Terminal Evaluation of the UNEP/GEF project "Mainstreaming Agrobiodiversity Conservation and Use in Sri Lankan Agro-Ecosystems for Livelihoods and Adaptation to Climate Change" - GEF ID Number 4150

Evaluation Office of the United Nations Environment Programme

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Mainstreaming Agrobiodiversity Conservation and Use ni Sri Lankan Agro-Ecosystems for Livelihoods and Adaptation to Climate Change – GEF ID: 4150
(Date: 04/2022)

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ABOUT THE EVALUATION

Joint Evaluation: No

Report Language(s): English.

Evaluation Type: Terminal Evaluation

Brief Description: This report is a Terminal Evaluation of a FAO/UNEP/GEF project implemented between 2012 and 2019.The project's overall development goal was to contribute to the improvement of global knowledge of biodiversity for food and nutrition and thereby enhance the well-being, livelihoods and food security of target beneficiaries in Brazil, Kenya, Sri Lanka and Turkey through the conservation and sustainable use of this biodiversity and the identification of best practices for up-scaling. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among FAO, UNEP, and the relevant agencies of the project participating countries.

Key words: Biodiversity; Conservation; Food; Nutrition;

Primary data collection period: October 2020 to March 2021

Field mission dates: No field missions carried out due to Covid-19 travel restrictions during the period of the evaluation

Terminal Evaluation of the UNEP/GEF project
"Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change"

TABLE OF CONTENTS

LIST OF ACRONYMS

BACC	Biodiversity Adaptation to Climate Change
BD	Biodiversity
BDS	Biodiversity Secretariat
BI	Bioversity International
BPMT	Bioversity Project Management Team
CC	Climate Change
CBD	Convention on Biological Diversity
CBO	Community-based Organisation
CBR	Community Biodiversity Registers
CDC	Community Development Centre
CDS	Community Development Society
CEO	Chief Executive Officer
CIAT	Centro Internacional de Agricultura Tropical International Centre for Tropical Agriculture
CRIWMP	Climate Resilient Integrated Water Management Project
CSO	Civil Society Organization
DAC	Development Assistance Committee (of OECD)
DAPH	Department of Animal Production & Health
DoA	Department of Agriculture
EA	Executing Agency
EbA	Ecosystems-based Adaptation
EIA	Environmental Impact Assessment
EM	Evaluation Manager (in UNEP-EOU)
EOU	Evaluation Office of UNEP
ES	Ecosystem Services
FAO	Food and Agricultural Organization of United Nations
FFF	Farmers Fields For a
FPIC	Free, Prior and Informed Consent
FSP	Full-Size Project (GEF)
GCF	Green Climate Fund
GEF	Global Environment Facility
GEFSEC	Secretariat of the Global Environment Facility
GEO	Global Environment Outlook
GMSL	Green Movement of Sri Lanka
ICRAF	International Centre for Research in Agroforestry (World Agroforestry Centre)
IS	Intermediate State
IUCN	International Union for Conservation of Nature
IWMI	International Water Management Institute
LULUCF	Land-Use, Land-Use Change and Forestry
M&E	Monitoring and Evaluation
MoA	Ministry of Agriculture
MoE	Ministry of Environment and Natural Resources
MTR	Mid Term Review

MTS	Medium Term Strategy (UNEP)
NAP	National Adaptation Plan
NARC	National Administrative Reform Council
NGO	Non-Governmental Organization
NRMC	Natural Resources Management Centre
OC	Outcome
OECD	Organization for Economic Cooperation and Development
PCA	Project Cooperation Agreement
PGRC	Plant Genetic Resources Center
PIR	Project Implementation Report
POW	Programme of Work (UNEP)
PPB	Participatory Plant Breeding
PPG	Project Preparation Grant
PRA	Participatory Rural Appraisal
PRC	Project Review Committee
PRODOC	Project Document
PSC	Project Steering Committee
PVS	Participatory Variety Selection
SDG	Sustainable Development Goal
SMART	Specific, Measurable, Achievable, Relevant/Results-oriented and Time-bound
SSFA	Small-Scale Funding Agreement
STAP	Scientific and Technical Advisory Panel
TE	Terminal Evaluation
TL	Team Leader
UNEP	United Nations Environment Programme

PROJECT IDENTIFICATION TABLE

Table 1. Project Identification Table

GEF Project ID:	4150		
Implementing Agency:	UNEP	**Executing Agency:**	Bioversity International, (formerly International Plant Genetic Resources Institute - IPGRI)
Relevant SDG(s):	SDG2 (2.4.1, 2.5.1, 2.5.2); SDG 4 (4.7.1); SDG8 (8.8.2)	**Expected Accomplishment(s):**	EA (a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at the national and international levels
Sub-programme:	Ecosystems Management, Climate Change	**Programme of Work Output(s):**	2018/2019: Subprogram 3 – Healthy & Productive Ecosystems
UNEP approval date:	29 January 2013	**Project type:**	FSP
GEF approval date:	PIF (Jan 2010) / PPG (Feb 2010) / FSP (9 Aug 2012)	**Focal Area(s):**	Biodiversity
GEF Operational Programme #:	BD	**GEF Strategic Priority:**	BD2; SP4; SP5
Expected start date:	January 2013	**Actual start date:**	January 2013
Planned completion date:	November 2017	**Actual operational completion date:**	31 March 2020
Planned project budget at approval:	USD 4,683,820	**Actual total expenditures reported as of June 2019[1]:**	USD 1,291,181
GEF grant allocation:	USD 1,450,455	**GEF grant expenditures reported as of June 2019:**	USD 1,291,181

[1] Based on expense report from June 2019, final Q3-2019

Project Preparation Grant - GEF financing:	GEF Grant: USD 95,000 Actual Cost: USD 95,000	**Project Preparation Grant - co-financing:**	USD 100,000	
Expected Medium-Size/ Full-Size Project co-financing:	USD 3,233,365	**Secured Medium-Size / Full-Size Project co-financing:**	USD 3,233,200	
First disbursement:	26 February 2013	**Planned date of financial closure:**	30 March 2020	
No. of formal project revisions:	4	**Date of last approved project revision:**	7 March 2019	
No. of Steering Committee meetings:	5	**Date of last/next Steering Committee meeting:**	**Last:** 26 Sept 2019 (not attended by UNEP)	**Next: not applicable**
Mid-term Review/ Evaluation (planned date):	Mid Sep/Oct 2017	**Mid-term Review/ Evaluation (actual date):**	October 2017	
Terminal Evaluation (planned date):	I-II Quarter 2020	**Terminal Evaluation (actual date):**	From 16 April 2020 (ongoing)	
Coverage - Country(ies):	National – Sri Lanka	**Coverage - Region(s):**	Asia and the Pacific	
Dates of previous project phases:	not applicable	**Status of future project phases:**	not applicable	

I. EXECUTIVE SUMMARY

1. The project "Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change" was implemented from February 2013 to March 2020 with UNEP as Implementing Agency and Bioversity International (BI) as Executing Agency, with US$ 1,450,455 financial support from the Global Environment Facility (GEF) and US$ 3,233,365 planned co-financing. It is also known as "Biodiversity Adaptation to Climate Change" (the BACC Project).
2. The project contributes to many of the Sustainable Development Goals (SDGs), especially Goal 15: Life on Land; Goal 13: Climate Action; and Goal 17: Partnerships for the Goals
3. The UNEP focus areas most closely related to the project design are reflected in the Medium Term Strategy 2010-2013 and the Programme of Work 2012-2013. Ecosystems management, with the objective that the countries utilize the ecosystem approach to enhance human wellbeing; and Climate (mitigation and adaptation), with the objective to strengthen the ability of countries to integrate climate change responses into national development processes. However, also other focus areas are strongly related with the project's content: Disasters and conflicts [increased resilience through Ecosystems-based Adaptation, EbA], Environmental governance, Chemicals and waste [reduced use of agro-chemicals]; Resource efficiency; and Environment under review.
4. Bioversity International (BI) was in charge of the execution through its headquarters in Rome, Italy, and follow-up in Sri Lanka by a Project Coordinator and a Project Director, as well as other professionals and field staff. One extension worker was situated in each of the three pilot sites, in charge of promoting the Project's priority activities. Additional to BI, the Sri Lanka Ministry of Environment and Department of Agriculture were also considered as executing partners, but they delegated the main executing role to Bioversity International.
5. The project intervention areas included the Owita system in Millaniya, the cascade tank village system in Gampola, and the Kandyan home gardens in Udukumbura. These three agro-ecosystems were selected in collaboration between BI, the Ministry of Environment and Ministry of Agriculture, Sri Lanka and the project partners identified during the project preparation phase, based on a series of selection criteria (see par. 85 Box 1). Within each agro-ecosystem, one landscape was selected using the same criteria, but with weightings adjusted to reflect site-based issues.
6. The purposes of the Terminal Evaluation are (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, the Government of Sri Lanka and Bioversity International. Therefore, the evaluation is identifying lessons of operational relevance for future project formulation and implementation under UNEP's Sub-Programme on Healthy and Productive Ecosystems.
7. This document presents the findings of the evaluation. An international mission was planned but after a long delay finally cancelled due to the Covid-19 situation. Instead, an in-country consultant was contracted, who complemented and confirmed the field data under instruction and supervision of the Team Leader.
8. The overall performance rating for the project is 'Satisfactory'. The main areas of strong performance were evident in Strategic Relevance, Financial Management, and

Sustainability. Areas where the performance was at a lower level were Efficiency, Responsiveness to Human Rights and Gender, and Country Ownership and Drivenness.

9. Two strategic questions were posed in the evaluation Terms of Reference (TOR), with no additional such questions identified during the Inception Phase. These are addressed in full in the text and the Conclusions section. Also presented are 13 Lessons Learned.

10. The main recommendations stemming from this evaluation process are that UNEP should:

    1) Assure that a good results framework is developed during the PPG phase, which should have reliable baselines, and specific targets for planning of project activities and monitoring of results.

    2) Assure more exchange of experiences and lessons learned, especially between UNEP projects going on in the same country at the same time, but also with other agencies working in the same technical fields.

    3) Assure that problems with transfer of project funds are resolved early on during the project implementation, to avoid delays and project extensions.

    4) Assure that lessons learned from this project are being integrated into the design of other UNEP projects that are focusing on agrobiodiversity.

II. INTRODUCTION

11. The project "Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change" was implemented from February 2013 to March 2020 with UNEP as Implementing Agency and Bioversity International (BI) as Executing Agency, with US$ 1,450,455 financial support from Global Environment Facility (GEF) and US$ 3,233,365 planned co-financing. It is also known as "Biodiversity Adaptation to Climate Change" (hereinafter the BACC Project).

12. Considering the date of design and initiation of the project, its performance has been assessed in the context of the UNEP Medium Term Strategy (MTS) 2010-2013 "Environment for Development", which provided the vision and direction for the UNEP activities 2010–2013, and the UNEP-GEF portfolio 2010–2014, which laid out the vision, strategic objectives and the results which UNEP aimed to achieve by 2017. Key to successful results was the work with stakeholders in Sri Lanka from the public and private sector and civil society, to conserve and use biodiversity to improve rural livelihoods and meet the challenges of Climate change.

13. The business model employed by UNEP in pursuit of its planned results was to work through partnerships, as an opportunity to expand its reach and leverage an impact much greater than it would be able to achieve on its own. In determining its focus for the period 2014–2017, what was termed a "foresight process" and the findings of the fifth report in its Global Environment Outlook series (GEO-5), UNEP identified global challenges that the world was likely to witness during the period. In that process, the most pressing global environmental challenges were weighed against the priorities of regions and countries, and those emanating from multilateral environmental agreements, and arrived at focus areas that all, to different degrees, are relevant for the BACC project.

14. The UNEP focus areas most closely related to the project design are **Ecosystems management**, with the objective that the countries utilize the ecosystem approach to enhance human wellbeing; and **Climate change** (mitigation and adaptation), with the objective to strengthen the ability of countries to integrate Climate change responses into national development processes. However, also other focus areas are strongly related with the project's content: Disasters and conflicts [increased resilience through Ecosystems-based Adaptation, EbA], Environmental governance, Chemicals and waste [reduced use of agro-chemicals]; Resource efficiency; and Environment under review.

15. UNEP, as the GEF Implementing agency for the project and reporting to the GEF Secretariat through the UNEP GEF Coordination Office (UNEP/GEF), was in charge of clearance of financial reports and progress reports and transmission of the annual Project Implementation Review reports to the GEF. The UNEP Task Manager (TM) was a member of the Ecosystems Division, Biodiversity and Land Degradation Unit and was the same person during most of the project implementation, out-posted at FAO in Rome until February 2018, dealing directly with CGIAR and BI. The same person continued as TM situated in Nairobi, until the project management was situated in the UNEP Asia and Pacific Office in Bangkok, Thailand in April 2019.

16. UNEP provided the overall coordination and ensured that the project was in line with the UNEP Medium-Term Strategy and its Programme of Work (POW) and the GEF strategic programmes and objectives. The project was financed under GEF 4 and linked to the **GEF Biodiversity Focal Area**. The CEO endorsement request links it to the GEF strategic

programmes BD-SP4 “strengthening the policy and regulatory framework for mainstreaming biodiversity in production sectors” and BD-SP5 “fostering markets for biodiversity goods and services”. The team considers that it also contributes to BD-SP8 “building capacity on access & benefit sharing” and CC–SP 6 “management of land use, land use change and forestry”, known under UNFCCC as “land use, land use change and forestry” (LULUCF).

17. BI was the lead Executing Agency for the BACC project, in charge of the implementation through its headquarters in Rome, Italy, and follow-up in Sri Lanka by a Project Coordinator and a Project Director, as well as other professionals and field staff. One extension worker was situated in each of the three pilot areas (all female), in charge of promoting the Project’s priority activities. Additional to BI, the Sri Lanka Ministry of Environment and the Department of Agriculture were also considered as executing partners, but they delegated the main executing role to Bioversity International.

18. The project intervention areas included the Owita system in Millaniya, the cascade tank village system in Gampola, and the Kandyan home gardens in Udukumbura (see fig. 1). These three agro-ecosystems were selected in collaboration between BI and the expected partners, based on a series of selection criteria (see par. 85 Box 1). Within each agroecosystem, one landscape was selected using the same criteria, but with weightings adjusted to reflect site-based issues.

19. The purposes of the Terminal Evaluation were (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, the Government of Sri Lanka and Bioversity International. Therefore, the evaluation should identify lessons of operational relevance for future project formulation and implementation under UNEP’s Sub-Programme on Healthy and Productive Ecosystems.

20. The Terminal Evaluation (TE) was being undertaken in line with the UNEP Evaluation Policy[2] and the UNEP Programme Manual[3], to assess project performance and determine outcomes and impacts stemming from the project, including their sustainability. The TE was also in line with UNEG Norms and Standards for Evaluation (2016); GEF Evaluation Policies; and Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects (2017). It is expected that the TE report would be highly important for BI, combined with the project results, in the continued process of developing and promoting methods for biodiversity conservation and ecosystems-based adaptation in agricultural production systems. The key audience for the evaluation findings is UNEP, GEF, BI and all project partner organizations, and probably also the UNEG member organizations FAO and UNDP; for knowledge sharing, design and implementation of similar or related projects in the future. A Mid-Term Review of the Project was carried out from October 2017 to January 2018.

[2] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[3] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf .

III. EVALUATION METHODS

21. The Team reviewed the implementation progress, results, and effects/impacts, and their contribution to the overall UNEP and GEF goals for ecosystems management, biodiversity conservation and Climate change adaptation, and also the relation with other important policy and strategy goals, such as disaster risk management, poverty reduction, equity, land use planning, and sustainable local productive alternatives.
22. The evaluation process was evidence-based, where the Theory of Change (ToC) was reconstructed along with assumptions and drivers in dialogue with UNEP, and used to inform the evaluation framework. Central to the evaluation was the analysis and reconstruction[4] of the project's ToC, see section IV. Consultations were held during the evaluation inception phase to arrive at a nuanced understanding of how the project intended to drive change and what contributing conditions ('assumptions' and 'drivers') would need to be in place to support such change. The reconstructed Theory of Change, supported by a graphic representation and narrative discussion of the causal pathways, was discussed further with respondents during the data collection phase, and refined as appropriate. The final iteration of the Theory of Change is presented in this final evaluation report (fig. 3) and has been used throughout the evaluation process.
23. The TE was based on the following considerations, in accordance with the OECD-DAC, UNEP and GEF evaluation standards[5]: (i) Free and open evaluation process, transparent and independent from Project management and policy-making, to enhance credibility; (ii) Evaluation ethics that abides by relevant professional and ethical guidelines and codes of conduct, while the evaluation is undertaken with integrity and honesty; (iii) Partnership approach, building development ownership and mutual accountability for results. A participatory approach was used on all levels (implementing and executing agencies, and partners), local communities and beneficiaries; (iv) Co-ordination and alignment, to consider national and local evaluations and help strengthen country systems, plans, activities and policies; (v) Capacity development of partners by improving evaluation knowledge and skills, stimulating demand for and use of evaluation findings, and supporting accountability and learning; and (vi) Quality control from UNEP Evaluation Office throughout the evaluation process.
24. To be able to obtain all relevant information, the Team relied on partnership with UNEP and BI. Despite the mentioned participatory approach, the Team was striving to maintain clear impartiality and independence at all stages of the evaluation process, e.g. during planning, gathering, organization, processing and assessment of information; as well as facilitation of the evaluation results according to rules agreed with the UNEP Evaluation Office. A full list of respondents is included in Annex II. A total of 95 people were consulted (59 men; 36 women). The respondents represent UNEP (3); the Project Management Unit (10); members of the National Project Steering Committee (14); National Partners (38) and

[4] Both UNEP and GEF require the performance of projects to be assessed against a Theory of Change. Reconstruction is required where a project does not provide a TOC, or the TOC is incomplete or inconsistent with UNEP definitions of results. Every effort is made not to increase the amibition of the project during TOC reconstruction. Over time it is expected that UNEP projects will include a Theory of Change within the Project Document and the need to 'reconstruct' change models will reduce.

[5] UNEP's Evaluation Policy (2016) is consistent with the UN System Norms and Standards for Evaluation approved by UNEG. See also https://wedocs.unep.org/bitstream/id/8b45f5ff-c37b-4aac-b386-6b6b8e29aaed/11_Use_of_Theory_of_Change_in_Project_Evaluation_26.10.17.pdf

local rural stakeholders (26), as well as 2 GEF Focal Points, the IUCN Country Office and the consultant who carried out the Mid Term Review.

25. The evaluation analysis aimed to answer the TOR including the six OECD-DAC general evaluation criteria, and triangulate all findings with information from different sources. The inception report presented an evaluation matrix with 161 specific evaluation questions, each question with its criteria and sources of information. The questions were organized under the following thematic areas, which also established the main areas of the analysis: (i) Strategic relevance; (ii) Quality of project design (stakeholder participation, M&E, safeguards); (iii) Nature of external context; (iv) Effectiveness; (v) Project management (coordination/supervision, financial management, awareness raising & public info); (vi) Efficiency; (vii) Monitoring, Evaluation and Reporting; (viii) Sustainability (technical, social/socio-political, environmental, institutional, economic-financial, and replication/scaling-up); (ix) Coordination, Coherence and Complementarity. The evaluation matrix was used to structure the evaluation and assure to cover all relevant issues during the review of documentation, interviews and analysis of information. Specific topics for interviews were selected according to the different stakeholder groups. The evaluation team gave emphasis to triangulate information from different sources, and to repeat the same question more frequently in case of differences in the answers, as well as to check the most reliable sources. The International evaluator prepared an interview guide and matrix for replies/findings that was used by the national consultant. The final results, conclusions and lessons were analysed by the consultants and discussed in the team before preparing the final report.

26. The thematic topics covered during the evaluation permit comparisons and strengthening general conclusions about the Project results and impacts. In line with the UNEP Evaluation Policy, the UNEP Programme Manual and the Guidelines for GEF Agencies in Conducting Terminal Evaluations, this TE/MTE has been carried out using a set of 9 commonly applied evaluation criteria which include: (1) Strategic Relevance , (2) Quality of Project Design, (3) Nature of External Context, (4) Effectiveness (incl. availabity of outputs; achievement of outcomes and likelihood of impact), (5) Financial Management, (6) Efficiency, (7) Monitoring and Reporting, (8) Sustainability and (9) Factors Affecting Project Performance and Cross-Cutting Issues (see Annex XXX: Evaluation Framework/Matrix for more details on each evaluation criterion).

27. Most evaluation criteria are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU). The ratings against each criterion are 'weighted' to derive the Overall Project Performance Rating. The greatest weight is placed on the achievement of outcomes, followed by dimensions of sustainability. The UNEP Evaluation Office has developed detailed descriptions of the main elements required to be demonstrated at each level (i.e. Highly Satisfactory to Highly Unsatisfactory) for each evaluation criterion. The evaluation team has considered all the evidence gathered during the evaluation in relation to this matrix in order to generate evaluation criteria performance ratings.

28. Data for the evaluation can be divided into the following categories: (i) Background information received from UNEP and BI; (ii) Complementary information collected by the

Team through Internet and other sources; (iii) Material obtained from national and international partner organizations and other sources; (iv) Interviews through Skype, Zoom, WhatsApp, phone, etc. with persons from UNEP, BI, project staff, partners and other key stakeholders; (v) Face-to face interviews carried out by the in-country consultant; (vi) Information obtained during participatory workshops and meetings; and (vii) Field observations made by the in-country consultant.

