Suitable options can be identified to address the causes of deforestation and forest degradation (eg. agricultural intensification, alternative income sources).</p>

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions
.4 Community Forest Management Plans implemented in partnership with other government and potentially non-government organisations	<ul style="list-style-type: none"> <li>Value of inputs provided by Forest Dept, communities and other organisations</li> <li>Number &amp; area of woodlots established</li> <li>Number &amp; area of home gardens supported</li> <li>Number of other enterprises established</li> </ul>	<ul style="list-style-type: none"> <li>DFO reports (drawing on financial data provided by other agencies at each site)</li> <li>Quarterly Reports</li> <li>Quarterly Reports</li> <li>Quarterly Reports</li> </ul>	<ul style="list-style-type: none"> <li>Communities and other organisations are willing to provide inputs to implement aspects of the CFMPs.</li> <li>Alternative income generating activities are not adversely impacted by elephant damages, natural disasters (flood, drought) or economic factors (eg. a major decline in the price of teak, cashews or other commodities included in the CFMPs).</li> </ul>
.5 Home garden development program implemented in other/conflict affected areas, as the opportunity arises	<ul style="list-style-type: none"> <li>Number &amp; area of home gardens supported in conflict affected areas</li> <li>Number &amp; area of home gardens support in other areas</li> </ul>	Quarterly Reports	Access to communities in conflict affected areas and their ability to engage in program work improve as demining progress and communities are settled.
<b>Component 2: Institutional Support</b> <u>Objective:</u> To build the capacity of the Forest Department so community forestry approaches can be implemented nationally.	<ul style="list-style-type: none"> <li>Number of community forestry sites and number of districts containing community forestry sites</li> <li>Number of direct &amp; indirect beneficiaries</li> <li>Estimate of the proportion of time and financial resources allocated to community forestry in each district</li> <li>The proportion of successful community forest sites</li> <li>Effective monitoring of the program at all levels (district, regional and national)</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly Reports</li> <li>Quarterly Reports (direct) and assessment during impact assessment studies (indirect)</li> <li>DFO reports</li> <li>RFO reports</li> <li>Six Monthly Progress Reports submitted to the National Program Steering Committee</li> </ul>	Target districts remain suitable for community forestry activities (eg. no return to civil conflict, current knowledge on the extent of land mines is accurate)

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions
<b>Outputs:</b>			
2.1 Regulations for amended Forest Ordinance developed and implemented	<ul style="list-style-type: none"> <li>Regulations approved by Attorney General</li> <li>Regulations publicised and disseminated</li> </ul>	<ul style="list-style-type: none"> <li>Official letter from the Attorney General's office</li> <li>Quarterly Reports</li> </ul>	The Attorney General's office has sufficient time and resources to review the proposed regulations
2.1 Training plan prepared and staff trained in community forestry approaches	<ul style="list-style-type: none"> <li>Training Plan included in Annual Work Plan</li> <li>Number of training courses and number of staff trained</li> </ul>	<ul style="list-style-type: none"> <li>Annual Work Plans</li> <li>Quarterly Reports</li> </ul>	Field officers have sufficient time to participate in formal training activities, and staff turnover/transfer is minimal. It is possible to identify good candidates for post-graduate training who will not only benefit but also enhance the quality of work on their return
2.2 Capacity to implement community forestry approaches strengthened	<ul style="list-style-type: none"> <li>Increase in the number of range offices with basic resources to implement community forestry activities</li> <li>Procurement completed satisfactorily</li> </ul>	Quarterly Reports	Resources are utilised for community forestry activities.
2.3 Capacity of the Forest Department enhanced in technical areas that will contribute to the program goal	Number of capacity building activities undertaken and number of participants	Quarterly Reports	Other capacity building activities are identified and approved during the annual planning process.
2.4 M&E of community forestry activities undertaken on a regular basis	<ul style="list-style-type: none"> <li>Number of Supervisory Missions that include community forestry specialist</li> <li>Number of independent reviews/evaluations of the community forestry program undertaken</li> <li>Number of permanent sample plots established and monitored</li> </ul>	<ul style="list-style-type: none"> <li>AusAID</li> <li>AusAID</li> <li>Quarterly Reports (of Research Division)</li> <li>Forest Department</li> <li>Research papers</li> </ul>	<ul style="list-style-type: none"> <li>Supervisory missions occur as planned and suitable expertise can be contracted when required</li> <li>Independent reviews/evaluations occur as planned and suitable expertise can be contracted when required</li> <li>The Research Division has adequate personnel to establish permanent sample plots</li> </ul>

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions
	<ul style="list-style-type: none"><li>• Recruitment of a Sociologist</li><li>• Social research papers prepared summarising the results of research undertaken in sample villages</li></ul>		<ul style="list-style-type: none"><li>• The Forest Department receives approval from the GoSL to create a permanent position for a Sociologist as project progressed. Value and need for adopting sociological aspects will be proven through the work of professional sociologist hired through UNDP.</li></ul>