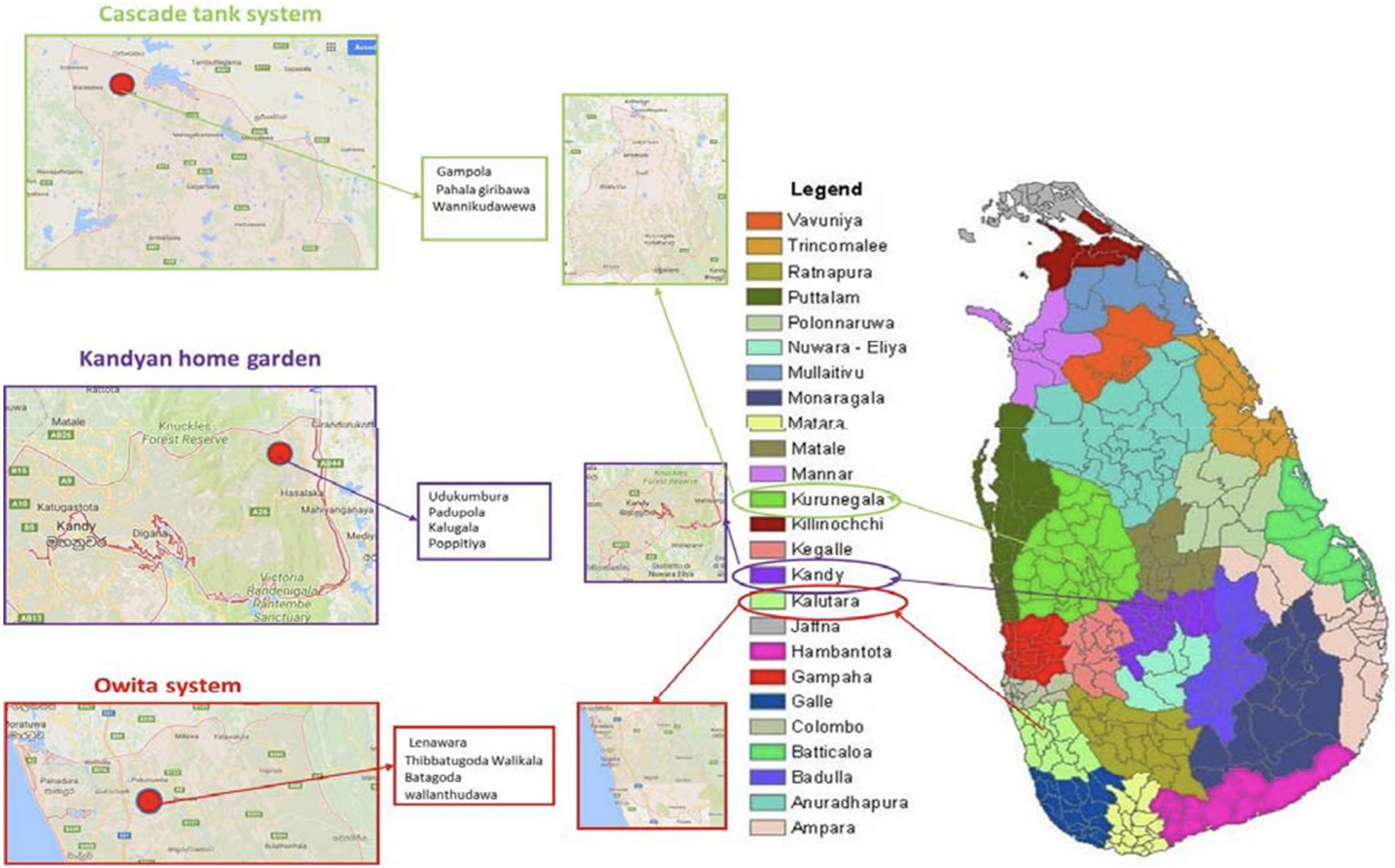
29. Due to the Covid-19 pandemic it was agreed to take a break in the evaluation process after presentation of a "preliminary findings report" in August 2020, and start up again when the conditions would allow for mission travel. After one year waiting it was finally considered as not possible to carry out the planned international mission to Sri Lanka, and instead contract an in-country consultant to confirm and complement the information in the preliminary findings report under guidence and supervision of the Team Leader. Despite delays and difficult circumstances due to waves of Covid-19 that resulted in Sri Lanka internal travel restrictions,the consultant was finally able to visit all the three project sites in Oct-Nov 2021. This gave a very significant data material to confirm and adjust the preliminary conclusions, which was important to go beyond information from written sources and remote interviews. The project areas and pilot sites are presented in fig. 1.

30. An Evaluation Framework, including evaluation questions, indicators/criteria and sources of information was prepared at an early stage. The evaluation criteria assessed are Strategic relevance (covering also the newest DAC criteria of Coherence), Quality of project design, Nature of external context, Effectiveness (comprising delivery of outputs, achievement of outcomes, and likelihood of impact), Financial management, Efficiency, Monitoring and reporting, Sustainability, and Factors affecting project performance and cross-cutting issues. The Framework included a total of 161 evaluation questions, where the relevant questions for each stakeholder group were used during meetings and interviews with specific stakeholder groups: (i) Governments and public stakeholders; (ii) Bioversity International and main project partners; (iii) Other organizations, institutions and firms; (iv) Local stakeholders and beneficiaries; and (vi) UNEP.

31. For local interviews carried out by the national consultant, key informants were direct beneficiary communities and organizations, individuals that had participated in field activities, as well as female and male producers (beneficiaries), focusing on detection of local ownership and sustainability, e.g. if the methods and pilot interventions promoted are sufficiently accepted. An advantage of this late field review, nearly two years after the project's fieldwork ended, was being able to get a better picture of the sustainability of project results.

32. Information was collected using semi-structured questionnaires based on the Evaluation Framework to allow the systematization of data. The Team Leader places emphasis on carrying out the interviews with local stakeholders in an informal way, so it is not perceived as a register of personal data or an exam. This was also transmitted through a guidance note and conversations with the national consultant. A flexible approach was used to adjust the form of each interview according to available time, education level of stakeholders, language skills, etc., sometimes interviewing persons individually and sometimes as a group, with the goal of increasing active participation and receiving different views. All information from individual persons was being differentiated by gender.

Fig. 1. Sri Lanka with project areas (source MTR Report)



33. The evaluation considered four dimensions for the sustainability of outcomes: (i) Socio-political; (ii) Environmental; (iii) Institutional; and (iv) Economic-financial. The socio-political dimension includes also social aspects, e.g. whether communities, farmers, estates, firms, women and youth were integrated in the project implementation, and if they consider the project results in their plans for the future.

34. As mentioned above, the limitation of the evaluation was, first of all, that the Team Leader was not able to visit Sri Lanka. He had however carried out another UNEP-GEF project evaluation in the country in 2018, which facilitated the general knowledge about the situation and national institutions. The Team Leader consulted with UNEP on how to migitate the situation, which led to an increase in interviews carried out remotely, and finally to contracting of an in-country consultant. The evaluation questions were being posed to a large number of different stakeholders, focusing on aspects such as the project's most important results and impacts, sustainability and lessons learned.

IV.THE PROJECT

A. CONTEXT

i. Thematic context

35.Agrobiodiversity continues to be lost from production systems around the world. This is equally true in Sri Lanka, where globally significant biodiversity with unique traditional varieties and animal breeds are threatened or have been lost, together with minor crops, the crop wild relatives and significant agricultural ecosystems, as well as much associated biodiversity. At the same time, the need for more sustainable agricultural production practices is increasingly recognized, while adapting to Climate change and contributing to Climate change mitigation, and simultaneously responding to the demands of a growing population. The agrobiodiversity is needed not only to improve the provision of services in agro-ecosystems but also to enhance the function of regulating and supporting services.

36.The problems that the BACC project were confronting are considerable agricultural intensification in many Sri Lankan production systems and the loss of much agrobiodiversity from many of these, affecting all the different components of agrobiodiversity with simplification of diversity in soil biota, plant species and associated insect diversity, including loss of pollinators.

37.The decline of many food crops and varieties, medicinal plants and agroforestry species, and the loss of traditional livestock breeds indicate substantial genetic erosion. The project was therefore designed and justified due to a need for more sustainable agricultural production practices, while adapting to Climate change and contributing to its mitigation.

38.Sri Lanka has a high degree of globally significant biodiversity with equally significant agricultural ecosystems and agrobiodiversity that is central to the livelihood strategies of small-scale farmers, rural communities and ethnic minorities. About 1.8 million families and 75% of the country's labour force depend on agriculture and on the diversity in these agro-ecosystems. 46 such ecosystems are recognized, resulting in rich diversity, which Sri Lankan farmers have been able to maintain over thousands of years. The genepools represented by these wild and cultivated species, are a national and global resource of significant importance and potential, and the conservation of biodiversity is of special significance to Sri Lanka in the context of its predominantly agriculture-based economy and the high dependence on many plant and animal species for food, medicines and domestic products.

39.Urbanization, conflict and population increase, coupled with market-oriented development strategies that reflect particular development perspectives and do not internalize the economic value of diversity and agricultural ecosystem services, have also had a significant impact on agricultural diversity. Additionally, unplanned land use, pollution and fragmentation continue to contribute to loss of agrobiodiversity. The introduction of improved, high-yielding varieties that are more susceptible to pests and diseases than their autochthonous counterparts, has seen a rise in the use of pesticides to control insect pests, weeds and diseases, inadvertently affecting pollinators and particularly bees. Increased mechanization, weed killers and the excessive use of fertilizers are thought to negatively impact the diversity of soil biota.

40.Climate change will further compound these threats to agrobiodiversity conservation, and will also require a substantially increased use of agrobiodiversity to maintain productivity,

resilience and adaptability in agro-ecosystems. Specific threats to agrobiodiversity from Climate change include increase in temperature and changes in rainfall distribution patterns, resulting in more frequent floods, droughts, landslides and other extreme events, and increased salinity of coastal water resources where substantial production and diversity occur.

41. Enhanced use of agrobiodiversity is an essential component of adaptation to Climate change that involves the increased use of traditional crop and livestock varieties, which have improved performance under stress conditions or increased climate variability, new crop varieties and livestock breeds adapted to changed production conditions, new or larger populations of other useful species to allow for evolution of adaptability to changing conditions, the adoption of management practices designed to improve adaptability of soil biota, pollinators and other key components to support resilience and provide greater sustainability, and the development of monitoring procedures designed to identify changing conditions that require specific interventions. Based on these challenges and opportunities, the project was designed to conserve agrobiodiversity, adapt to Climate change and improve rural livelihoods.

ii. Institutional context

42. Complementary to the institutional issues referred to in the introduction, it should be mentioned that the Project Steering Committee (PSC) consisted of representatives of the main partner organizations, including UNEP and BI, with the role to provide general oversight and guidance to the project, make appropriate policy decisions, facilitate inter-agency coordination, and monitor national-level activities. The PSC received periodic reports on progress and made recommendations to UNEP concerning the need to revise any aspects of the Results Framework. The PSC met approximately once a year and consisted of high-level personalities representing key sectors and institutions, to ensure that the project was aligned with and fit the national, regional and local needs. The Project Document (ProDoc) also mentions a National Steering Committee, but this was only a different expression for the same committee.

43. The Project Management Unit (PMU) in Sri Lanka was placed inside the Department of Agriculture, and maybe for that reason the relationship with the Department of Agriculture resulted stronger than with the Ministry of Environment, even though both were important. The position of the project, integrated in the government, helped the potential for influencing government policies and strategies, especially related to agrobiodiversity. On the other hand, the project's down-to-earth activities in the pilot areas provided opportunities for the government to improve local work practices and get a realistic view on what it is possible to do on local level. The project also had extensive research collaboration with national universities. See Stakeholder analysis, table 4.

B. MILESTONES/KEY DATES IN PROJECT DESIGN AND IMPLEMENTATION

44. The project under evaluation was a Full-size Project (FSP) approved by GEF in August 2012, after a Project Preparation Grant (PPG) phase of more than two years for the project design (from February 2010). UNEP's approval date was in December 2012, and the first disbursement in February 2013.

Table 2. Key events during project implementation

Key event	Date
Concept document received by GEF	20 October 2009
PPG approved	25 January 2010
Concept document approved	31 March 2010
GEF approval date	08 August 2012
UNEP approval date	29 January 2013
Actual start date	January 2013
First disbursement	26 Feb 2013
Planned date for Mid-term Review	Sept-Oct 2017
Actual date Mid-term review	Oct 2017-Jan 2018
Intended completion date (on date of approval)	Nov 2017
Last Steering Committee meeting	26 Sept 2019
Formally registered completion date	31 March 2020
Last PIR	July 2018-June 2019
Planned date for Terminal Evaluation	I-II quarter 2020
Terminal Evaluation	From 16 April 2020

45. The Mid-term review was carried out during the last quarter of 2017. The project was originally expected to end in November 2017 but was extended, with the last no-cost extension until March 31st 2020. The project had four formal project revisions, the last March 7th 2019.

C. OBJECTIVES AND COMPONENTS

46. Some minor changes to the results framework presented in the ProDoc were made during implementation, however these did not change the focus of the project, and the results framework when the project reached operataional completion was still consistent with the text of the ProDoc. Table 3 summarizes the project content in the final version (according to the last PIR) with some adjustments proposed by the Evaluation Team marked in the text. These changes relate to the preparation of a reconstructed Theory of Change (TOC) for the intervention that is used for this evaluation. Further analysis of the outcomes and outputs are included in relation to the reconstructed TOC (chapter IV).

Table 3. Project content (source Results framework, changes proposed by the Evaluation Team marked)

Project Impact: Agrobiodiversity is optimally conserved and used to improve rural livelihoods and meet the challenges of Climate change		
Project Outcome: Improved conservation and use of agrobiodiversity in pilot areas, for rural livelihoods and Climate change adaptation		
Components	**Direct Outcomes**	**Outputs**
1. Adaptive management	1.1 Area devoted to sustainably managed agrobiodiversity increased through use of practices, procedures, institutions, and the improved maintenance and access to new and traditional crops and livestock diversity by local communities	1.1.1 Traditional crop varieties, livestock breeds, agroforestry and medicinal plant species maintained and available to farmers in 3 selected landscapes (sites).
		1.1.2 Diverse and adaptable plant and livestock material are available from gene banks and other sources and tested by participating communities in the 3 selected sites.
		1.1.3 Sustainable and adaptive management practices, supporting traditional crop varieties and livestock breeds, crop wild relatives, medicinal and agroforestry species, soil microorganisms, pollinators and other insects are adopted in the 3 selected pilot landscapes.
		1.1.4 Knowledge management and sharing practices and guidelines that support maintenance and sustainable use of traditional crops, medicinal, agroforestry species and traditional livestock systems agreed and adopted by participating communities in pilot sites in 3 selected landscapes.
		1.1.5 Local and national indicators and monitoring procedures for crops and their wild relatives, medicinal and agroforestry species, livestock, soil microorganisms and pollinators are available and in use at local and national levels and contribute to a national agrobiodiversity information system.
2. Improved production benefits	2.1 Farmers in 3 pilot sites receive additional rewards through market and non-market mechanisms, based on maintenance and use of agrobiodiversity and increased returns for specific products and	2.1.1 Local markets provide improved benefits to farmers and communities at the 3 sites for sustainably produced agrobiodiversity products.
		2.1.2 International and national marketing opportunities for farmers identified for key high value agrobiodiversity products produced using sustainable practices.

	services	2.1.3 Improved production and non-market benefits from sustainable use of agrobiodiversity obtained by communities at 3 sites, and potential strategies for capturing and enhancing such benefits at the national level identified.
3. Institutional Framework, Capacity and Partnerships	3.1 Strengthened national strategies, policies, capacity and extension activities on planning for sustainable production of agrobiodiversity products and services, using a strengthened ecosystem management approach	3.1.1 A revised national agrobiodiversity strategy available for Sri Lanka stakeholders, providing a framework for mainstreaming agrobiodiversity conservation and use and ecosystem services into relevant Ministry decisions on agricultural production, food security and Climate change adaptation.
		3.1.2 Relevant ministries and other national stakeholders have access to guidelines and recommendations, to mainstream agrobiodiversity into national sector plans and programmes in ways that support food security, sustainability and adaptation to Climate change.
		3.1.3 Farmers in the 3 pilot landscapes have access to extension services on agrobiodiversity maintenance and use, by trained national, regional and community-based outreach staff, and the introduction of new materials.
		3.1.4 New interdisciplinary research and development projects on integrated agrobiodiversity management undertaken by Sri Lankan university departments and Department of Agriculture.

D. TARGET GROUPS

47. The project included a range of target groups and beneficiaries, such as women and youth in rural areas; farmers/smallholders, farmer groups/cooperatives, and private and public sector groups involved in value chains. On a national level it included key policy and decision makers from relevant line ministries and other agencies. Other target groups and beneficiaries were universities, schools and NGOs. The Agriculture Department of the MoA and the Biodiversity Secretariat of the MoE were the key agencies in coordination with institutes in the respective thematic areas, e.g. Plant Genetic Resources Center (PGRC), Natural Resources Management Centre (NRMC), Faculty of Veterinary Medicine & Animal Science, and the Universities of Peradeniya, Wayamba, and Colombo. At the same time, provincial-level agencies such as Provincial Agriculture Department and Provincial Veterinary and Livestock Department took a leading role in home gardening agriculture and livestock and animal husbandry activities, along with local beneficiaries. Field level officials

of the Department of Agrarian Development were also involved to a certain degree in the local activities.

48. BI and its main partners did an important and efficient job of integrating local target groups. To build capacity on Agrobiodiversity and Ecosystems based adaptation, the project worked through existing and new structures for training and technical assistance ~~(TA).~~ New Communicty Based Organisations (CBOs) were formed with support from the project when the existing active CBOs in the area had very different objectives from the project. Nearly all active members of the previous CBOs became members of the newly registered CBOs. Interviews in the field however confirmed a weak involvement of private firms.

49. In each of the three pilot regions, the project had a permanent field officer from the same region, all female. Since the project had a very low budget for the field officers, the people were selected between those in each community that had an academic background or studies underway, having time available, and being able to accept the low salary level. This resulted in that none of them had any experience with agrobiodiversity or Climate change adaptation when they were contracted, but their skills and awareness improved vastly during the work. The field officers were in charge of maintaining connection with the communities and smallholders, and to carry out local planning, training, and support to other field activities. According to the community leaders and interviews with the field officers, even though they had doubts in the beginning, the field officers are now key support persons in their communities. However, since the project ended and they have no longer a permanent salary, they have different plans for their future.

Table 4. The project's work with and establishment of local CBOs

Area	Milleniya	Udadumbara	Kurunagala
Integration of local stakeholders	The project selected the four villages Batagoda, Lenawara Bellanthudawa and Sidurangala. The Community Leaders and key government officials involved consider that all existing CBOs were consulted (Agriculture Society, Women Society, etc.). The project supported formation of one new CBO for each of the four villages, by selecting active members from all	The two villages Udukumbura and Padupola were selected, where the following CBOs existed: Parakum Agriculture society, Eksath Welfaire society, Shanthi Elders Society, Yasoda women society, Delenatharu Social development society, Udakumbura Women Farmers Society, and Ekamuthu Women Society. Two new CBOs were formed with support from the project, "Arunalu" in Padupola and "Upathissa" CBO in Udukumbura village. They are now active in the area and both registered under the provincial agriculture department. The	The two villages Wannikudawewa and Gampola were selected, where the following CBOs existed: Agriculture Society, Agricultural Women Society, Water Management Society. Two new CBOs were formed with support from the project: Gampola Ekaamuthu Community Development Society (CDS) and Wannikudawewa Parakum CDS.

	the active target groups in the area who agreed with the project objectives.	same CBOs were identified by a new project implemented by Green Movement of Sri Lanka with funding from UNDP-GEF SGP.	Members of all the existing CBOs have joined these two CDS.

50. Indigenous peoples and ethnic minorities have not been a clear target group, but the project activities included what is determined as “indigenous knowledge”, “indigenous medicine” and “indigenous species”, using the word indigenous as equal to native.

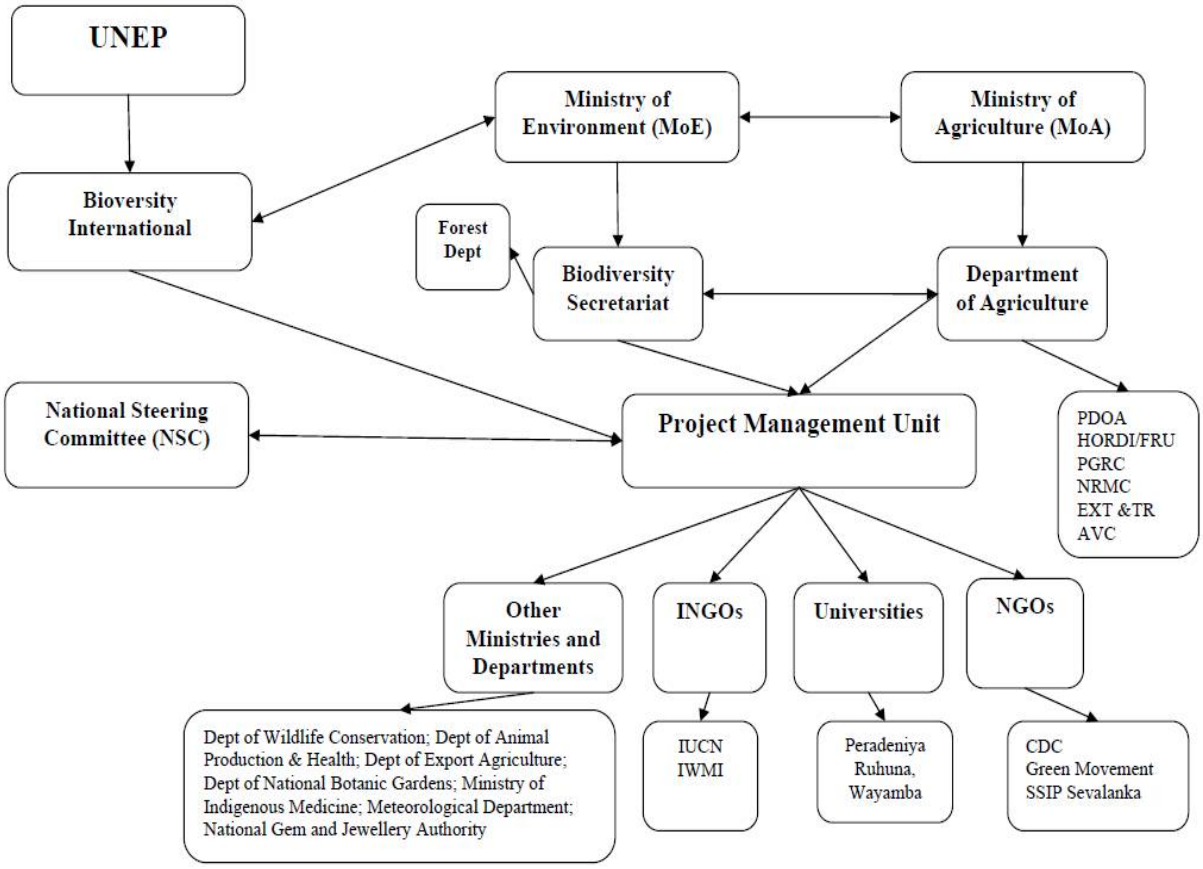
51. The ProDoc refers to gender mainstreaming and the participation of women and youth, but the PIRs do not reflect such mainstreaming. The BI project coordinator comments that no matter how hard they tried to increase the participation of women, the average women participation in trainings was probably only around 30% (see socio-political sustainability). There is no register to back this up, but it was confirmed through interviews that women had a higher share of the community leaders trained through collaboration with the Community Development Centre (CDC), e.g. on the topic of medicinal plants. All the groups mentioned in table 5 played significant roles in contributing to the project results, while many were also direct or indirect beneficiaries of these results.

E. PROJECT STAKEHOLDERS

52. The present Stakeholder Analysis is based on information from the ProDoc and Mid-Term Review (MTR), as well as additional documents received through the UNEP TM and BI and interviews carried out remotely during the evaluation process. The information was triangulated, and in case of any differences between the sources, the information was consulted with the most relevant stakeholders, especially the UNEP TM and BI Project Manager.

53. Figure 2 presents the project’s organizational structure, where BI had a formal institutional relationship with UNEP and the Sri Lanka Ministry of Environment. BI was represented in the Steering Committee and maintained the day-to-day relation with the project through the Project Management Unit. Even though the PMU maintained relations with all stakeholders, its main contact points with the Government were the MoE Biodiversity Secretariat and the MoA Department of Agriculture.

Fig. 2. Project organizational structure (source: Project Document)



54. The Project follows very closely the UNEP and BI strategies of partnerships, involving both international and national organizations from the public and private sector, and NGOs/CSOs. Table 5 summarizes the key stakeholders involved in the project, while a longer list is presented in Annex F. Regarding the column "Did they participate in the project design, and how", the design period is regarded as from the first project idea through GEF approval, including the PPG phase.

55. The column "Type of stakeholder group" refers to the nine major groups recognized by Agenda 21: BI = Business and Industries; NG = Non-Governmental Organizations (including CSOs); and ST = Scientific & Technological Community. Additionally, the Team has included Governmental organizations (GO) and Inter-governmental organizations (IG), plus Not Applicable (NA).

Table 5. Stakeholders with high power and high interest of the project (key players)

Stakeholders	Explain the power they hold over the project results/implementation and the level of interest	Did they participate in project design, and how·	Stake-holder group	Roles & responsibilities in project implementation	Changes in behaviour expected through the project implementation
International					

UNEP	UNEP was the GEF implementing agency (IA) for the project, managed by the UNEP/GEF Coordination Office and supervised by a Project TM.	Yes, as GEF agency in charge of the project design	IG	Monitoring and supervision. Reporting to GEF.	No
GEF	Global Environment Facility co-finances the project with US$ 1,450,455 (31%), not including PPG and agency fee	Yes, through review of FSP Request Document, progress and evaluation reports	IG	Review and acceptance of Progress Reports, MTR and TE.	No
BI	Bioversity International was the project Executing Agency (EA). BI is member of the Consultative Group on International Agricultural Research (CGIAR).	Yes, played a fundamental role during design, as the lead project executing agency	NG	Project follows BI strategy of partnerships between international and national organizations. BI's Project Team supervised project management. Gave co-financing.	It is expected that the project would strengthen BI's work on ecosystems-based CC adaptation
IUCN	International Union for Conservation of Nature (IUCN) supported Ministry of Environment in developing NBSAP 2016-2022. Had dialogue with project through local office	Yes, was consulted during the design phase	NG	Gave scientific advice through its national branch, providing international and national knowledge. Gave co-financing.	No
IWMI	International Water Management Institute (IWMI) is	Yes, including to develop baseline	ST	Partner and provider of co-financing. Led together with	Can use project results in its research program and to

	leading CGIAR research program in Sri Lanka on water, land and ecosystems, with Bioversity as a partner. IWMI carried out analyses of CC vulnerability to develop agrobiodiversity-rich adaptation strategies	with use of indicators for the three pilot sites		Bioversity initiatives to improve water mgmt (e.g. village tank systems). The Project field tested selected indicators developed by IWMI in the three pilot areas.	strengthen strategies on agrobiodiversity and ecosystems-based adaptation
ICRAF	The World Agroforestry Centre (ICRAF) in Sri Lanka aims to enhance agroforestry science through education, research and 3 networks (fruit, timber, medicinal plants), and to promote policy documents with national partners.	Yes, through its Sri Lanka Program	ST	ICRAF worked closely with the Project on important and prioritized fruit tree species and on their potential in the target sites.	Can be able to use project results and lessons learned in its research and to strengthen agrobiodiversity and ecosystems-based adaptation strategies, including through its merge with CIFOR 2019.
Project Steering Committee (PSC)	Project Steering Committee provided strategic guidance. It consisted of the BI Project Manager (PM), National Project Director, National Project Coordinator and UNEP TM.	No, not established yet at the time of design	NA	The PSC met yearly to provide political and strategic guidance, oversee and approve work plans and budgets, resolve issues and take other strategic decisions.	Representatives in the PSC may have become, through their project involvement, more committed to agro-ecosystems conservation and ecosystems-based CC adaptation, to continue promoting these issues.

Sri Lanka					
Ministry of Environment & Natural Resources (MoE)	Formally the Ministry of Mahaweli Development and Environment was one of the two national co-executing agencies.	Yes, participated much in the design, especially during the PPG	GO	The Ministry main-streamed output 'revised national agrobiodiversity strategy' into its work. Gave co-financing.	Could use project results and lessons learned, especially to strengthen its work on CC adaptation
Department of Agriculture (DoA)	Department of Agriculture functions under the Ministry of Agriculture. It was one of the two national co-executing agencies	Yes, participated much in the design, especially during the PPG	GO	Many project tasks and much influence since the PMU was situated in the Dept of Agriculture. Gave co-financing.	Could use project results and lessons learned, especially to strengthen its work on ecosystems and agrobiodiversity
Dept of Animal Production & Health (DAPH)	DAPH is functionally under the Ministry of Agriculture, providing technical support to the livestock industry. It is located in Peradeniya, and had influence on the project work on husbandry.	Some dialogue with BI during the project design phase	GO	Selection of animal breeds distributed in the pilot sites were recommended by DAPH, which also checked the health of these animals. Gave co-financing.	Strengthened collaboration with BI and other project stakeholders on forestry and biodiversity.
University of Peradeniya	Faculty of Agriculture and Faculty of Veterinary Science had positive influence on the project development.	Dialogue with BI during the project design phase	ST	Participated in activities on veterinary science, plant genetic resources and plant diseases. Gave co-financing.	Can be able to use project results and lessons learned in strengthening their research and education.
University of Ruhuna	Faculty of Agriculture had positive influence on the project's work on academic education.	Dialogue with BI during the project design phase	ST	Implemented some diploma courses including on Biodiversity and Ecosystem Management.	Can be able to use project results and lessons learned in strengthening their research and education.

				Gave co-financing.	
University of Wayamba (Colombo)	Provided important research studies on agrobiodiversity, pollinators, home gardening, cascade and Owita ecosystems, livestock, value chains, etc.	Dialogue with BI during the project design phase	ST	Many research documents on agrobiodiversity. Activities on value chains and marketing of agricultural products. Gave co-financing.	Can be able to use project results and lessons learned in strengthening their research and education.
Green Movement of Sri Lanka (GMSL)	GMSL provided valuable baseline data, and training on monitoring.	Dialogue with BI during the project design phase	NG	Did situation analysis on social structures in the pilot sites and training on M&E capacity building plan.	Strengthened collaboration with BI and others. Could use experience and lessons learned from the project in their own work.
Community Development Center (CDC)	CDC is an institutional structure for establishment of community seed banks and seed exchange mechanism.	Dialogue with BI during the project design phase	NG	Training of community leaders from project sites (>50% women), including topic of medicinal plants. Supported traditional and modern conservation of seed and community-based seed banks.	Strengthened collaboration with BI and others. Could use experience and lessons learned from the project in their own work.

56. A general summary of the stakeholder analysis is that BI made an effective use of its existing network, but did not broaden it much. The main Governmental agencies were first of all the Department of Agriculture, followed by the Ministry of Environment. Research networks and universities also played important roles. Many stakeholders mentioned in the ProDoc did not have much influence in the project, and some expected co-financing did not take place.

F. PROJECT FINANCING

57. The total project budget was USD 4,683,820 of which USD 1,450,455 was allocated from GEF, and USD 3,233,365 was planned co-financing (USD 1,514,742 cash and USD 1,718,623 in-kind). The co-financing actually achieved was USD 3,234,700, which is in line with the amount pledged and 69% of the project budget. Of this amount, the Sri Lanka government provided USD 1,770,050 (USD 825,243 cash and USD 944,807 in-kind) or 54.7 % of co-financing and BI provided 1,033,689 (USD 579,215 cash and USD 454,474 i-kind), or 32% of co-financing.

58. The difference between pledged and achieved co-financing is presented in the following table. Even though the total co-financing came out as expected, it should be noted that the executing agency, BI, supported the project with an amount mucher higher than originally planned. This was an institutional effort necessary because the co-financing from the government came out 16.3% lower than expected, and international financing from IWMI and UC Davis failed to materialize. On the other hand, some co-financing not pledged from the start helped BI in the fundraising effort, especially from national universities and NGOs, as well as IUCN.

Table 6. Approved co-financing at the moment of GEF CEO endorsement and until end of the project.

Sources of co-financing	Cash pledged		Cash final		In-kind pledged		In-kind final		Total final	
	US$	%	US$	%	US$	%	US$	%	US$	%
Sri Lanka Govt (total):	1,067,955	33.0	825,243	25.5	1,227,160	37.9	944,807	29.2	1,770,050	54.7
Ministry of Environment			585,850				491,200			
Department of Agriculture			138,628				238,342			
Forestry Department			3,385				4,600			
Dept of Wildlife Conservation			450				450			
Dept of Animal Production & Health			20,250				40,000			
Dept of National Botanic Gardens			10,915				13,635			
Ministry of Indigenous Medicine			29,155				71,380			
Dept of Export Agriculture			36,610				85,200			
Bioversity International	446,787	13.8	579,215	17.9	310,373	9.6	454,474	14.0	1,033,689	32.0
Sri Lanka universities			100	0			201,400	6.2	201,500	6.2
Sri Lanka NGOs			65,545	2.0			73,935	2.3	139,480	4.3

IUCN			25,325	0.8			15,385	0.5	40,710	1.3
UC Davis, California			0	0	30,000	1.0	0	0	0	0
FAO			28,520	0.9	51,090	1.6	17,750	0.6	46,270	1.4
IWMI					100,000	3.1	3,000	0.1	3,000	0.1
Total pledged	**1,514,742**	46.8			**1,718,623**	53.2			**3,233,365**	**100**
Total final			**1,523,648**	47.1			**1,710,751**	52.9	**3,234,700**	**100**

V.THEORY OF CHANGE AT EVALUATION

59.The ProDoc and Results framework have been used to analyse the intervention logic and establish the project's Reconstructed Theory of Change (TOC). No TOC analysis was done during the project design, but the TOC logic could be understood from the ProDoc and Results Framework. The TOC construction that was done during the MTR follows the exact text in the Results Framework, without any changes. The Team Leader first tried to reconstruct the TOC from the MTR version, but then agreed with UNEP Evaluation Office that the assessment of the project's effectiveness would be best supported by the development of a simpler TOC model.

60.Table 7 includes the main changes done, being: (i) to include one Project Outcome; (ii) to include a long-term (ex-post) impact; (iii) to change the wording of some outputs to make it clear that they are not activities but rather availability to specific users of new products and services and/or gains in knowledge, abilities and awareness; and (iv) to simplify some wording of outcomes and indicators, without changing the meaning.

61.The project has, in general, a logical design reflected in the causality between the main objective, outcomes and outputs, as mentioned in the results framework. It has three components, each with its own expected Direct[6] Outcome, and a total of 12 expected outputs. This is a simple and clear design, since all outcomes and outputs clearly go towards reaching the project objective. The results framework uses SMART indicators for both outputs and outcomes, considering that time (T) is covered through the timeline for tracking targets at mid-term and end of the project.

62.The causal pathways from project outputs to outcomes are clearly described in the results framework, but no pathways from outcomes to impacts. This issue was not resolved in the TOC analysis at mid-term. The present Reconstructed Theory of Change tries to remedy that part of the TOC analysis, and also includes assumptions and drivers (see fig. 3).

63.The reconstructed TOC includes a higher-level impact (goal for the future), defined as "Agrobiodiversity is optimally conserved and used to improve rural livelihoods and meet the challenges of Climate change". This expected long-term impact is a reformulation of the project objective, and it is directly related to the goal for the GEF Biodiversity Focal Area (conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services), which could be the result of BI and partners' continued work based on the results of the current project, its replication and scaling-up. To reach this impact it would however require improved governance for agrobiodiversity and Climate change adaptation (Intermediate State), which could be achieved through scaling-up of the project results on national level, especially the results from the three pilot areas, and the institutional adoption of the project's outcomes, in particular the strengthened strategies and policies (Direct Outcome 3).

64.In the reconstructed TOC, the Project Outcome is formulated as "Improved conservation and use of agrobiodiversity, for rural livelihoods and Climate change adaptation". This is what could realistically be expected until the end of the implementation period. The most important drivers for this outcome are considered to be appropriate policies, especially for

[6] As per the UNEP glossary, "A direct outcome is an outcome that is intended to be achieved from the uptake of outputs and occurring prior to the achievement of Project Outcome(s)".

agrobiodiversity, and enough research funding in this area. The assumption is made that the farmers would collaborate with the project on local research trials, e.g. through providing germplasm, land and labour.

65. The Project Outcome was expected to be achieved through three components, each with its own clearly defined Direct Outcome: (i) Area devoted to sustainably managed agrobiodiversity increased through use of practices, procedures, and institutions; combined with improved maintenance and access to new and traditional crops and livestock diversity by local communities (drivers: appropriate local frameworks, stakeholder support and site testing of material); (ii) Farmers receive additional rewards through market and non-market mechanisms, based on maintenance and use of agrobiodiversity and increased returns for specific products and services (driver: development and marketing of more differentiated agrobiodiversity products); and (iii) Strengthened national strategies, policies, capacity, and extension activities on planning for sustainable production of agrobiodiversity products and services, using an ecosystem management approach (driver: unchanged top policy level buy-in for agrobiodiversity). Each of the three outcomes are based on from 3 to 5 outputs and a long series of sub-outputs. All outputs have also their distinct drivers and assumptions (see the TOC model, fig. 3).

66. During the evaluation process it was confirmed that there is existing top policy level support for agrobiodiversity (a requirement for the driver of "unchanged top policy level buy-in" to be valid), however it would of course be important for the long-term project impact if this support was stronger. Similarly, the mechanisms to differentiate agrobiodiversity products are considered a driver between the outputs and the outcome of component 2, but it is today not very strong.

67. The project has a logical design reflected in the causality between the main objective, outcomes and outputs, as mentioned in the results framework. **Assumptions** are established in the ProDoc text for the project in general and for each component, while the Results Framework includes assumptions both for outcomes and outputs. **Risks** were established in the ProDoc for the project (see table 3, Criterion K), but not for the sequential processes in the TOC.

68. **Drivers** were not established in the project design or the Results Framework. However, some of the "assumptions" included in the Results Framework are considered by the Evaluation Team as drivers, and presented that way in the TOC figure. It is however possible to also find drivers mentioned with other words in different parts of the ProDoc, such as the interaction with local communities (as a driver) for the local acceptance of sustainable agricultural development that involves new methods.

69. **Expected Impact** of the project is not considered in the project document, and there is no description of pathways and drivers from project outcomes to project impact. The ProDoc however considers that by mainstreaming the Project into national UNDAF mechanisms, there is an opportunity to increase impact and scale-out and enhance the results. Impacts of Climate change and negative environmental impacts on biodiversity and food security are issues mentioned several times, so it is understood between the lines that the impact of the project would be to reduce these adverse impacts (intended and positive change).

70. Roles of national partners are defined, but not their roles for causal pathways. The timeframe to reach outcomes established in the design seems realistic (at the time the project was designed), despite the no-cost extensions later experienced. Partners and

other national stakeholders participated actively in the PPG phase and workshops to develop the design logic and the project's key parameters, including indicators and means of verification.

71. In the model of the Reconstructed TOC, the processes between outputs, outcomes, and impacts are part of a logic interaction where it is necessary to consider the drivers and assumptions for the processes, which are marked in the diagram. The information is partly taken from the project document and results framework, and partly proposed by the Evaluation Team. Some drivers and assumptions may be repeated in different components, but they are included where most relevant. Strong project activity and interaction with stakeholders are drivers for results, but these general aspects are repeated in all components and most outputs, and therefore not included in the TOC. The table below presents the formulation as per the Project Document, the proposed formulation for the TOC and the justification for the reformulation.

Table 7. Justification for Reformulation of Results Statements

Formulation in original project document(s)	New formulation in Reconstructed TOC	Justification for Reformulation
Project objective To ensure that agrobiodiversity in Sri Lanka is optimally conserved and used to meet the challenges of Climate change and improve rural livelihoods	**Project Impact:** Agrobiodiversity is optimally conserved and used to improve rural livelihoods and meet the challenges of Climate change	Impact not included in project document. The proposed Long-term Impact is a reformulation of the project objective
INTERMEDIATE STATE (not in original design)	**Intermediate State:** Improved governance for agrobiodiversity and Climate change	Intermediate states are not included in the project document. Improved governance on these issues in Sri Lanka is a must to be able to reach the long-term impact
PROJECT OUTCOME (not in original design)	**Project Outcome:** Improved conservation and use of agrobiodiversity in pilot areas, for rural livelihoods and Climate change adaptation	Project Outcome was not included in project document. The proposal is a reformulation of the project objective, however softened to make it realistic within the project lifetime
PROJECT OUTCOMES	**Direct Outcomes**	
Outcome 1: Area devoted to sustainably managed agro-BD increased through use of practices, procedures, institutions, and the improved maintenance	Area devoted to sustainably managed agro-BD increased through use of practices, procedures, institutions, and the improved maintenance and access to new and traditional crops and	[was not reformulated]

and access to new and traditional crops and livestock diversity by local communities	livestock diversity by local communities	
Outcome 2: Market and non-market mechanisms are in place that provide farmers with additional rewards (improved income from gains from production, wellbeing, better cost-control e.g. reduced external inputs) from maintenance and use of the agrobiodiversity and increased returns for specific products and services (any market pull that could offer any benefits for farmers)	Farmers receive additional rewards through market- and non-market mechanisms (improved income from production, better cost-control and improved well-being) based on maintenance and use of agrobiodiversity and increased returns for specific products and services	Reformulation is made to make the text better structured, shorter, and easier to read, without changing the main content
Outcome 3: National strategies, policies and capacity and extension activities on planning for sustainable production of agrobiodiversity products and services, using an ecosystem management approach strengthened	Strengthened national strategies, policies, capacity, and extension activities on planning for sustainable production of agrobiodiversity products and services, using an ecosystem management approach	Reformulation is made to make the text better structured and easier to read, without changing the main content
OUTPUTS	**Outputs**	
2.2 International and national marketing opportunities identified for key high value agrobiodiversity products produced using sustainable practices	International and national marketing opportunities for farmers identified for key high value agrobiodiversity products produced using sustainable practices	Clarify that it refers to marketing opportunities for farmers (their access would be through national and international value chains)
3.1. A revised Sri Lanka national agrobiodiversity strategy, providing a framework for	A revised national agrobiodiversity strategy available for Sri Lanka stakeholders, providing a framework for	Reformulation to clarify the text and to make it in line with UNEP's glossary of results definitions. It is considered that both the agricultural sector,

mainstreaming agrobiodiversity conservation and use and ecosystem services into relevant Ministry decisions on agricultural production, food security and Climate change adaptation.	mainstreaming agrobiodiversity conservation and use of ecosystem services into relevant Ministry decisions on agricultural production, food security and Climate change adaptation.	government and other stakeholders would have access to the revised strategy, and that this project output would be mainstreamed into ministry decisions. It is good that the original design refers to a revised strategy and not to the ministry decisions, which are outside the project's control.
3.2 Guidelines and recommendations prepared that promote mainstreaming of agrobiodiversity into national sector plans and programmes in ways that support food security, sustainability and adaptation to Climate change.	Relevant ministries and other national stakeholders have access to guidelines and recommendations, to mainstream agrobiodiversity into national sector plans and programmes for food security, sustainability and Climate change adaptation	Reformulation to clarify the text and to make it in line with UNEP's glossary of results definitions. If a participatory process is carried out to develop sector plans and programmes, it would be important that the agricultural sector and other stakeholders have access to the guidelines and recommendations on an early stage.
3.3 Farmers in the 3 pilot landscapes are supported by trained national and regional extension and other community-based outreach staff on agrobiodiversity maintenance and use and the introduction of new materials. Farmers in the 3 pilot landscapes are supported by trained national and regional extension and other community-based outreach staff on agrobiodiversity maintenance and use and introduction of new material	Farmers in the 3 pilot landscapes have access to extension services on agrobiodiversity maintenance and use, by trained national, regional and community-based outreach staff, and the introduction of new material.	Reformulation to clarify the text, showing that it is an output and to make it in line with UNEP's glossary of results definitions
3.4 New interdisciplinary research and	New interdisciplinary research and development projects on integrated	Reformulation to show that it is an output and not an action. The text is also simplified to make it

development projects on integrated agrobiodiversity management, undertaken by Sri Lankan university departments and Department of Agriculture. New interdisciplinary research and development issues on integrated agrobiodiversity management are identified by project partners in Sri Lanka and course materials are available for use by institutes of higher education	agrobiodiversity management, undertaken by Sri Lankan universities and Department of Agriculture	more structured and easier to read, without changing the main content
SUB OUTPUTS **22 sub outputs reformulated**	**See table 11**	Minor changes, often from actions to sub outputs, and also to make the text clearer
ASSUMPTIONS 21 output assumptions 2 direct outcome assumptions 2 project outcome assumptions 2 assumptions from project outcome to intermediate state	Marked in TOC figure with blue text	Assumptions in Results framework were divided between assumptions and drivers, and often reformulated
DRIVERS 8 output drivers 4 direct outcome drivers 2 projct outcome drivers	Marked in TOC figure with red text	Assumptions in Results framework were divided between assumptions and drivers, and often reformulated

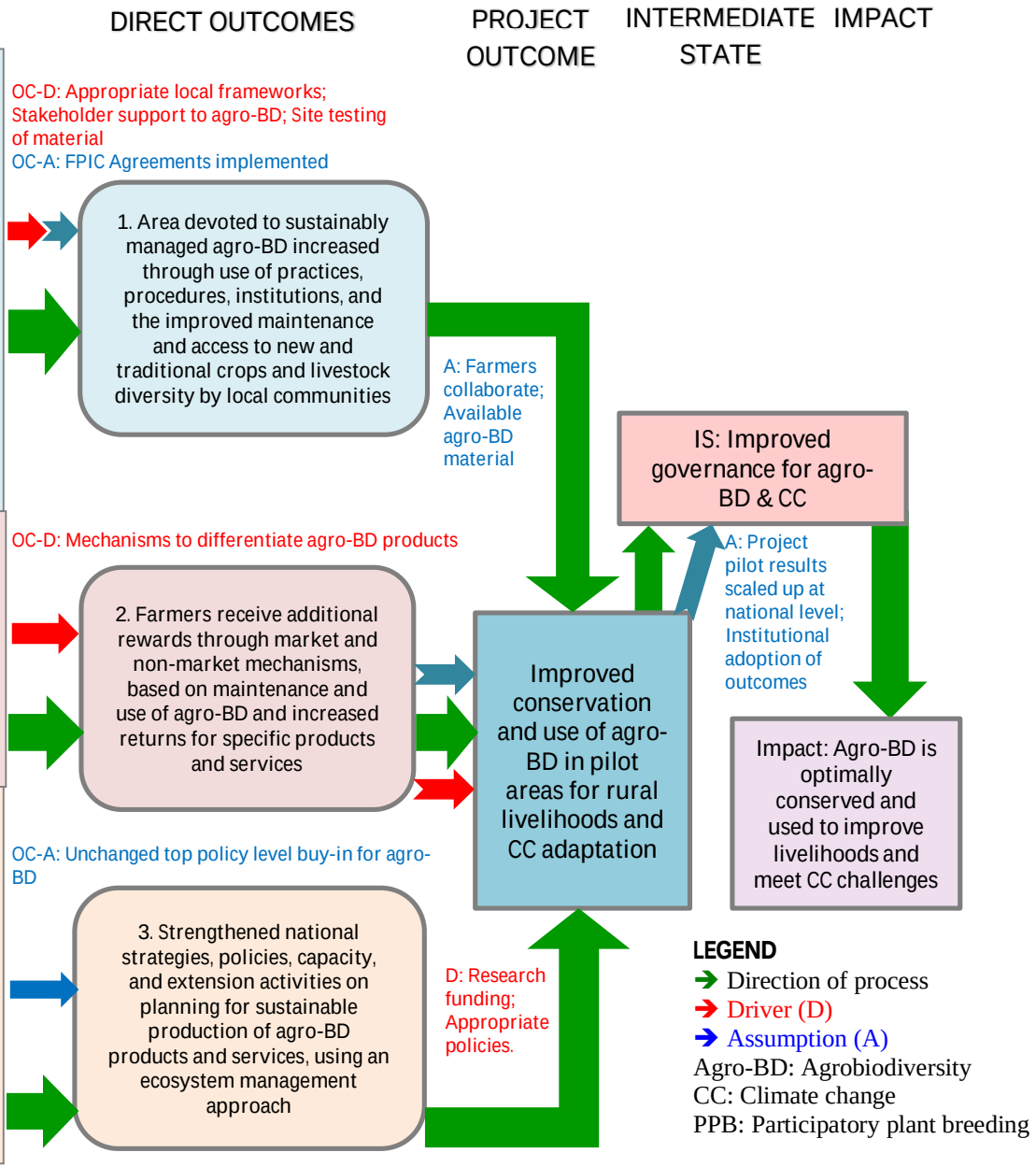
Fig. 3. Theory of Change.

OUTPUTS

1.1 Traditional crop varieties, livestock breeds, agroforestry and medicinal plant species maintained and available to farmers in 3 selected landscapes D: FPICs signed; Traditional varieties, livestock breeds and other spp made available
1.2 Diverse and adaptable plant and livestock material are available from gene banks and other sources and tested by participating communities in the 3 selected sites D: National gene bank and agencies support material distribution. A: Varieties, populations, breeds or spp available and accessible; Farmers have land and time to test new material
1.3 Sustainable and adaptive management practices, supporting traditional crop varieties and livestock breeds, crop wild relatives, medicinal and agroforestry species, soil micro-organisms, pollinators and other insects are adopted in the 3 selected pilot landscapes A: Farmer interest remains unchanged; Resource constraints don't limit adoption of practices; Perverse incentives don't prevent adoption of sustainable practices
1.4 Knowledge management and sharing practices and guidelines that support .... agreed and adopted by participating communities in pilot sites in 3 selected landscapes D: Improvement of traditional materials through PPB. A: Farmers/ community members have opportunities for training; Communities agree to participate
1.5 Local and national indicators and monitoring procedures for ... are available and in use at local and national levels and contribute to a national agrobiodiversity information system A: Communities & officials are willing to adapt/ adopt new M&E practices; Continuing

2.1 Local markets provide improved benefits to farmers and communities at 3 sites for sustainably produced agro-BD products A: Local political, administrative and farmer support is present; Consumer interest exists; Perverse incentives are not present or can be removed
2.2 International and national marketing opportunities for farmers identified for key high value agro-BD products produced using sustainable practices A: Competent certification authority or process; Perverse incentives are not present or can be removed; Consumer interest and economy allow for agro-BD products
2.3 Improved production and non-market benefits from sustainable use of agro-BD obtained by communities at 3 sites, and potential strategies for capturing and enhancing such benefits at the national level identified A: Agrobiodiversity product development and nonmarket benefits of agro-BD conservation enhanced

3.1 Revised national agro-BD strategy available for Sri Lanka stakeholders, providing a framework for mainstreaming agro-BD conservation and use, and ecosystem services into relevant Ministry decisions on agricultural production, food security and CC adaptation D: Different sectors accept and support an integrated approach
3.2 Relevant ministries and other national stakeholders have access to guidelines and recommendations, to mainstream agro-BD into national sector plans and programmes for food security, sustainability and climate change adaptation D: Ministries inform and give guidance; Sectors collaborate to develop integrated guidelines
3.3 Farmers in 3 pilot landscapes have access to extension services on agro-BD maintenance and use, by trained national, regional and community-based outreach staff, and the introduction of new material D: Cooperation from regional / national media A: National/ regional agencies agree to agro-BD approaches; Trained officers are retained in regions
3.4 New interdisciplinary research & development projects on integrated agro-BD management undertaken by Sri Lankan university departments and Department of Agriculture A: Sufficient resources made available; Student interest



72. The project has a clear design, since all outcomes and outputs clearly go towards reaching the project objective. The results framework uses SMART indicators for outputs and outcomes, considering that time is covered through the timeline for tracking targets at mid-term and end of the project.

73. In the model of the Reconstructed TOC, the processes between outputs, direct outcomes, project outcome, intermediate states and impacts are part of a logic interaction where it is necessary to consider the processes, drivers, assumptions and risks. The drivers (D) and assumptions (A) are marked in the diagram with arrows of different colours, but the risks (R) are not included to avoid making the diagram too complex. The information in the following tables is partly taken from the project document and results framework, and partly proposed by the Evaluation Team. In all components strong project activity and interaction with stakeholders would also be drivers for results, but these general aspects are not included in the TOC.

74. This is a tool and not a science. There could therefore be different opinions about what are the drivers and what are the assumptions. The Evaluation Team's representation is informed by the reading of project documents and the data collected during this evaluation. It is also important to highlight that some issues could be assumptions and risks at the same time, especially if there was insufficient baseline information to make certain assumptions during the project design phase. In the following tables, the medium risks from the ProDoc are included but low risks from the ProDoc are not included except those considered to be at least Medium. The Evaluation Team has also added some new risks (marked with Italic).

75. As mentioned in the TOC diagram, to be able to achieve the expected impact after the project implementation, it would require that project pilot results are scaled up from local to national level, and that the relevant institutions adopt the project outcomes.

Table 8. Process to reconstruct Outputs in ToC. Source: ProDoc, complemented by the Evaluation Team.

Component	Drivers (D)	Assumptions (A)	Risks (R)
1	1.1 FPICs signed; Traditional varieties, livestock breeds and other spp made available 1.2 National gene bank and agencies support material distribution 1.4 Improvement of traditional materials through PPB	1.2 Varieties, populations, breeds or species available and accessible; Farmers have land and time to test new material 1.3 Farmer interest remains unchanged; Resource constraints don't limit adoption of practices; Perverse incentives don't prevent adoption of sustainable practices 1.4 Farmers/ community members have opportunities for training; Communities agree to participate 1.5 Communities & officials are willing to adapt/ adopt	Project success leads to shortages of required seed or other materials Adoption of agrobiodiversity rich strategies (e.g. traditional varieties) may lead to negative effectives on farmer incomes and local economies Not enough farmer land and time to text new material New perverse incentives from public or private sector (e.g. agro-quemical firms)

		new M&E practices; Continuing national support for M&E; farmers/ communities identify benefits of participating	
2		2.1 : Local political, administrative and farmer support is present; Consumer interest exists; Perverse incentives are not present or can be removed 2.2 Competent certification authority or process; Perverse incentives are not present or can be removed; Consumer interest and economy allow for agro-BD products 2.3 Agrobiodiversity product development and nonmarket benefits of agro-BD conservation enhanced	Agricultural production strategies favour system simplification and not agrobiodiversity (owing e.g. to declining food security) Markets are not prepared to pay for agrobiodiversity Financial crisis reduces local value of project budget and/or prices on agro-BD products New perverse incentives from public or private sector (e.g. agro-quemical firms)
3	3.1 Different sectors accept and support an integrated approach 3.2 Ministries inform and give guidance; Sectors collaborate to develop integrated guidelines 3.3 Cooperation from regional/ national media	3.3 National/ regional agencies agree to agro-BD approaches; Trained officers are retained in regions 3.4 Sufficient resources made available; Student interest	Agricultural production strategies favour system simplification and not agrobiodiversity (owing e.g. to declining food security) National Government Ministries and other organizations do not cooperate or demonstrate effective coordination on activities and policies The political and/or security environment deteriorates

Table 9. Process to reconstruct process from Outputs to Outcomes in the ToC (including Project Outcome) (source: ProDoc, complemented by the Evaluation Team).

Component	Drivers (D)	Assumptions (A)	Risks (R)
1	Appropriate local frameworks; Stakeholder support to agro-BD; Site testing of material	FPIC Agreements implemented Farmers collaborate; Available agro-BD material	All project risks mentioned for outputs are also valid for the outcomes, but the risks that would have an

2	Mechanisms to differentiate agro-BD products		impact on national level are most relevant
3	D: Research funding; Appropriate policies.	Unchanged top policy level buy-in for agro-BD	

VI. EVALUATION FINDINGS

G. STRATEGIC RELEVANCE

76. The GEF plays an important role in supporting countries' efforts for sustainable management and conservation of ecosystems. GEF is the world's largest source of funding for Biodiversity conservation, while at the same time building a foundation to improve the livelihood of rural people who rely on agriculture to survive. The GEF has been a major catalyst of innovations in biodiversity conservation and agrobiodiversity, reduced risk of pollution and degradation of soil and water resources, and reduced greenhouse gas emissions, as well as increased sustainability and resilience. GEF's investments serve as an important entry point to promote climate-smart agriculture and food security.

77. The BACC project (GEF ID 4150) is highly relevant considering Sri Lanka's environmental challenges, especially in the agricultural sector. The country has been troubled by the rise of over-cultivation, overgrazing, deforestation, and poor irrigation practices, that are degrading lands and ecosystems on a large scale and resulting in negative environmental, social and economic consequences. Roughly half of all land is under considerable degradation, causing low fertility and poor agricultural production.

78. The project was also very relevant in relation to Sri Lanka's official policy, as party to the three Rio Conventions (UNCBD, UNCCD, UNFCCC), and signatory to both the Kyoto protocol and the Paris Agreement on Climate change. The National Adaptation Plan cites the need for investments in new models of sustainable agriculture that use market-based incentives to ensure long-term sustainability and build greater capacity among extension officers and farmers. Without such new solutions, land and ecosystems degrade at a rapid pace, directly impacting natural resources and reducing agricultural productivity and loss of biodiversity, vegetation cover and water. This in turn leads to decline in the quality of life for rural communities, particularly smallholders. The government is keen to address the problems, but measures so far have only had limited impact.

79. The project was originally designed during UNEP's Medium Term Strategy (MTS) 2010-2013 "Environment for Development", which provided the vision and direction for the UNEP activities 2010–2013 and the UNEP-GEF portfolio 2010–2014. The MTS defined six crosscutting thematic priorities, each with a defined objective and expected accomplishments. Each of the three project components relates to one of these priorities: (i) Ecosystems management; (ii) Climate change; and (iii) Environmental governance. The project also related to the MTS priority on Disasters and Conflicts, through ecosystems-based DRM.

80. The project was clearly relevant for the the UNEP Programmes of Work (PoW) 2011-12 and 2012-13 in the framework of the MTS. It contributed to Sub-Programme 1 (Climate change), Expected Accomplishment (a): "Adaptation, planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data."; and Sub-Programme 3 (Ecosystem Management), Expected Accomplishments (a): "Enhanced capacity of countries and regions to integrate an ecosystem management approach into development and planning processes"; and b: "Countries and regions have the capacity to utilize and apply ecosystem management tools".

81. The project design would not have had the possibility to consider newer strategies and work plans, however it is interesting to note the project's strategic relevance for the UNEP MTS 2014-17, which supported integrated management of land and water for the provision of ecosystem services, including freshwater efficiency, and how integrated ecosystem management can help countries maintain the ecological foundation on which production systems depend. The project is also relevant in the framework of the Ecosystem Management subprogramme of PoW 2016-2017 and 2018-2019.

82. Even though the project document doesn't mention the Bali Strategic Plan for Technology Support and Capacity Building (adopted 2005) and the South-South Cooperation Initiative under this plan, the Evaluation Team found that the project is coherent with UNEP's strategic priorities in this regard, including strengthening of the governments' capacity in aspects related to UNCBD. South-South cooperation is covered by the project under what the ProDoc mentions as targeted North-South-South exchanges among national and international experts. The project participated in a network for exchange of experiences established under the UNEP-GEF global project "Mainstreaming biodiversity conservation and sustainable use for improved human nutrition and well-being (GEF ID 3808), which additional to BI included the DoA of Sri Lanka, Secretariat of Biodiversity and Forests under the Ministry of Environment, Brazil, and the Kenya Agricultural Research Institute.

83. The project contributes to many of the SDGs, especially Goal 15: Life on Land; Goal 13: Climate Action; and Goal 17: Partnerships for the Goals. It is also to a certain degree related with SDG Goal 1: No Poverty, and Goal 5: Gender equality. It is also contributing to the compliance with the Aichi Biodiversity Targets, reflected in five strategic goals: A. Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society; B. Reduce the direct pressures on biodiversity and promote sustainable use; C. Improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity; D. Enhance the benefits to all from biodiversity and ecosystem services; and E. Enhance implementation through participatory planning, knowledge management and capacity building.

84. The national institutional setup was also relevant, anchored in the DoA and the MoE. In this ministry the project was handled by the Biodiversity Secretariat (BDS), which was a bit difficult because they focus on policy and do not carry out field-level activities. The DoA had a more practice-oriented relation with the project because of its supervision of agroforestry activities. The project management unit was established within the DoA, and was encouraging collaboration between the two main public sector partners that was positive for inter-institutional relations and common goals. The project was also highly pertinent for local livelihoods, providing a new dimension and technical-scientific approach to the use of agrobiodiversity for smallholders and local users of the natural resources, and for local communities and micro-enterprises, women and youth, including the poor with low or no level of education.

85. The project pilot sites were highly relevant, representing different agricultural landscapes, selected with the goal to find interesting sites from an agrobiodiversity point of view, and at the same time representing different production systems. As mentioned in the introduction, the three areas selected were the Owita system in Millaniya, the cascade tank village system in Gampola, and the Kandyan home gardens in Udukumbura.

Box 1. **Selection criteria for agro-ecosystems and landscapes included in the project**
Presence of different and unique agrobiodiversity in proposed landscape
Economic and socio-cultural importance of agrobiodiversity, and of agroecosystem characteristics and function to communities within the landscape
Importance of agrobiodiversity to agroecosystem function
Vulnerability to Climate change and need for adaptability and increased resilience
Interest of communities in participating and existence of local institutions and organizations
Potential for improved production, better returns and improved livelihoods based on sustainable management
Potential for improved ecosystem function and agrobiodiversity maintenance from adoption of sustainable practices
Role of the communities as repositories of traditional knowledge relevant to agrobiodiversity management
Limited research (and therefore limited knowledge) on these systems and landscapes to date
Poor institutional and policy support to date
Recognized potential to test the proposed integrated approach combining management of crop, livestock and other components of agrobiodiversity in a complex, diverse system
Accessibility

86. To conclude, the project was highly relevant in the framework of GEF's, UNEP's and the Government's policies and strategies, the country's policies and compliance with international conventions, and the interests of local stakeholders, especially smallholders.

87. The project was also complementary to some other agricultural and biodiversity interventions in the country, such as the UNEP-BI Project GEF ID 3808 mentioned above, but the opportunities for collaboration with other initiatives were not taken sufficiently advantage of, partly due to limited donor coordination.

Strategic Relevance is rated 'Highly Satisfactory' (HS)

H. QUALITY OF PROJECT DESIGN

88. The Evaluation Team reviewed the quality of the project design, based on the key sources Project Document with annexes and the Results Framework. The review considered that it is a full-size project (FSP). The project design has many areas of strength and very few weaknesses. Following the UNEP form for assessment of project design quality and its weighing of 13 section criteria, the design comes out with a total score of 4.84 on a scale from 1 to 6, which is categorized as **Satisfactory**.

89. The Evaluation Team consider that the implementation structure included in the project design was not conducive to support the effective delivery of results, since it consisted of national project partners that were inefficient and without local staff in the project areas, combined with BI staff only stationed abroad. Frequent missions to Sri Lanka cannot make up for having permanent project staff in the country.

90. Major strengths of the design were Strategic Relevance; Governance and Supervision Arrangements; Learning, Communication and Outreach; Financial Planning and Budgeting; Sustainability, Replication and Catalytic Effects; and Identified Project Design Weaknesses and Gaps. Some weaknesses were found in Project Preparation; Intended Results and Causality; and Logical Framework and Monitoring. The analysis is summarized below and more detail is given in Annex C.

Table 10. Summary of the project design review

	Criteria	Rating (1-6)	Explanation
A	Nature of the External Context	3	ProDoc presents a solid analysis of the agrobiodiversity and human society in Sri Lanka. It mentions also threats and challenges. Natural disasters ("environmental events") and possibility of conflict ("political and security environment deteriorates") are only reviewed in the risk matrix, where both risks are considered as low. Possibility of change in national government is not considered.
B	Project Preparation	4	There is a clear situation analysis for the project, problems to resolve, threats to the sector, root causes and barriers. Environmental and social sustainability is mainstreamed throughout the project document. The stakeholder analysis is good and defines the expected involvement of each stakeholder in the project. BI and UNEP undertook extensive stakeholder consultations with potential partners and actors during the PPG phase, both at national and international level. The ProDoc has no gender analysis, only a mention that project interventions will pay particular attention to gender and youth mainstreaming. Indigenous peoples and ethnic issues are not mentioned; however, the design phase used an FPIC approach.
C	Strategic Relevance	6	The ProDoc is clearly aligned with UNEP strategic priorities defined in MTS/PoW, especially on Ecosystems management, Climate change adaptation and Environmental governance, that are reflected in each of the three components. The document is also aligned with the Bali Strategic Plan, due to focus on stakeholder capacity building. The project coordinated with private

			sector stakeholders, Universities and NGOs, as well as with many government agencies.
D	Intended Results and Causality	4	The project has a logical design reflected in the causality between main objective, outcomes and outputs, as mentioned in the results framework. Drivers are not mentioned in the ProDoc and threats are commented only as threats to agrobiodiversity, and therefore not directly related to the process from outputs to outcomes. Expected impacts of the project are also not defined in the ProDoc. Roles of national partners are defined, but not their roles for causal pathways. No TOC analysis was carried out during the design phase, but the MTR included a good TOC analysis. The Evaluation Team reviewed the results of this exercise in chapter 5.
E	Logical Framework and Monitoring	3	The Results Framework captures the TOC from outputs to outcomes, but not from outcomes to impacts. There are baselines, targets and clear indicators (mostly SMART) for outcomes and outputs, which are defined by mid-term and end of project, but there is no clear relation between baselines and targets, and not all baselines were finalized. Responsibilities for monitoring are defined in the M&E Plan, and there is an M&E budget. There was no separate Work Plan, but it would be developed during implementation together with national stakeholders. N.B. There is no Logical Framework for the project, and maybe for that reason the impact was not defined in any framework[7].
F	Governance and Supervision Arrangements	6	The institutional arrangements for project implementation are clearly defined, including the relation between the international and national staff. It is highly positive that ProDoc Appendix 10 presents a clear decision-making flowchart and organigram. A Steering Committee provided strategic guidance for implementation (see 1.3). Clear responsibilities were defined from the start, and the dialogue between the international and national team members determined annual work plans and targets. The UNEP/GEF Coordination Office was monitoring implementation and is responsible for reports to GEF, while a UNEP TM has been supervising the project directly.
G	Partnerships	6	Capacities of partners seem to have been adequately assessed. Roles and responsibilities of external partners were reviewed and specified during the design process. Co-financing of US$ 3.2 Million was defined at approval and many co-financing letters were also in place. Co-financing partners at the moment of project approval consisted of 8 national government agencies, 3 national NGOs, 3 national universities, 4 international partners, and BI itself.
H	Learning, Communication and Outreach	6	Knowledge management and training is covered mainly by components 1 and 3, however also component 2 has elements of knowledge management and capacity building. Project communication with stakeholders was done through videos, publications, brochures, workshops and direct communication

[7] The lack of a logical framework is due in part to the UNEP project cycle/ Programme Manual requirement for project design, which only requests the development of a results framework.

			with project partners, local stakeholders and beneficiaries. Results and lessons learned are being disseminated both from BI and the partners.
I	Financial Planning / Budgeting	6	There are no obvious deficiencies in the budgets / financial planning at design stage. BI achieved US$ 1.51 million grant co-financing and US$ 1.72 million in-kind co-financing before approval.
J	Efficiency	5	There is a good relationship between project duration and secured funding. The project was designed making use of the BI experience and pre-existing collaborations, and expected synergies and complementarities with on-going activities of the partner organizations. There is no cost-efficiency strategy. Two no-cost extensions were given, the last until March 2020, mainly due to delays of fund transfers, not due to design failure. The ProDoc includes an incremental cost reasoning and an annex with a complete incremental cost analysis.
K	Risk identification and Social Safeguards	4	Risks are identified in the ProDoc's Risk Table, which demonstrates that the design team has understood the meaning of project risk. It however includes no high risks, and the project risk was in general considered as low. It is surprising that the possibility of social unrest was not detected, considering that Sri Lanka had recently ended its long civil war (1983-2009). Financial risks were not considered, such as large changes in exchange rate, and delays of fund transfers (which occurred). Even though the risk analysis is quite good, it is not clear if the risk level is based on probability of occurrence and/or impact in case of occurrence. The ProDoc has a short but good analysis of environmental and social project safeguards, where no major negative and many positive environmental impacts were expected. There is no strategy to reduce the project's negative environmental and/or carbon footprint.
L	Sustainability / Replication and Catalytic Effects	6	Sustainability is mainstreamed in the Project Document. The project has an appropriate design to finalize its purpose, however not defined as an exit strategy. The project's main results would be integrated into the partner organizations' daily work and BI's work at national and international level. The project has a replication strategy to scale up results and achievements. It was designed to directly support Sri Lanka's contribution to CBD's Strategic Plan and the Aichi Targets adopted at the 10th CBD COP.
M	Identified Project Design Weaknesses/ Gaps	6	The project was treated in a PRC meeting and the revised ProDoc complies with all requirements from the meeting. The GEFSEC checklist also showed that the project design complied with all requirements.

Quality of Project Design is rated 'Satisfactory' (S)

I. NATURE OF THE EXTERNAL CONTEXT

91. An introduction to the context for natural resources, environment, and institutional setup in Sri Lanka is included in other sections. The agricultural sector and its development is the most important external context for the project implementation and possibilities for achieving results. The most important export product is tea (not emphasized in the BACC project), however the country produces also a large range of other agricultural products.

92. The country is affected by Climate change and relatively frequently by natural disasters. Climate change and environmental events (e.g. natural disasters) are considered in the ProDoc risk framework as a low risk. However, Sri Lanka is vulnerable to natural disasters, especially to typhoons and flooding. The likelihood of natural disasters in the pilot areas is variable and difficult to assess, but the project would indirectly increase local disaster resilience in these areas. The Evaluation Team considers that this is a relatively low risk for the main project objectives, but it could have a strong effect locally depending on the pilot sites.

93. The political situation on national level is relatively stable. Sri Lanka had national elections during the project period, in 2015. Since the project was focused on local production of agrobiodiversity, it should normally not be much affected by national elections. The local social and political situation is however a factor that could have had an important impact on the project results. The project initiated just after a long civil war, but the three pilot sites are ethnically relatively homogenous and have not been affected by ethnic conflicts. On the other hand, a muslim terrorist attack in Colombo April 21st 2019 resulted in strict government measures and closed public offices for a period. Even though this might have delayed the project a bit during the last year of implementation, it was not a major reason for the project delay, since the project closure date had already been extended.

94. An external factor that positively influenced project performance was the **government policy**. There was already a high interest for sustainable agricultural production and Climate change adaptation when the project started, and during the project BI/UNEP experienced an increasing interest for agrobiodiversity conservation and ecosystems based adaptation, which resulted in strengthened collaboration with the central and local governments.

Nature of External Context is rated 'Favourable' (F)

J. EFFECTIVENESS

i. Availability of outputs

95. The project made slow progress towards outputs in the first years, to a great extent due to problems with transfer of project funds, since the money-flow through the government resulted in much delay. Later, the progress towards outputs improved, but the initial delay required a no-cost extension of two years and three months.

96. The PIRs did not track the outputs according to the targets in the results framework, but instead, this was monitored according to progress in the activities towards achieving the outputs. The terminal report 2019 mentions real outputs, but does not provide details on the indicators in the results framework. Since there are weak baseline figures and not very concrete results defined for some of the targets, it was not possible to establish the % compliance with each target. Instead, as a second option, a "traffic light model" was used.

97. In the table below, the assessment in the last column is mostly based on information from the Terminal Report, PIRs and interviews, however some results were updated with information achieved by the national consultant Nov 2021, especially regarding field issues.

98. Regarding most targets for output 1.1.4, the Evaluation Team was not able to do any assessment because of insufficient data presented. For a planned Free, Prior and Informed Consent (FPIC) protocol no information was included in the progress reports. It should be highlighted that the project has carried out and impressing number of training events with a total of 3,468 people trained, including national, provincial and local level, and at least three training events on gender issues. All the training events are still not enough to determine the % of farmers trained, because BI has not presented any complementary data on the total number of farmers living in the project areas. The Evaluation Team found on the Internet that the project areas have a total population of more than 2.4 million people, but no figures for the farmer population in each project area has been found.

Table 11. Achievement of outputs

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Output 1.1.1: Traditional crop varieties, livestock breeds, agroforestry and medicinal plant species maintained and available to farmers in 3 selected landscapes (sites).					
Indicator 1.1.1 A: No. of CBR at each site providing info on maintenance of plant var., animal breeds, other selected spp	0	CBRs established	CBR maintained at each site (3)	3	
Indicator 1.1.1 B: No. and/or distribution of traditional crop varieties, livestock breeds, agroforestry and medicinal spp improved measured by richness and evenness data in each site	Estimate first 6-9 project months	Traditional var. required by communities identified and available	20% increase in overall richness/ evenness of 3 crop spp, 1 animal sp, 3 other useful plants in at least 2 sites	Crop variety increase 50% in 2 sites; 1 animal sp. Best adapted varieties of >20 crops, 15 medicinal plants re-introduced	
			Improved populations of 1 traditional variety/ breed available at 2 sites	5 breeds of local chicken introduced and adopted in the sites	
Indicator 1.1.1 C: PPB programme established	0	PPB programme initiated for 1 crop at each site	PPB programme maintained at each site	40% of the farmers involved adopt reintroduced crop var. of >10 crop spp, increased 30% the var.	

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Indicator 1.1.1 D: Strengthened seed supply systems (no, types of exchanges) of relevant target material in and between sites	Quantitative data first 6-9 project months	Not def.	New institutions support local seed maintenance and exchange systems in 2 sites	The community seed banks and seed supply system are working. Local farmers are aware that if they get one kg seed, they have to provide two kg back to the seed bank.	
Output indicator 1.1.1					
Output 1.1.2: Diverse and adaptable plant and livestock material available from genebanks and other sources, and tested by participating communities in the 3 selected sites					
Indicator 1.1.2 New crop varieties, livestock breeds, other useful plant spp tested and introduced by communities at 3 CBR	New crop varieties and animal breeds from Sri Lanka distributed by extension services without regard for CC adaptability or suitability for sust. production	Potentially useful crop, livestock and agroforestry material identified through PRAs and tested through PVS or other approaches	2 new crop var., 1 animal breed, 2 agro-forestry or medicinal spp adapted to sust. production provide enhanced adaptability to CC in 2 sites	3-5 field-tested best adapted varieties of important crops adopted by farmers in project sites	
			Guidelines on best practices for identification and making available new material to improve adaptability/ resilience, available in 3 languages	Guidelines etc on sust mgmt. distributed to farmers, CBO, and adopted by Extension Services.	

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Output indicator 1.1.2					
Output 1.1.3: Sustainable and adaptive mgmt practices, supporting traditional crop var./livestock breeds, crop wild relatives, medicinal and agroforestry spp, soil microorganisms, pollinators and other insects adopted in the 3 selected pilot landscapes					
Indicator 1.1.3 A: Performance of relevant ecosystem properties within the 3 selected sites and their contribution to Sustainability	Estimates of initial ES provision in each site during first 6-9 project months	Major limitations to sustainability where agro-BD can make most contribution identified	Sustainable harvesting guidelines adopted for 2 medicinal or agro-forestry spp at each site	Guidelines for sustainable harvesting of at least 2 medicinal or agroforestry spp adopted at each site	
			Farmer instit. support cooperation on adoption and use of sustainable mgmt practices	Farmers receive instit. support on adoption and use of sustainable mgmt practices	
Indicator 1.1.3 B: Positive changes in ecosystem properties that result from adoption of sustainable mgmt practices, e.g. soil & water conservation, pollinators, sustainable harvest (confirmed in the field Nov 2021).	Estimates of initial ES provision in each site during first 6-9 project months	Adoption of 2 improved agro-BD mgmt practices and programmes initiated at each site	20% of farmers at 2 sites adopt 1 sustainable mgmt practices	At least 30% of farmers at 3 sites adopt 1 or more sustainable mgmt practices	
			2 identified improved mgmt practices at each site enhance ecosystem regulating and support Services	1-2 new improved mgmt practices at each site that enhance ecosystem services	
Output indicator 1.1.3					
Output 1.1.4: Practices, procedures and guidelines support maintenance and sustainable use of traditional crop, medicinal, agroforestry spp and traditional livestock systems, agreed and adopted by participating communities in pilot sites in 3 selected landscapes					

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Indicator 1.1.4 A: FPIC agreement terms and conditions	Inadequate knowledge mgmt and sharing practices at any site	FPIC signed and reviewed by communities and partners	A tested nationally relevant FPIC protocol available with initial implementation	No data reported	Not rated
Indicator 1.1.4 B: Documentation on testing and implementation of 3 best practices at each site	Assessments of community-based CC adaptation in 3 pilot sites in first 6-9 project months	0.3N* farmers trained in community documentation and relevant mgmt practices *(the Evaluation Team doesn't understand this indicator)	40% of farmers at each site trained in diversity assessment, sustainable mgmt, variety (3 crops) and breed (1 sp) maintenance.	3,468 people trained, but not sufficient data to estimate % of farmers trained.	Not rated
			20% of farmers at each site trained in PPB	Same as above	Not rated
		3 knowledge mgmt. practices introduced and tested	3 knowledge mgmt and sharing practices evaluated and documented in each site	Regular diversity fairs, but no knowledge mgmt sharing practices evaluated	Not rated
			Guidelines on introduction and use of appropriate knowledge mgmt and sharing practices in 3 languages	Not prepared	
Output indicator: n/a					

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Output 1.1.5: Local and national indicators and monitoring procedures for crops and their wild relatives, medicinal and agroforestry spp, livestock, soil microorganisms, pollinators in use and contribute to a national agrobiodiversity information system					
Indicator 1.1.5 A: Set of indicators identified that can be readily and repeatedly used in decisions for adaptive mgmt by local and national stakeholders	0	Provisional set of indicators of socio-ecological resilience, sustainability, diversity identified and tested with communities	Local monitoring procedures and programmes provide communities information on state and change of agro-BD and socio-ecological resilience in 2 sites	CBR are functional tools to monitor status of agro-BD on – farm and in community. Methodology to assess BD on farm developed and tested in project sites. Update 2021 indicate that this functioned for a while but could not continue due to lack of funds and human resources.	
Indicator 1.1.5 B: Local and national monitoring procedures and programmes	Agro-BD information is dispersed or non-existent	Training in indicator use and monitoring procedures initiated	Community personnel at 3 sites and national staff trained in use of indicators and monitoring procedures		
		Preliminary plans for monitoring procedures and programmes	National monitoring procedures provide info on key indicators of the state and change of agro-BD socio-ecological resilience		
Indicator 1.1.5 C: National agro-BD information system	0	National Agro-BD Information system designed	National online Agro-BD information system available		
Output indicator 1.1.5					
Output 2.1.1: Local markets provide improved benefits to farmers and communities at the 3 sites for sustainably produced agrobiodiversity products					

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Indicator 2.1.1 A: 3 sites distributing additional traditional and new crop, livestock and agroforestry products	0	Barriers identified in local markets	Local markets contain seed or other material of traditional var. (1 crop) and breeds (1 animal sp.)	Local markets increased offer and re-introduced agro-BD products, incl medicinal plants, rice var., trad. chicken breed	
Indicator 2.1.1 B: CBOs and/or market cooperatives in place and handling increased traditional and new agro-BD products	CBOs or coops not present or not concerned with improving exchange and marketing of material and products from sustainable use of agro-BD	CBOs or coops at each site have initiated interactions with local markets and marketing agencies	3 CBOs supporting marketing of traditional and new products from sustainable use of agro-BD	8 CBOs (new and old re-vitalized) in the 3 project sites are specialised in production of agro-BD products, active and capable of providing tech support for their members	
Output indicator 2.1.1					
Output 2.1.2: marketing opportunities identified and developed for key high value agrobiodiversity products produced using sustainable practices					

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Indicator 2.1.2 A: A set of high value products from improved use of agro-BD	Marketing opportunities exist but don't recognize agro-BD value of products or ecosystem sustainability properties	Marketing barriers and opportunities for high-value products from project sites and relevant market chains identified with activities needed	Marketing opportunities identified for 2 new high value products from improved use of agro-BD at the project	National marketing opportunities identified: Medicinal plants with high market value produced in 3 sites to be used in Ayurveda industry. Two CBOs in Milleniya and Giribawa developed BD product, but could not complete production	
			National procedure/code for recognizing products from improved use of Agro-BD	No result	
Output indicator 2.1.2					
Output 2.1.3: Improved production and non-market benefits from sustainable use of agrobiodiversity obtained by communities at 3 sites, and potential strategies for capturing and enhancing such benefits at the national level identified					
Indicator 2.1.3: Production and non-market benefits from sustainable use of agro-BD identified and potential benefits described at 3 sites	Production and non-market benefits from	Potential set of production and non-market	Production and non-market benefits quantified at 2 sites, from sustainable use of agro-BD	Most valued non-market benefits quantified through a methodology developed	

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
	sustainable use of agro-BD described in general terms without quantify-cation or reference to local or national conditions	benefits, and potential incentive mechanisms for their capture and enhancement identified at 3 sites	Mechanisms to support capture and enhancement of production and non-market benefits identified, designed and tested	within the project. Production is successfully working on-site, but outstanding issue 2021 is marketing place for Giribawa and Udakumbura.	
			Recommendations for identification, capture and enhancement of such production and non-market benefits as part of the National Agro-BD Strategy	Recommendations to support production of market and non-market benefits elaborated, but it needs substantial changes.	
Output indicator 2.1.3					
Output 3.1.1: A revised Sri Lanka national agrobiodiversity strategy provides a framework for mainstreaming agrobiodiversity conservation and use and ecosystem services into relevant Ministry decisions on agricultural production, food security and Climate change adaptation					
Indicator 3.1.1 A: Documented national agro-BD strategy	0	Expert network working on developing strategy	National Agro-BD strategy which embedded into national programs submitted for govt approval	Recommendations to modify the agro-BD strategy compiled and submitted to relevant agencies.	

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
		Action plan and training program for capacity to develop national strategy	Action plan and training program for capacity to implement the national strategy	No result	
Indicator 3.1.1 B: National policy guidelines/recommendations developed and under consideration by MoE and MoA	0	1 evidence-based brief on policy of agro-BD mgmt and use	3 evidence-based briefs on policy of agro-BD mgmt and use	No result	
Output indicator 3.1.1					
Output 3.1.2: Guidelines and recommendations prepared for relevant Ministries that promote mainstreaming of agrobiodiversity into national sector plans and programmes in ways that support food security, sustainability and adaptation to Climate change					
Indicator 3.1.2: A set of national policy guidelines and recommendations	0	National laws and regulations rele-vant for agro-BD mgmt and use reviewed	Drafts policies and recommendations available to ministries	Project review of the national BD strategy identified weaknesses, and gave five recommend ations for developing a National Action Plan for conservation and	
		Major elements and subject areas for guidelines identified	Guidelines and recommendations on agro-BD mgmt and use submitted to ministries		

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
		Draft recommend-dations; needs for new regulations identified	Drafts regulations available to ministries	sustainable use	
Output indicator 3.1.2					
Output 3.1.3 Farmers in the 3 pilot landscapes are supported by trained national and regional extension and other community-based outreach staff on agrobiodiversity maintenance and use and the introduction of new material					
Indicator 3.1.3: Trained personnel able to provide support to farmers on maintenance and use of agro-BD	No comprehensive training on mgmt and use of agro-BD	Needs assessment; Training program Designed	Extension agents and community based outreach staff in 3 regions trained on agro-BD mgmt and use	Broad training programme on agro-BD use and mgmt for CC adaptation/mitigation designed and delivered to govt officers.	
			International exchange program for N-S-S triangu-lation on agro-BD	Participation in an international network under GEF project 3808.	
			Public awareness material in 3 languages	Public awareness material in 3 languages	
Output indicator 3.1.3					
Output 3.1.4: New interdisciplinary research and development issues on integrated agrobiodiversity management are identified by project partners in Sri Lanka and course materials are available for use by institutes of higher education					

Description of indicator	Baseline level	Mid-term target	End-of-project target	Level Sept 2019, updated 2021[1]	TE assess-ment[2]
Indicator 3.1.4 A: Agro-BD relevant content of R&D programmes in agriculture and environment	Research on agro-BD not integrated in universities, gvmt and seldom Interdisciplinary	Agro-BD for ES, socioecological resilience and CC adaptation recog-nized as research area by SL research supporting bodies	2 new inter-disciplinary R&D projects on agro-BD, ES, socio-ecological resilience, and CC adaptation submitted for Implementation	University course on BD and ecosystems mgmt (rest of text removed because it was repeted from 3.1.2) This is still (Nov 2021) successfully functioning at Ruhunu University.	
Indicator 3.1.4 B: Proposals on course content in institutes of higher education	Students lack training on integrated agro-BD mgmt.	Course material from BI and others reviewed and revised	Course material for certificate, diploma and postgrad training		
Indicator 3.1.4.C: Not included in results framework to original and revised project document	0	n/a	National bi-annual Agro-BD symposium	National Agro-BD Symposium for CC adaptation, food and nutrition took place in 2019 (255 participants)	
Output indicator 3.1.4					

[1] Results extracted from Draft Terminal Report Sept 2019, updated under field missions 2021. [2]The compliance column refers to the Evaluation Team's assessment based on concrete data provided: Green = 100% of targets; Yellow: Most of targets; Red: Few or no targets.

99. Based on the information presented above it is not possible to define what is the % compliance of the project outputs based on indicators in the Results Framework. In the opinion of the current UNEP TM, there should not be so many indicators at project output level as it is in the Results Framework for this project. The Terminal Report was prepared by BI as the lead EA, and reviewed by the former UNEP TM. It is understood that the word "completed" used in the Terminal Report means that 100% of the planned activities and results were achieved (at least in terms of **quantity**). BI has indicated a project compliance of 100%, but the information in the table indicate that this was not the case.

100. In the opinion of the Evaluation Team, the output delivery compliance should refer strictly to the defined indicators and targets. This means that activities mentioned in the PIR reports that are not part of the output targets would not be considered in an estimation of compliance of outputs, but could still give added value for the outcomes. Other additional activities that are not reported would of course also not be considered on output level, however they could form part of the Evaluation Team's general impression of the project. The Evaluation Team consulted extensively with BI about the outputs that had not been achieved, or that were only in the process of being completed when the project ended (progress was updated in 2021, after the project had closed). These issues are also commented on under Efficiency.

101. The project has put considerable effort on implementing its plans in relation to awareness campaigns, producing various quality documents available at local level, and sharing findings of the studies and research through workshops, brochures, and leaflets. There were even some radio and TV programs prepared by the project with local access. It is also positive that the project exchanged documents and technical views within an international network of North-South-South collaboration through project ID 3808. Several documents produced by the university partners were originally in English, and then translated to Singhalese and Tamil, but in limited numbers.

102. At least 75% of the professionals and community members who attended project training were satisfied with the learning, and the great volume of training events made a strong impact (see Annex VI). One important factor that affected the results of the events is that not all local participants had sufficient knowledge base and interest, so how much they learned varied significantly. Despite having organized at least 89 events, training on some topics was not sufficient, especially for dairy cattle, which was new for e.g. the local community in Milleniya. Community members there think that the animal breeds distributed were not suitable to the area, but according to the Dean of the Faculty of Veterinary and Veterinary Surgeon of the Milleniya, that is not correct. It is more possible that some of the animals were weak.

103. According to teachers and participants in capacity building events, national stakeholders are not very used to participatory teaching methods, but expect a "right answer" from a person on a higher hierarchy level. Lower level officials therefore normally don't say anything when higher ranking persons are present. Officers in most agencies like to keep their authority and expect respect for their position and experience, because "that's the nature of Sri Lanka". Staff members interviewed express that participatory methods will also have problems in the villages. Some farmers are strict with their feelings, ideas and behaviour, but those who have some educational background like to share their views in front of the rest.

104. Regarding **timeliness**, since the project was building on some previous projects and activities executed by BI and partners (including the two main public sector partners), this gave the opportunity for a faster start than if it had initiated without that previous experience. However, working with the public sector and having the government as the channel for fund transfer was a challenge for timeliness (see section F. Efficiency) and affected the project effectiveness, especially during the first two years.

105. The lack of secured co-financing from some of the planned sources may also have been a factor affecting timeliness during implementation (see section E). The implementation period was officially extended by 2 years and 3 months until March 31st 2020, without additional funds from GEF. This issue is also addressed by the TE report under Efficiency.

106. The national partners and staff already had some experience working with BI, but they still had a steep learning curve, to be able to improve effectiveness and efficiency of the results of project activities. One problem was a high turnover of project staff, since project assistants in the public sector are normally low-paid jobs taken by young people right out of the university, and the assistants seek other better paid opportunities as soon as they have gained experience. All the four project assistants interviewed were women.

107. Information received from BI and partners was complemented by data collected in each pilot area, presented in table 12.

108. There was a gradual trend of improved effectiveness through the implementation period, first of all after the initial problems of fund transfer were partly resolved, and then again after the Mid-Term Review, which had a positive effect. The trend in improved effectiveness during implementation came also from a gradually increased understanding of the project approach and the strengthened capacity of the national partners and communities.

Table 12. Information on CBOs in the three pilot sites

Site	GN Division	CBO name	Main interest	Membership		
				Start	2017	2021
Giribawa	Gampola	Ekamuthu	Milk products, Animal husbandry (Poultry and Milk cow rearing), Sesame, Compost preparation, Home gardening. Soil Conservation, Bee keeping, Chena Cultivation, Seedbank management, Soil conservation.	28	75	86
	Wannikudawewa	Perakum	Milk products, Animal husbandry, Sesame, Compost preparation, Home gardening, Soil Conservation, Bee keeping, Chena cultivation. Community Seedbank management	37	32	39
Udadumbara	Padupola	Arunalu	Bee keeping, Animal husbandry, Value added products (e.g. pepper), Good agr. practices, Ayurvedic planting. Home Gardening, Soil Conservation. Seed bank, Biodiversity.	26	38	48
	Udukumbura	Upathissa	Bee keeping, Animal husbandry, Value added products (e.g. pepper), Good agr. practices, Soil Conservation, Home Gardening, Community Seedbank management,	8	27	27
Milleniya	Batagoda	Batagoda	Leafy vegetables, Seed bank, Animal husbandry (chicken, milk cows, beekeeping), Home Garden, Compost preparation	20	31	44
	Bellanthudawa	Gemunu	Bee keeping, vegetables, Animal husbandry, Floriculture, Value added products, Compost preparation	11	41	44
	Sidurangala	Sidurangala	Vegetables, Animal husbandry, Home gardening, Beekeeping. Floriculture, Compost preparation	10	21	21
	Lenawara	Lenawara	Vegetables, Milk products, Floriculture, Compost preparation. Animal husbandry, Home gardening.	8	19	25
			Total	148	284	334

109. **The evaluation revealed some aspects partly related to the project outputs:** The project's strategies and goals were transparent from the early design throughout the implementation, with broad stakeholder engagement and information on the project's progress and outputs, through publications, training events and seminars, often in collaboration with universities. It is, however, important to highlight that most local stakeholders in the three pilot regions didn't understand the project approach from the start. The communities also had previous experience that organizations often came to introduce projects, but there was no follow-up. For that reason, there was initially little interest, and each time the project staff visited the sites, it was like starting from scratch. Permanent field staff was not originally envisaged, but only when such staff members were permanently stationed in the pilot areas (after approximately two years), did the situation start to change, and it was possible to experience some type of local ownership based on continuity. This reflects one area of important adaptive management. In all the three areas community members expressed satisfaction with the community based field coordinators, who were able to strengthen the interest in the project activities and increase membership in local CBOs.

110. The three pilot sites were maintained throughout project implementation. According to the project's progress reports (PIR) there was a high degree of satisfaction among the local stakeholders with the products and services delivered through the project, mainly capacity building, technical assistance, training events and information material.

111. A Mid-Term Review was carried out towards the end of 2017, and concluded with a Satisfactory (S) rating on achievement of outputs and with a Moderately Satisfactory (MS)

rating on effectiveness of direct outcomes. The MTR report says that overall, and in spite of funding delays, the project had managed to deliver a fair range of very significant outputs and outcomes. It also ended up building a community of practice of faculty, researchers and line agency professionals supportive of the agenda on agrobiodiversity conservation. The MTR also concluded that the outputs were highly relevant to policy makers, planners, researchers and faculty.

112. The project carried out an impressive number of training events, with at least 89 events carried out on all levels (farmers, CBO, NGO, PMU, government agencies, and other partners) and a total of 3,468 participants. Annex VI presents the major content of the events from 2013 to 2019, with target groups, resource persons and duration, but it is a pity that gender of participants was not registered.

113. All outputs are considered as relevant and useful for reaching the project objectives. A large number of training events, technical assistance, training material and other convincing information on agrobiodiversity were produced as part of the project development process. It was positive that much training and information material was adapted to local conditions and translated into Singalese and even Tamil (not a major language in the pilot areas). According to conversation with community leaders, most of them are more interested in agrobiodiversity than in Climate change. They say that the project initially came as an agricultural support project but later developed in a different direction, including Climate change. It is however possible that the people interviewed in 2021 don't have the complete story from the beginning. Some of the CBO members say they feel Climate change is affecting them very badly due to yearly floods.

Availability of Outputs is rated Moderately Unsatisfactory (MU)

ii. Achievement of outcomes

114. The MTR report (Feb 2018) mentioned on Direct Outcomes that the agrobiodiversity had increased, market and non-market mechanisms were in place, and national policies, strategies and capacity were strengthened. The MTR considered that the project could deliver more effectively on these major outcomes by the end of 2019, given the wealth of local level studies, assessments and survey, provided that a well-managed plan would be put in place to address certain areas.

115. Some of the most important Direct Outcomes were based on observed concrete results such as: (i) incorporation of traditional knowledge about biodiversity based climate resilience; (ii) new valuable and resilient varieties and breeds of plants and animals; (iii) increased production of milk and eggs from new breeds of cattle and chicken; (iv) chicken incubators; and (v) use of seed banks - one large in each pilot site and many small on village level.

116. In the following table, the achievement of Direct Outcomes was assessed as performance against the outcomes as defined in the reconstructed Theory of Change. According to the Terminal Report, all outcomes were achieved, which means a high level of performance. There is not sufficient evidence for the Evaluation Team to be able to confirm the degree of achievement, since there is no direct relation in the Results Framework between most of the indicators, end-of-project targets, and results reported at the end of the project (Sept 2019). There is however enough information to confirm that not all the Direct Outcomes were actually achieved. It should also be noted that the results described are based on the project's self-reporting. The time and budget for the TE, as well as the challenges due to

COVID-19 did not give the Evaluation Team the opportunity for any alternative recompilation of data on project performance (such as a statistically relevant survey in the project areas). The in-country consultant's field visits in Sri Lanka Oct 2021 gave however some additional information to complete the information obtained from progress reports and interviews. The TE assessment has reviewed the end results based on all available sources with triangulation of information, and compared it with the expected outcomes and description of indicators.

Table 13. Achievement of outcomes

Outcomes (as per reconstructed TOC)	**Description of indicator**	**Baseline level**[1]	**Mid-term target**	**End-of-project target**	**Level Sept 2019, updated Nov 2021**[2]	**TE assess-ment**[3]
1. Area devoted to sustainably managed agro-BD increased through use of practices, procedures, institutions, and the improved maintenance and access to new and traditional crops and livestock diversity by local communities	1A. Traditional crop varieties, livestock breeds, agroforestry and medicinal plant	Unsustainable Practices in use at all sites. Full quantify-cation of nature and extent of these will be completed during first 6 project months Practices, procedures and material used to limited extent in an unplanned manner without specific relevance to	Actions that will improve sustainability developed and in process of testing, using participatory approaches at each site. Most important sources of vulnerability and lack of adaptability identified and actions that will support reduction identified and	1. Evidence of improved sustainability on 20% of production area of each site as measured through ES properties. 3 sites show a reduction in vulnera-bility as measured using appropriate indicators Diversity of crop var. of 3 crops, livestock breeds of 1 animal and of agroforestry and medicinal spp increased by 20% in terms of richness or evenness. Evidence of increased	Best adapted varieties for more than 20 crops, 15 species of medicinal plants and 5 strains of local chicken were re-introduced in project sites. Approximately 22% of the farmers in the project area adopted an average of 10 reintroduced crop varieties. An average of 2-3 reintroduced crop varieties (including medicinal plants) are covering approximately 75 ha. 1. Sustainability of production area in the 3 sites has improved through the adoption of sustainable management practices (e.g.	
	1B. Diverse and adaptable plant and livestock material are available from gene banks and other sources and tested by participating communities in the 3 selected sites.					
	1C. Sustainable and adaptive management practices, supporting traditional crop varieties and livestock breeds, crop wild relatives, medicinal and agroforestry species, soil microorganisms, pollinators and other insects are adopted in the 3 selected pilot landscapes.					
	1D. Knowledge management and sharing practices and guidelines that support maintenance and sustainable use of traditional crops, medicinal, agroforestry species and traditional livestock systems agreed and adopted by participating communities in pilot sites in 3 selected landscapes.					

Outcomes (as per reconstructed TOC)	**Description of indicator**	**Baseline level**[1]	**Mid-term target**	**End-of-project target**	**Level Sept 2019, updated Nov 2021**[2]	**TE assess-ment**[3]
	1E. Local and national indicators and monitoring procedures for crops and their wild relatives, medicinal and agroforestry species, livestock, soil microorganisms and pollinators are available and in use at local and national levels and contribute to a national agro-BD information system.	sustain a-bility and CC adaptation Local institutions unaware of importance of agro-BD in adaptation to CC and livelihood improvement	under test. Traditional varieties of 2 crops and 1 new useful medicinal or agroforestry sp identified and in process of local testing.	diversifycation as measured by divergence. 2 adaptive mgmt protocols for main-streaming approaches tested in the project available in 3 languages distributed by relevant regional and national authorities and available internationally	Soil management, Seed conservation, Favoring/ enhancing pollinators, Pest management). More than 75% of the farmers are adopting at least one sustainable management practice introduced by the project. Access to genetic resources (new and traditional varieties) is a success story, which has improved strongly through establishment of 4 community seed banks, strengthening of Community BD Organizations, and stronger links with Extension Services	
	Outcome indicator					

Outcomes (as per reconstructed TOC)	**Description of indicator**	**Baseline level**[1]	**Mid-term target**	**End-of-project target**	**Level Sept 2019, updated Nov 2021**[2]	**TE assess-ment**[3]
2. Farmers receive additional rewards through market and non-market mechanisms, based on maintenance and use of agro-BD and increased returns for specific products and services	2A. Local markets provide improved benefits to farmers and communities at the 3 sites for sustainably produced agro-BD products.	Little or no market and non-market benefit recognition of agro-BD rich products along the commodity chain. Local community-based organizations not active or responsive to agro-BD rich product	Description of production value of agro-BD based practices in different sites to determine optimal use and necessary adaptive management pathways	20% of farmers in at least 2 sites have adopted at least 1 agro-BD rich practice with the potential to increase income or some identifiable non-market benefit. Market practices identified at local and national levels and activities to ensure adoption are in place. CBOs in at least 2 sites work with farmers to support Agro-BD based diversification, new diversity or agro-BD rich products.	At least 25% of farmers in 3 sites engaged in production of agro-BD (e.g. crop varieties and chicken, processed products) with a market potential. This has resulted in an initial increase of income 10-15%. Some market practices indentified at local level (evaluation finding, not in PIR). All CBOs members and other interested farmers (>400 people) attended a training on entrepreneur-ship (including business planning, basic finance, market practices, packaging and quality control)	
	2B. International and national marketing opportunities for farmers identified for key high value agro-BD products produced using sustainable practices.					
	2C. Improved production and non-market benefits from sustainable use of agro-BD obtained by communities at 3 sites, and potential strategies for capturing and enhancing such benefits at the national level identified.					
	Outcome indicator					

Outcomes (as per reconstructed TOC)	**Description of indicator**	**Baseline level**[1]	**Mid-term target**	**End-of-project target**	**Level Sept 2019, updated Nov 2021**[2]	**TE assess-ment**[3]
3. Strengthened national strategies, policies, capacity and extension activities on planning for sustainable production of agro-BD products and services, using a strengthened ecosystem management approach	3A. A revised national agro-BD strategy available for Sri Lanka stakeholders, providing a framework for mainstreaming agro-BD conservation and use and ecosystem services into relevant Ministry decisions on agricultural production, food security and Climate change adaptation.	The national strategy does not take full account of agro-BD contribution to agro-ecosystem function and role of agro-BD in CC adaptation. Extension and other staff have no formal training in or awareness of Agro-BD maintenance and use for CC adaptation	Work on national strategy revision on-going and involves inter-disciplinary expert team who reviewed policies and laws. Training plan, Curriculum, and first training courses. Review of ongoing research completed with	National Agro-BD strategy and policies embedding agro-BD into national programmes on environment, food security and CC adaptation submitted for gvmt approval. 40 national and regional extension agents and 20 other community-based outreach staff working in 3 regions trained and able to support farmers on Agro-BD maintenance and use for CC adaptation	Recommendations to modify the agro-BD strategy compiled and submitted to relevant agencies (Ministry of Mahaweli and Environment, Dept. of Agriculture, Provincial Dept of Agriculture) Training programme on agro-BD use and conservation for CC adaptation and mitigation designed and delivered in 5 events to governmental officers at different levels. Farmers in the 3 pilot landscapes have access to extension services on agro-BD maintenance	
	3B. Relevant ministries and other national stakeholders have access to guidelines and recommend-dations, to mainstream agro-BD into national sector plans and programmes in ways that support food security, sustainability and adaptation to Climate change.					
	3C. Farmers in the 3 pilot landscapes have access to extension services on agro-BD maintenance and use, by trained national, regional and community-based outreach staff, and the introduction of new materials.					

Outcomes (as per reconstructed TOC)	**Description of indicator**	**Baseline level**[1]	**Mid-term target**	**End-of-project target**	**Level Sept 2019, updated Nov 2021**[2]	**TE assess-ment**[3]
	3D. New interdisciplinary research and development projects on integrated agro-BD management undertaken by Sri Lankan university departments and Department of Agriculture.	and mitigation. Research is largely sectoral, not concerned with agro-BD contribution to ecosystem function or its contribution to CC adaptation	proposals on future research issues	and mitigation Interdisciplinary research on agro-BD included in calls for research proposals	and use, and introduction of new materials, partly with the purpose of CC adaptation and mitigation New interdisciplinary R&D on integrated agro-BD management is being undertaken by Sri Lankan university departments in collaboration with partners, including Dept of Agriculture	
	Outcome indicator					

[1] Baseline level and mid-term targets are not directly related to end-of-project targets, and are therefore not sub-divided. Quantitative and qualitative baseline levels were used; [2] Results were extracted from the Terminal Report Sept 2019 and only partly abbreviated. Results were updated based on field observations and interviews Oct-Nov 2021; [3] The compliance column refers to the Evaluation Team's assessment based on multiple sources: Green = 100% of targets; Yellow: Most of targets; Red: Few or none of the targets.

117. Based on the information included in the table, the project has made important contributions to the expected Direct Outcomes. It assessed, communicated and enabled mainstreaming of agrobiodiversity and ecosystems-based adaptation in the agricultural sector and public policy in Sri Lanka. The project introduced tools such as Community Seed Banks, Biodiversity Registries, and Farmers Fields Fora (FFF), favoring the access to and knowledge of better adapted genetic material with the use of traditional crop varieties, livestock breeds, medicinal plants and agroforestry species, which enhance resilience, sustainability and productivity.

118. The community seed banks in all project areas is a great success story, even though the communities showed little interest in them during the first years of project implementation. This area enhanced on local level the resilience of production systems by identifying better adapted plant material, while the project also initiated improved animal production and sustainable management practices. Capacity building and training events with new training material was developed for farmers, and combined with on-site technical advisory. The

project also developed and carried out training and capacity building for extension workers and community-based staff, and an integrated agrobiodiversity management course at level of certificate and diploma. During the discussion with officials of MoE's Biodiversity Secretariat and Department of Agriculture, they expressed that the local and national indicators and monitoring procedures (outcome 1E) are still valid and should be used. The Director of the BD Secretariat even proposed that the Department of Agriculture should share those with national and local agencies now since the project ended. The same officials commented that the guidelines to mainstream agrobiodiversity that was developed by the project are accesible on national level for other agencies. Developing and fine-tuning these guidelines took some time, but now the Provincial Agriculture Departments often use the guidelines to implement field activities.

119. The outcomes of the project are, in large part, due to the specialized technical quality of BI and their supervision and support to national and local partners, combined with the supervision of BI from UNEP. Based on the outcomes, the project financing seems to have been well justified, considering international and national priorities. There are no signs of duplication of efforts with other projects, but some synergies, including with another GEF-funded BI-UNEP project (GEF ID 3808). The project could, however, have explored further the opportunities for synergies with other projects, such as the UNEP-GEF project "Mainstreaming sustainable management of tea production landscapes" (GEF ID 5750). That project was implemented in most of the same period, and covered agrobiodiversity in the tea sector, including reduced use of agro-quemicals through integrated pest management.

120. Achievement of Direct Outcomes is rated Moderately Satisfactory despite a relatively low achievement of outputs. This is partly because of weaknesses in the results framework (causal links between outputs and outcomes), and also because BI has not given much priority to documentation of compliance with the specific targets in the Results Framework, but instead developed a holistic community based model. The achievement of outcomes draws on all results, also those that are not mentioned in the results framework, especially community-based sustainably managed agro-biodiversity practices that create products and services for the local population and increasingly also for the market. This has included a higher than expected number of training events. Important drivers for achievement of results have been (i) appropriate local frameworks such as community seed banks; (ii) stakeholder awareness and support to agrobiodiversity; and (iii) site testing of germplasm material (see ToC). Weaknesses have however been found on national (government) level, such as the low support for a national agrobiodiversity strategy.

Achievement of Direct Outcomes is rated 'Moderately Satisfactory' (MS)

iii. Likelihood of impact

121. The project impact would be "Agrobiodiversity is optimally conserved and used to improve rural livelihoods and meet the challenges of Climate change". The Evaluation Team has defined the following main steps from the project outcome to project impact (see fig. 3 Reconstructed TOC):

Box 2. Steps from project outcome to project impact
Project Outcome: Improved conservation and use of agrobiodiversity in pilot areas, for rural livelihoods and Climate change adaptation
Intermediate State: Improved governance for agrobiodiversity and Climate change

Project Impact: Agrobiodiversity is optimally conserved and used to improve rural livelihoods and meet the challenges of Climate change

122. To reach the Intermediate State between outcome and impact it is the assumption that the project's pilot results would be scaled-up at national level, and that the relevant institutions would adopt the outcomes. The pilot models are documented and well known not only in the project areas but also in the central government. A process towards project impact is already occurring, but the keyword is "optimally", which was defined in ProDoc as part of the project objective. It is a very strong word and would maybe never be reached. The project was very small (in budget and areas covered) compared with the national territory. A real impact of the project would therefore depend on a continuous process, where the best practices presented through the project could be multiplied. This depends partly on maintaining the project areas as a showcase for agrobiodiversity management and ecosystems-based adaptation long after the project has finished, which would require an effort from BI and partners, but most of all from the Department of Agriculture, private stakeholders in the agricultural sector and local CBOs. It would depend on the possibility that BI continues in Sri Lanka and would also depend on political priorities on national level, to shape policies and strategies favouring agrobiodiversity, and the willingness to apply those priorities on all levels.

123. Some positive environmental impacts are already noticed by some of the local stakeholders, e.g. improved income from sustainable use of local natural resources, improved biodiversity, improved water quality and reduced need for pesticides. The project adopted and popularized tools such as Community Seed Banks and Biodiversity Registries that favor the access and knowledge on better adapted genetics, and are now used in all the participating villages. Agrobiodiversity conservation and sustainable agricultural practices are also widely used and produce tangible benefits to the communities. Some of the practices have been further developed and modified by the farmers with support of agriculture inspectors in their respective areas. These positive impacts are however only covering the pilot regions, and on-farm impacts are mainly experienced in farms belonging to persons that participated in the project activities. A more generalized impact would therefore depend on a multiplication effect through the positive example of those that changed to new management practices. It has so far only been local replication, and the only scaling-up of the project outcomes to other areas has been some examples where seed or plants have been transported by buyers to neighbour villages.

124. An important outcome of the project was the establishment and re-vitalization of the farmers' CBOs in the pilot sites. Many such organizations had been dormant for a long time before contact with the project. They are now registered with the Department of Agriculture and many of them have monthly meetings with ministry representatives. Most farmers in the pilot areas are more active and therefore better off than before. Officers from the Department and Agriculture mentioned that they are satisfied with the farmers' societies and the farmers' enthusiasm in the field, because it has made their job easier than before.

125. Despite huge achievements for some of the project activities, the project impact so far has been limited to small geographic areas, and the process towards reaching a broader impact is long. The BI PM however believes that uptake by smallholder farmers is much better than captured by the PIR, since the project did a lot of activities that were not registered but will support the long-term impact. The project was rather weak on engagement with high-level national policy makers, that would be key stakeholders to achieve national impact. If BI continues to work in Sri Lanka, it would be important to

strengthen the dialogue with this group. It could also be important to strengthen partnerships with other international partners (UN organizations, NGOs, development banks, etc.) to have strong alliances that could speak with a common voice in dialogue with the government.

126. The project would contribute to the following Sustainable Development Goals (SDG):

- SDG2 (2.4.1, 2.5.1, 2.5.2): Project Output 1.3 focused on sustainable and adaptive management practices, and enhanced resilience, sustainability and productivity of agriculture.
- SDG 4 (4.7.1): Education, training and capacity building at different levels was the center of project strategy (Outcome 3)
- SDG8 (8.8.2): The project contribute to economic growth by improving productivity agricultural lands, and developing market opportunities together with Community based organizations for agrobiodiversity products (raw and processed material)

127. The assessment of environmental and social risks during the project design phase is mentioned in the chapter on project design. No potential negative economic or financial impacts were defined in ProDoc. The pilot activities were implemented without pre-determined models on economic-financial feasibility, through "learning-by-doing" and carrying out monitoring and studies during the project implementation to determine degree of environmental and socioeconomic impact.

128. One unexpected positive results of the project is that the villages now produce and distribute seed of popular plant varieties to neighboring villages and other contacts they have, which is creating a multiplication effect. This is one of the greatest successes of the project. There are a lot of traditional varieties at the community seed banks. However, some of the members do not return the quantity of seed as agreed, which could in the long term affect sustainability.

129. No unintended negative environmental impacts were found as a consequence of the project activities. This is logical since the main goal of the project was to reduce adverse environmental impacts and increase positive environmental impacts of agrobiodiversity management, and there were no major infrastructure investments financed by the project. This is in line with the ProDoc, which has a good analysis of environmental and social safeguards, where no major negative and many positive environmental impacts were expected. The local pilot activities aimed at promoting environmental, social and economic sustainability. However, even such projects with good intentions could theoretically have some adverse impacts. The only issue that was mentioned during field visits were some bad management of introduced dairy cows due to insufficient training and supervision, however this did not cause any adverse environmental impact because the number of cows was very low. Regarding social issues, some farmers claimed that it was not fair that the benefits went to a limited number of people, however this is partly a result of the size of the project budget.

130. The ProDoc did not include any strategy to reduce the project's negative environmental or carbon footprint, and logically no such strategy was implemented. The Evaluation Team has no doubt that in total the project had a positive environmental and carbon footprint, especially considering reduced land degradation and carbon sequestration in shade trees and increased vegetation in general. However, it would have been good practice for the project to prepare an analysis of these positive figures set against the negative carbon footprint caused e.g. by international travel. Despite the PM's, Project Director's and

consultants' many visits to Sri Lanka, the carbon footprint caused by travel in the framework of the project is probably lower than in the many other internationally financed projects, since most of the activities have been carried out by national staff, supported by a small international core staff mostly through the Internet.

Likelihood of Impact is rated 'Likely' (L)

Overall Rating for Effectiveness is rated 'Moderately Satisfactory' (MS)

K. FINANCIAL MANAGEMENT

131. The Team analysed whether the organisation and administration of the resources affected the timeliness of project delivery, the results achieved, against the timeframes and costs planned initially. The financial management was assessed under three broad themes (see summary in Table 16):

i. Completeness of financial information

132. At the time of the Terminal Evaluation, the financial information provided for the project was complete, signed July 21st, 2020. The last audited statement reviewed is for the year 2019. The TL received the complete financial documents directly from BI.

133. The financial information handled by the project included the budget for GEF funding and counterpart sources; Cash-advance requests; Fund transfer documents; Expenditure sheets; Proof of in-kind contributions; Financial Reports; and Audit Reports. The full BI audits included the Sri Lanka project.

134. Pledged counterpart contributions at the time of approval were USD 3,233,365, or 69% of the total project budget. Despite some co-financing sources failing to materialise, actual co-financing throughout the project life ended up close to the expected amount, and reached USD 3,234,700, and both cash and in-kind contributions were close to the planned figures (see tables 5 and 14). It is difficult for the Evaluation Team to review and verify the real monetary value of all the in-kind co-finance contributions.

135. The following financial documentation was provided and reviewed:

- Expenditure reports 2013-2019
- Quarterly expenditure statements (last cumulative statement signed 3/6-2020)
- Confirmed sources of co-financing (updated 2020)
- Report on planned and actual co-finance by budget line (each year 2013-2019)
- Audits 2013-2019

Completeness of financial information is rated 'Highly Satisfactory' (HS)

ii. Communication between financial and project management staff

136. The financial management officers at BI maintained communication with the PM, and through her contact with the project, to ensure required funds to carry out the planned activities. There was a need for a responsive and adaptive management approach. Both international and national stakeholders involved confirm that the problems with fund transfers to the project had nothing to do with the BI financial management, and rather was a product of slow national procedures (see F. Efficiency). The PM supervised the financial management on national level and also managed the relation with the international financial management staff.

137.The main link between the financial and technical part of project management was on the issue of procurement, when it was important to ensure the required budget allocation (amount and timeliness) for each service to procure, considering the time required. However, issues in Sri Lanka made this very challenging. For instance, there were several periods when the project came to a virtual stand-still for several months, on at least one occasion for six months, due to delay of the payment of salaries to the ministry staff. All procurement was reviewed by the UNEP Task Manager (TM) with rules according to amount, etc., however no problems were reported.

138.BI was very satisfied with the supervision and support received from the UNEP TM stationed in Rome (later transferred to Nairobi). On the other hand, BI was responsive to any issues mentioned by the TM. Procurement plans were based on the budget, and most procurement was carried out in time to obtain the required goods and services for project activities.

139.The accounting documentation will be transferred and stored according to the institutional rules and requirements of UNEP and BI.

Communication between financial and project management staff is rated 'Satisfactory' (S)

iii. Compliance with financial management standards and procedures

140.The Team Leader has been able to review the BI annual financial audit statements and discuss with UNEP's TM the issue of compliance with financial standards. The evaluation concludes that the financial management was handled according to proper financial management standards and practice, and adherence to UNEP's financial management policies. There was no specific audit for the project, but the project's financial management was included in BI's general audit for each year. There were no auditor's observations or comments for improvement.

Table 14. Total project costs, GEF funding

QUARTERLY EXPENDITURE STATEMENT (US$)

Project title:		Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change								
Project number:		GFL-5060-2715-4C71								
Project executing partner:		Bioversity International								
Project implementation period:		From:	17-Jan-13						To:	30-Sep-19
Project reporting period:		From:	1-Jan-19						To:	30-Sep-19
		UNEP approved budget			Actual expenditures incurred					Cumulative unspent balance to-date
	UNEP Budget Line	Total project budget *	Current year budget	Cumulative expenditures from previous period	Jan-March Qrt 1	Apr-June Qrt 2	Jul-Sept Qrt 3	Current Year Total	Cumulative Expenditures to date	
		A	B	C	D	E	F	H=D+E+F+G	I=C+H	J=A-I
1101	Project Director	-	-	-	-	-	-	-	-	
1102	National Project Coordinator	32,268	9,359	22,909	2,391	1,680	5,288	9,359	32,268	0
1103	Scientific Assistant	32,000	4,711	27,289	1,013	-	3,698	4,711	32,000	0
1104	Programme Assistant	-	-	-	-	-	-	-	-	0
1201	Agrobiodiversity expert	63,000	3,972	59,028	972	3,000	-	3,972	63,000	0
1202	Partnership and participatory expert	18,000	3,883	14,117	-	984	2,899	3,883	18,000	0
1203	Climate Change expert	9,106	1,827	7,279	-	1,827	(0)	1,827	9,106	0
1301	Project Assistant	17,100	1,087	16,013	-	187	900	1,087	17,100	0
1302	Accounting services	14,963	2,480	12,483	-	1,605	875	2,480	14,963	0
1303	Financial and management oversight	13,800	-	13,800	-	-	-	-	13,800	0
1601	International Project staff	45,600	8,272	37,328	1,311	3,453	1,007	5,772	43,100	2,500
1602	National Project Staff	32,187	8,592	23,595	505	3,387	4,700	8,592	32,187	0
2201	Agrobiodiversity assessment and GIS including baseline data collection	141,699	16,579	125,120	9,653	-	6,926	16,579	141,699	0
2202	Increase awareness and knowledge sharing	60,382	6,642	53,740	1,909	-	4,733	6,642	60,382	0
2203	Conservation, access and sustainable use	134,488	19,424	115,064	4,112	5,130	10,182	19,424	134,488	0
2204	Evaluation and support for ecosystem service function including baseline data collection	119,141	7,101	112,040	2,197	465	4,439	7,101	119,141	0
2205	Policy and institutional frameworks	44,703	4,546	40,157	2,559	553	1,434	4,546	44,703	0
2206	Income generation, processing and marketing	62,292	9,278	53,015	3,075	4,829	1,374	9,278	62,292	0
2207	Strengthening Community Institutions	29,891	10,009	19,882	-	6,159	3,850	10,009	29,891	0
3201	Training trainers in ABD maintenance, policy and markets	43,925	10,661	33,264	1,075	389	9,197	10,661	43,925	0
3202	Extension and outreach training in ABD maintenance and use	29,608	6,621	22,987	41	254	6,326	6,621	29,608	0
3203	Farmers and community training: ABD management, indicators, markets and value chains	33,504	16,420	17,084	627	2,216	13,577	16,420	33,504	0
3204	Training modules - ABD maintenance and use, ecosystem services	59,245	21,820	37,425	1,545	15,806	4,470	21,820	59,245	0
3301	Inception workshop	33,883	-	33,883	-	-	-	-	33,883	0
3302	Steering Committee Meetings	23,318	11,543	11,775	5,000	2,111	4,432	11,543	23,318	0
3303	Technical site meetings	23,070	11,310	11,760	37	8,025	3,248	11,310	23,070	0
4101	Office supplies	10,751	2,289	8,463	132	-	2,157	2,289	10,751	0
4201	Office equipment	10,230	-	10,230	-	-	-	-	10,230	0
4202	Computers	6,000	-	6,000	-	-	-	-	6,000	0
4203	Analytical equipment	6,219	-	6,219	-	-	-	-	6,219	0
4204	Vehicle	46,785	-	46,785	-	-	-	-	46,785	0
5101	Vehicle/insurance	9,778	1,066	8,712	-	-	1,066	1,066	9,778	0
5102	Maintenance	2,204	-	2,204	-	-	-	-	2,204	0
5201	Reports	29,972	5,764	24,208	50	3,538	2,176	5,764	29,972	0
5202	Publications	25,000	4,121	20,879	-	-	4,121	4,121	25,000	0
5203	Media and other awareness materials	66,000	6,336	59,664	-	-	6,336	6,336	66,000	0
5301	Communication costs	58,844	12,478	46,366	38	2,261	10,179	12,478	58,844	0
5501	Mid term evaluation	24,315	-	24,315	-	-	-	-	24,315	0
5502	Final evaluation	37,185	37,185	-	-	-	-	-	-	37,185
5504	Audit report	-	-	-	-	-	-	-	-	0
99	GRAND TOTAL	1,450,455	265,375	1,185,080	38,243	67,859	119,589	225,690	1,410,770	39,685

* Budget is in line with the updated budget review we are submitting together with this report

Name	Melanie Glover	Title:	Budget Office Manager			Name of Project Manager:	Paola De Santis
	Authorized official of Executing Agency	Date:	3/6/2020		Signature:	Date:	6/3/2020
Signature:							

141. Table 14 shows actual costs spent across the life of the project of funds secured from GEF funds. Table 15 is a summary of the co-financing (table 5) presented in a required GEF format. BI did not track costs by outcome/outcome or component, but by project budget line, which is common in most UNEP projects. The Team Leader reviewed BI's annual audit reports from 2013, when the project started, which confirmed that proper financial management standards were followed. No financial management issues on BI's side affected the timely delivery of the project or quality of its performance. However, as

mentioned earlier, financial management by the Sri Lanka Treasury seriously delayed project implementation.

Table 15. Co-financing Table[1] (GEF format, US$1,000)

Co-financing (Type/Source)	UNEP own financing		Government		Other[2]		Total		Total Disbursed
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Grants	0	0	1,068	825	447	699	1,515	1,524	1,524
Loans/Credits	0	0							
Equity investments	0	0							
In-kind support	0	0	1,227	945	492	766	1,719	1,711	1,711
Total	**0**	**0**	**2,295**	**1,770**	**939**	**1,465**	**3,234**	**3,235**	**3,235**

[1]Represents final co-financing data (2020); [2]This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

142. The following table is a questionnaire directed to the Team Leader, to rate the financial management carried out throughout the period of project execution, including a column that gives evidence and comments to the ratings.

Table 16. Financial Management

NON-GEF AND GEF PROJECTS			
Financial management components:		**Rating**	**Evidence/ Comments**
1. Adherence to UNEP's/GEF's policies and procedures:		**HS**	Evaluation finding
Any evidence that indicates shortcomings in the project's adherence to UNEP or donor policies, procedures or rules		No	No shortcomings reported or found
2. Completeness of project financial information:			
Provision of key documents to the evaluator (based on the responses to A-H below)		**S**	
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	Detailed by each source of pledged co-financing
B.	Revisions to the budget	Yes	Evaluation finding
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	PCA, SSFA for PPG
D.	Proof of fund transfers	Yes	Some provided
E.	Proof of co-financing (cash and in-kind)	Yes	UNEP confirmation

F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	Final cost table by UNEP budget lines
G.	Copies of any completed audits and management responses (where applicable)	Yes	All through 2019
H.	Any other financial information that was required for this project (list): GEF CEO endorsement with budget; Co-financing letters.	Yes	Documents provided
3. Communication between finance and project management staff		**S**	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		S	UNEP/BI info
Fund Management Officer's knowledge of project progress/status when disbursements are done.		S	UNEP/BI info
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		S	UNEP/BI info
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		S	UNEP/BI info
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		S	Evaluation TL opinion
Overall rating		**HS**	

Compliance with UNEP Standards and Procedures is rated 'Satisfactory' (HS)

Overall Rating for Financial Management is rated 'Highly Satisfactory' (HS)

L. EFFICIENCY

143. The Team recognizes the challenge of implementing a project in a traditional and conservative society such as Sri Lanka, where changes normally are slow. To manage such a project in an efficient way, the project management unit would have required more high-level local staff, that only would have been feasible with a higher core budget. The main factor that reduced efficiency of the project was however another – the requirement to channel all funds through the central government. The flow of funds was the following: GEF > UNEP > BI > Sri Lanka Treasury > Ministry > Project. The weakest link in this chain was the Treasury, where funds were stuck for long periods due to bureaucratic rules and slow public management. It took much effort from the project to get the funds released, and that time could have been better spent carrying out the defined project tasks.

144. The situation got even worse since the government agencies had long periods (2 to 6 months) when they were "on hold" because of lack of salary payments to staff. In these periods when people were waiting for their salary they didn't do much, and the fund transfer got further delayed. They also didn't go to the field, so the project activities in the three pilot areas were also on hold. When the project staff came back to the communities it was each time like starting all over again.

145. From the perspective of the community leaders, they understood that the project was initiated in 2013 and continued to December 2014. Suddenly all the processes initiated

stopped for two years, which made the local communities lose faith in the project. Local-level officials along with community leaders still do not know what was the real reason for the delay. According to responses gathered by the national consultant during site visits, the community members have a theory that the objective of the project was not clear and the funding agency didn't have a good idea of what to do with it.

146. A challenge for project efficiency was also the communities reluctance to work with projects from outside. It had very logical reasons, because the local stakeholders were used to project staff coming to talk with them to collect information, and then they didn't see them again. Also some projects that started activities suddenly disappeared. The issues mentioned above could have ended with the BACC having the same fate.

147. Another issue that reduced the project's efficiency was the capacity of national staff. Most of the staff was not full-time dedicated to the project, and they didn't get any payments directly from the project. They therefore did not give it high enough priority, and worked on the project issues only when they had spare time. The staff capacity was also on average low due to salary level in the public sector. This was especially relevant for the "research assistants" and "technical assistants" that were young women coming right from the university, with no idea of what a development project was. The Team Leader interviewed four such assistants, that all tell the same story: it took them 3-4 months to learn the job and come up to speed, and most of them finished after one year when they got a better paid position.

148. The issues mentioned were difficult for BI to deal with since they were domestic problems, and the international project staff was abroad, only visiting Sri Lanka during missions. Another serious problem due to domestic issues was the delays with transfer of funds, which was discovered at an early stage, but was never really resolved. This is part of the reason why the project ended up with two extensions. The Steering Committee and the Government recognized towards the end that it could jeopardize the project results. In order to move on with the activities BI did some direct contracting with the partners, e.g. with the Natural Resources Management Centre (NRMC), as well as several consultancy contracts.

149. The issue of maintaining relation with the communities despite lack of salary payment, was resolved through contracting of one field coordinator permanently stationed in each pilot region. The field coordinators (all women) were from the same areas, and therefore continued there independently of what happened in the city. The field coordinators had however no experience with biodiversity when they started, and this was their first job, so they had a steep learning curve. The field coordinator in Milleniya had a degree in IT, while the two others had no degree but advanced level courses. It helped that the coordinator in Giribawa had taken some short courses in agriculture and that the field coordinator in Udadumbara was from a farmer family. They received a small salary and were trained and supported by other project staff. They even continued to give the local farmers advice during long periods when they were waiting for their salary payments. The permanent presence in the pilot areas had many benefits, and made the BACC project a positive exception among the different types of support given to the communities.

150. The issue of staff capacity was more difficult to resolve. BACC had from the start one national project coordinator that was technically good, but not administratively. That is why they additionally hired a project director. They complemented each other and mostly took the decisions together. For other PMU staff, such as the research assistants, the project proposed to give an economic incentive, that would help to get better skilled staff, and to maintain the persons for longer time, but this was not accepted by the government. The

only solution the project came up with was to train the assistants, and all of them express that they learned a lot in the project.

151. It was a good strategy from BI's side to build on pre-existing relationships they had established e.g. through the global UNEP-GEF project "Mainstreaming Biodiversity Conservation and sustainable use for improved human nutrition and well-being" (GEF ID 3808), that was implemented 2011-2016. The project had FAO as a partner, and established strong bonds also with the government agencies and NGOs that participated in the BACC project. This gave the possibility of starting project activities relatively quickly, which would have been the case if it wasn't for the other issues mentioned above. This included carrying out training and other activities in geographic pilot sites where the partners already were active and had their networks with local stakeholders. The partners were partly familiar with the topics of agrobioversity and ecosystems based Climate change adaptation, but they also had a lot to learn, so it resulted in a transfer of knowledge to both the partners and the local stakeholders. The work with a range of partners promoted resource efficiency, but it still took some time before the partners understood the project completely, to be able to do an efficient job in promoting it.

152. A common indicator of efficiency is the ratio of outputs to effort (or % of targets achieved to % of expenditures) during the implementation time. The underlying assumption being that achieving 100% of targets during the planned execution period would give an efficiency ratio of 1. The Team Leader had the intention of doing this calculation, but as mentioned under Effectiveness, there are no indicators that could be used, and using 100% for everything as reported by BI also makes no sense.

153. The relationship between implementation progress and financial resources invested however shows that the project in general was implemented relatively efficiently from BI's side. As mentioned, the project suffered from an extremely complex and cumbersome administrative system, which caused significant delays in transferring funds from Bioversity to national partners for the first 3 years of the project life. In addition to creating delays and continuous interruptions of activities, most importantly, the delays resulted in mistrust from farmers' and stakeholders, but thanks to the efforts of PMU their commitment was regained. Note that the rating below is for the project, not for BI, and consider the project delays independent of the reasons for them.

154. The main factors for lack of timeliness of project execution (27 months no-cost extensions) were delays in financial disbursements 2013-16 and periods with the project on hold during periods with no payment of salaries. This had little to do with the project design, even though the PPG study should have picked up on the bureaucratic system and assured mitigation measures. The Evaluation Team considers that the issue of terrorism mentioned in the last PIR is an unimportant factor for the project's delay, since the bomb attack in 2019 happened after the project had already received its last no-cost extension and it was not much time left of the implementation period.

155. The project had many implementation challenges during the first years and therefore a slow start. Another issue was that the national partners needed a deeper understanding of the project goals and what to do to reach them before they were able to do an efficient job. Much advisory, supervision and follow-up from the PM towards the government and other partners was required to gradually improve the situation. The PM visited Sri Lanka on average 2-3 times per year, and additionally followed up through e-mail, Skype, etc. The plan was to have a Skype conference with the PMU every two weeks, which not always came through, but the relation can be characterized as fluent. The Skype meetings were used for

planning of new activities, reviews of plans, budgets and reports. The visits to Sri Lanka were often planned in relation with meetings of the Steering Committee, as well as workshops, seminars and other events. Also, UNEP's TM carried out supervision travels.

156. The efficiency in terms of number of **beneficiaries compared to applied resources** has been high in this project, especially for the number of people trained (see Annex VI on training events). Based on the progress reports received, at 1,877 people were trained during the period 2013-2017 and another 1,591 in 2018-19, a total of 3,468. Even though many of the farmers participated in more than one training event, the total number of people trained was high. It shows that BI and partners have been able to achieve an efficient training programme despite all the challenges previously mentioned. It should also be considered that some of the government agencies and NGOs participating in the training carried out new training courses and technical assistance on their own, thereby creating a multiplication effect.

157. **To summarize**, the relatively low rating of project efficiency mentioned below is mostly due to domestic factors, such as low national staff capacity and interest, partner agencies that were paralyzed for long periods without salary payments, delay of fund transfers through the government, and initial low interest also from the communities. Most of these issues could have been detected and better prepared for during the design period. BI did what was possible to mitigate the delays, and the project had a high efficiency in certain areas such as training, but it still needed two no-cost extensions.

Efficiency is rated 'Moderately Unsatisfactory' (MU)

M. MONITORING AND REPORTING

i. Project reporting

158. UNEP has a centralised Advanced DGEF Database Information System (ADDIS) in which project managers upload six-monthly status reports against agreed project milestones for GEF projects. In this case, as a GEF funded project, monitoring of the project activities and outputs from BI's side was done through the project implementation reports (PIR) in the GEF format and the mentioned half-yearly progress reports from BI in the UNEP format. Financial reports were presented quarterly, together with requests for the advance of funds for new expenditure. The projects' final financial report (until March 31-2019) and audits through 2019 were finished during the evaluation period.

159. The results framework was used as the only M&E system, to plan and monitor project activities and expected outputs. The framework was also the basis for the reporting to the BI PM and from her to the UNEP TM. The results framework has no direct relation beween the indicators and the final targets, which caused problems for reporting.

160. The quality of the PIR reports has been generally good, however, a gradual improvement was noticed from the start to the end of the implementation period. The information presented in the last PIR (July 2019-June 2020) was, in general, consistent with the evaluation findings. However, due to the lack of relation beween indicators and end targets in the Results Framework, and few concrete figures in the PIRs, the Evaluation Team is not able to calculate any % of compliance. The mostly descriptive text about the progress on results and the word "Concluded" for components and outcomes is not enough information for the Evaluation Team to confirm that all targets were achieved. The Evaluation Team has therefore used a color code in the previous tables for outputs and outcomes, to give a more general assessment instead of percentages.

161. BI staff's travel, meetings, Skype conferences and reviews complemented the formal reporting. The UNEP TM also performed monitoring missions as part of annual reviews and SC meetings, as well as needs based. The Evaluation Team considers it was efficient to use the same format (PIR) from national to international level, and from there to the Implementing agency (UNEP) and all the way to GEF, thereby fulfilling the reporting requirements of both the implementing agency UNEP and the donor agency GEF. In the future (for other projects) it would, however, be more efficient if UNEP accepts to only use the PIR format for GEF projects, and not require additional progress reports with another format. The project also had the requirement of monitoring outcomes and impacts with GEF's Biodiversity Tracking Tool. This tracking tool was filled in and presented in the approval package, and updated at mid-term.

Project Reporting was rated Satisfactory (S)

ii. Monitoring design and budgeting

162. The project's monitoring plan was designed to track progress on implementation against the targets defined in the Results Framework, approved by GEF together with the project document. There were baselines, targets and SMART indicators for both outputs and outcomes. The responsibilities for monitoring were defined in the M&E Plan (Annex 1 to ProDoc) which is consistent with the GEF M&E policy. The M&E budget had defined amounts for the MTR, TE and Audits, but no additional funds for project results monitoring. It should however be noted that agrobiodiversity monitoring is covered through other budget posts. The Project was designed to follow UNEP standard monitoring, reporting and evaluation processes and procedures. Reporting requirements and templates were an integral part of the agreement signed between BI and UNEP.

163. The project´s M&E was directly based on the Results Framework defined targets. It contains indicators to track project performance and achievements. The evidence-based system should provide the major inputs for project tracking, semi-annual reports and the annual Project Implementation Reports (PIRs). Based on the content of the mentioned reports it however seems like the Results Framework has not been used in this way, but more as a guide for the project structure.

164. As mentioned, the Results Framework originally had baseline data, however for several of the required baselines the framework simply stated that it would be established during a certain number of months during the first implementation year, but this was never done. In fact, new baseline data wouldn't have been very useful because the descriptions of most of the achievements are not specific enough to be able to calculate the difference from any baseline, a weakness previously described. The late start of many field activities due to lack of available funds also led to delays in the baseline data collection and might have affected the reliability of baseline data.

165. The budget for GEF funding of Monitoring & Evaluation was USD 65,000, which is the sum of funds for MTR and TE. Additionally, the M&E budget includes co-financing of the evaluations, with USD 39,400 cash and USD 53,800 in-kind for the MTR and USD 86,550 cash and USD 108,645 in-kind for the TE. These co-financing amounts seem very high and their nature is unclear. Some co-financing was probably provided for the MTR, while the TE had very low co-financing.

Monitoring Design and Budgeting was rated Moderately Unsatisfactory (MU)

iii. Monitoring implementation

166. BI's Project Team carried out training on biodiversity- and agrobiodiversity monitoring, but in the large training programme there was no event dedicated to project monitoring in general, which should include much more than environmental issues. The methodology of self-assessment, developed by the project to monitor the diversity in farmers' fields (Output 1.5) was successful and has later also been tested in Cuba with satisfactory results.

167. BI supervised the PMU and participated in the Steering Committee (SC), where issues regarding monitoring and reporting were discussed, while UNEP supervised BI through review of workplans and progress reports, supervision visits and participation in the SC. The local field coordinator in each project site registered activities in their area, supervised by the PMU. The result of the different aspects of project supervision was a gradual improvement of monitoring implementation throughout the project execution period.

168. The Results Framework was used as the main tool to monitor and report compliance with outputs and outcomes at specific years compared with a baseline. For most outputs that would be fine, at least when the baseline is zero. For outcomes it requires a study to determine both the baseline and the result, because for goals such as "area devoted to sustainably managed agrobiodiversity increased" (in component 1), "improved income from maintenance and use of agrobiodiversity" (in component 2) and "national policies strengthened" (in component 3) there are no statistics available. In these cases there are no baseline and results registered that are sufficiently specific to be able to compare the situation before and after the project implementation. Even with a good baseline, the comparison is not possible without a new study using the same method and area or population studied.

169. The project document had no gender analysis, only a mention that project interventions will pay particular attention to gender. The Terminal Report mentions that all training activities took into consideration gender and the project did its best to ensure equal participation of both male and female participants, but no figures on gender participation are provided. Last PIR (2020) mentions that participation of women in all project activity initiatives and trainings has been encouraged, and increased significantly compared to the beginning of the project. There are no data from the project to prove this, but the TE field interviews confirmed that local stakeholders think women's participation in traditional agricultural practices has increased. Officials from Department of Agriculture mentioned that they have noticed the women in the project areas are now better organized and more active in the agrobiodiversity area than before.

170. As mentioned in the review of the quality of project design, the risk table in ProDoc mentioned mostly low risks, but all are real risks, considering risks as "issues outside project management's control that could negatively affect project performance". The risk monitoring reported through the PIRs was first completed by the Project Manager, then the UNEP Task Manager. This is based on tables for monitoring of both external risks (outside PMU's control) and internal risks (under PMU's control), and a top risk mitigation plan is defined. Even though this is a very effective method to monitor project management including risks, it is curious that it is not much related with the ProDoc's risk table. It makes little sense defining that table if it is not used for risk monitoring and mitigation during project implementation.

171. There is no monitoring of project impact. The results framework used for monitoring doesn't include anything on expected impact, despite being a priority issue for GEF and UNEP. What comes closest is the framework's monitoring of compliance with the project objective, however the objective is very long-term but the content on indicators and targets

are similar to what is mentioned under outcomes. It should be mentioned that it is completely justified not to monitor impact during implementation if all impact is expected to be ex-post. However, in most cases there would also be short-term positive and/or negative impacts. The PIR section on environmental and social safeguards management was used to describe positive project results, very similar to the information found in the rest of the form.

Monitoring Implementation is rated Moderately Unsatisfactory (MU)

Overall Rating for Monitoring and Reporting is rated Moderately Satisfactory (MS)

N. SUSTAINABILITY

172. During the last period of project activities (July – Sept 2019), BI and project staff in Sri Lanka made a special effort to achieve the expected project outputs and to promote continuity and sustainability of the project outcomes after the project ended.

173. The Team considered four dimensions of the sustainability of project outcomes: (i) Socio-political; (ii) Environmental; (iii) Institutional; and (iv) Economic-financial. The socio-political dimension included also social aspects.

i. Socio-political sustainability

174. The Country Ownership from the **Government's** point of view is relatively strong in this project, partly due to BI's dialogue with the central government in Sri Lanka. However, national ownership was not strong enough to take the full charge of implementing the project. Instead, the government delegated the overall implementation to BI and only took control of (or was responsible for) the money flow. The government's interest was important to be able to carry out local activities, and even for co-financing, but it cannot replace the potential impact of dialogue at national level on how to best resolve the country's rural problems and also being able to showcase the positive results of the project. The government recognizes the problems with biodiversity and ecosystems degradation, and related Climate change vulnerability that affects rural livelihoods. It seems like this government awareness has been strengthened through the project.

175. It is easy to understand why BI would concentrate the efforts of this relatively small project to a few pilot areas. From the moment of stationing permanent staff in the field, the relation with the communities improved, with many pilot activities on community- and farm level. This has paid off, and given the opportunity to showcase technologies and management practices that could later be scaled-up at national level.

176. The project's work on agrobiodiversity and ecosystems based Climate change adaptation, as well as value chains of biodiversity based products, has caught the governments' attention on provincial and national level, with perspectives for long-term sustainable solutions. These issues are already part of the dialogue BI has with the government of Sri Lanka. The stakeholder analysis (table 4) includes some public sector institutions that have collaborated with the project and given co-financing.

177. As mentioned in the stakeholder analysis, **ministries, CBOs, NGOs, universities and research organizations** were integrated in the project design and implementation. Many of them, as well as local farmers including women consider the project results in their plans for the future. The BACC project has resulted in awareness-raising, and based on the positive results achieved, combined with follow-up from local partners, the Evaluation Team expects that they would last and probably increase beyond the project period, however it would depend on follow-up from the partners and preferably BI's side. The sustainability of

the project's results would be first of all on local level in the pilot areas, but there are expectations of scaling up the results on larger areas, and even national level. BI has also started to use some of the lessons learned from Sri Lanka in other projects, where the self-assessment to evaluate the impact of agricultural activitities on diversity in Cuba is considered the best example.

178. During implementation, the aspects of gender mainstreaming and participation of ethnic minorities did not have a prominent space in the project. The project approach was inclusive in the way that "everyone is welcome to participate, and there is no discrimination based on gender or ethnicity". But this was not sufficient, as there is a strong male dominance in the agricultural sector. The project tried to confront this issue, partly by recruiting only female site coordinators in the three pilot sites, and partly by carrying out at least three training events on gender issues. They also verbally encouraged local women to participate in project activities. There is however no record of gender participation in project activities mentioned in PIRs and other documents. Interviews in the villages presents a somewhat more positive picture. Many local interviewees consider that women's participation has increased significantly in activities promoted by the project. The CBOs also witnessed that the number of female memberships increased during the project implementation.

179. Many rural women expressed that the project made a positive impact on their daily lives and improved their knowledge by organizing numerous training events. After the project ended, women's participation has continued because the activities continues, such as home garden, livestock, and local seed banks, often directly handled by women. Regarding the site coordinators, even though it probably had a positive impact on women's participation that they were all women, it should be mentioned that an important reasons for recruitment of women were that women are more stable in the community.

180. Regarding ethnic minorities in Sri Lanka, the most important groups are Sri Lankan Tamils (11.2%), Indian Tamils (4.2%) and Sri Lankan Moors (9.3%), while the majority of the population is Sinhalese. In January 2004 it was predicted that 145,000 Sri Lankan citizens of Indian origin would receive their National Identity Cards (www.reliefweb.int). The ethnic minority groups were not specially considered in the project design and implementation, since they represent a very low percentage of the population in the pilot areas. The project staff informed that there are a few Tamils living in the areas. The only project activity related with minorities was the translation of university documents to both Sinhalese and Tamil. It is also relevant that the design phase used an FPIC approach.

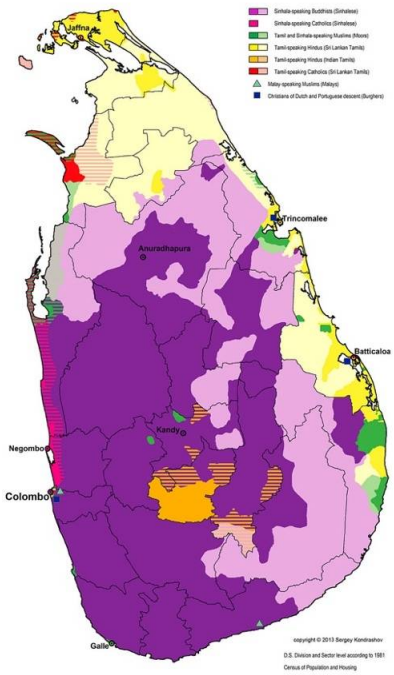


Fig. 4. Ethnic groups in Sri Lanka

181. The most important aspect for the local stakeholders were the productive activities. In the beginning the farmers were reluctant to try something new, but when they experienced positive results the interest increased rapidly. Training modules and supporting training material were developed to build farmers' capacity to manage agrobiodiversity and make informed decisions on how to manage their production system. Several project activities have raised the interest of farmers who have requested to be involved, e.g. soil management practices, poultry rearing activities, participation in the Farmers Field Fora, and adoption of new/reintroduced adapted varieties. There was however also the problem that many community members were used to projects that would give all for free, without any local counterpart contribution (see also F. Financial management). This attitude gradually changed when they experienced the benefits of new varieties, breeds and tools.

182. The sustainability at local level depends on the conscience-building that has been developed through the project, and the training and capacity building that the project did in collaboration with local partners. It is interesting to note that most of the national partners have continued to work towards the project's long-term goals after the project finished, based on their own resources, partner relations and interests. It is probably necessary to follow-up the project through continued collaboration and if possible scaling-up the approaches to assure sustainability, based on recognition among local stakeholders of what is in their own interest. An important outcome of the project is the establishment and re-vitalization of the farmers' community-based organizations (CBO) that are strengthening the producers' mutual collaboration. The issue of establishing new CBOs is a bit challenging, because normally it would be more sustainable to work through the existing organizations. The BACC project decided to establish new CBOs in all project areas, which logically would be more aligned with the project goals than the previously existing. Many of them are now receiving support and advisory from the Department of Agriculture. The continued existence and activities of these CBOs (Nov 2021) could indicate sustainability, but it would require more years to confirm it.

183. The response of several stakeholders, including farmers and researchers from collaborating research institutes, were very positive. The PM receives updates on the type of activities that the project had promoted, which still are run by farmer communities. This shows that farmers are continuing with productive activities that they consider valuable and beneficial to them, their families and community.

Socio-Political Sustainability is 'Likely' (L)

ii. Environmental sustainability[8]

184. Environmental sustainability has been right at the core of BIs work since the organization's foundation in 1974, and it is integrated in the projects BI is implementing. Environmental sustainability was also one of the issues that the BACC project has been trying to achieve, through agrobiodiversity and ecosystems based adaptation to Climate change. The environmental sustainability however is not a direct product of how many people were trained, and not even with what they learned, but a product of the adoption of new technologies. Most of the participants in training are farmers, with new knowledge and experience gained, would probably be able to continue improving with certain technical assistance received from the Department of Agriculture.

[8] Note that environmental sustainability is not included in UNEP's table for ponderation of evaluation criteria, but the evaluator consider it important to include in the report.

185.The project's own monitoring is not giving sufficient data on the adoption of the new varieties, breeds and techniques, however it seems like the results have been positive. To find out if new techniques for agrobiodiversity management and ecosystems based adaptation were adopted and maintained, it would require to introduce an improved and more permanent monitoring system (e.g. through the Department of Agriculture). The project has however demonstrated the important issue that it is possible to achieve social and economic progress through environmental sustainability, and that the different issues of sustainability are interlinked.

186.No adverse environmental impacts of the project have been detected. It might however come as a surprise that a biodiversity project financed by GEF through UNEP is introducing cows, considering the negative impacts of husbandry on deforestation and Climate change. It should here be highlighted that most people in Sri Lanka are vegetarian, so the cattle is not used for meat, and they need a limited number of animals. Production of milk and eggs has been an important addition to the diet of the local population and thereby to their health.

Environmental Sustainability is rated 'Highly Likely' (HL)

iii. Institutional sustainability

187.The Team assessed the institutional sustainability of the project partly based on what it will mean institutionally for BI in the new alliance with the International Centre for Tropical Agriculture (CIAT), which will develop and deploy evidence-based solutions to safeguard agricultural biodiversity, produce food in the face of Climate change and reduce the environmental footprint of agriculture. It is expected that the interesting results and lessons learned from the project would be transmitted and used broadly and in more geographic regions through this alliance.

188.On national and local levels, a key issue for institutional sustainability is ownership. This has been achieved by the partner institutions to variable degrees, however Sri Lanka has a good opportunity for institutionalizing the results of the project. This is partly due to many smallholders and their membership in farmer CBOs, and partly based on the support they can achieve from public agencies and national NGOs that have now been trained on agrobiodiversity and ecosystems based adaptation. The Department of Agriculture, Farmer CBOs, Community Development Centre (CDC) and other Sri Lankan NGOs will continue to support and coordinate the implementation of activities that have been promoted by the project. A clear weakness of the project is however the lack of engagement with the private sector (see also financial sustainability).

189.The eight CBOs established in the project communities are very active in supporting farmers in developing economic activities, and have proved to be well deep-rooted in the territory, with strong links to local authorities (Extension services, Agrarian Service Centre, and Veterinary Surgeon Office). They provide technical services to their members, are self-funded through a membership fee, and are recognized legal entities that can apply for governmental funds. The number of members of the CBOs established with support from the project (table 12) has increased with 125% since the start, showing that farmers believe CBOs are supportive and capable of addressing their needs. Field reviews and interviews in 2021 indicate that all the CBOs established are now able to run their activities without support from the Project.

190.Community Biodiversity Registers (CBR) together with Community Seed Banks also contribute to increasing the availability and accessibility of good quality improved and adapted planting material, while at the same time representing a tool to monitor the

presence of agrobiodiversity in the areas. CBR provide technical information on the crops and crop varieties that farmers can easily consult to make informed decisions on the varieties to be adopted for the season, depending on their current need or constraint. Specific CBRs for medicinal plants and livestock are also available.

191. A sound review of the National Policies, Ordinances and Act, Regulation, Programs, and Projects was carried out. A report that highlights strengths and weaknesses in these areas was distributed to relevant agencies, such as Biodiversity Secretariat, Ministry of Mahaweli Development and Environment, Dept. of Agriculture, three Provincial Departments of Agriculture, and Divisional secretariats of Dept. of Export Agriculture. The report reviews the effects and consequences of the policies, ordinances and regulations, and identifies 5 issues to improve the National Action Plan for Conservation and Sustainable Utilization.

192. The interdisciplinary approach of the project led to creating a network where the scientific community (NARC, universities, research institutes), bilateral and multilateral agencies, NGOs, national extension and outreach services, and local communities, have a common understanding of agrobiodiversity and its role and contribution in Climate change mitigation and adaptation.

193. The University course “Biodiversity and Ecosystem Management” developed in collaboration with University of Ruhuna trains young generations of scientists and future researchers in sustainably using and managing agrobiodiversity. It also offers an opportunity to governmental officers and policy makers already working in the Ministries of Environment and Agriculture to raise awareness and improve their knowledge and understanding of the importance of Agrobiodiversity.

194. The project worked strategically on establishing synergies among different stakeholders involved in the seed system. It worked towards the development of a network where both formal and informal partners collaborate in developing a healthy and sustainable seed system that guarantees to the conservation and distribution of the local agrobiodiversity. The Project, in collaboration with responsible institutions (Department of Agriculture, Plant Genetic Resources Center, Extensions Services) and the CBOs, has developed a seed exchange mechanism that can be adopted by other communities, based on a study that takes into consideration possible barriers, problems and solutions.

195. In order to make sure that the concept of Agrobiodiversity is fully understood and embedded into agricultural programs at different levels, the project developed a comprehensive capacity building programme for different institutional stakeholders, that can be easily implemented and replicated in different departments of both the Department of Agriculture and Ministry of Environment. A challenge is however if the two ministries would be able to work well together in the project areas after the project has ended. Their collaboration has mostly been through the project SC, while collaboration in the field has been limited.

196. Within the project lifespan at least two new international projects have been funded that are building on the project results regarding sustainable use and conservation of agrobiodiversity: (i) the UNEP-GEF MSP project “Healthy Landscapes: Managing Agricultural Landscapes in Socio-ecologically Sensitive Areas to Promote Food Security, Well-being and Ecosystem Health” (GEF ID 9404), USD 2 Million from GEF, and (ii) the UNDP-GCF funded “Climate Resilient Integrated Water Management Project” CRIWMP, USD 38 Million.

Institutional Sustainability is rated ‘Likely’ (L)

iv. Financial sustainability

197. As mentioned earlier, despite that the government co-financing was lower than expected and some co-financing partners failed, the level of co-financing was very good, with 69% of the total project financing. This indicates first of all a high level of commitment from BI's side, which was able to come up with additional funds, and also BI's and UNEP's ability to convince other co-financing organizations to support the project with new or additional funds. The most interesting added co-financing from a sustainability point of view is the USD 129,480 from national universities, because it shows a high level of interest on the topics that the project covered, which gives expectations for more involvement of the Sri Lanka academy in agrobiodiversity and climate related sciences.

198. The economic and financial sustainability of the project was based on the costs and benefits of the project outcomes within a long-term perspective, and whether these would be economically sustainable in the future without project donations. This however remains a market issue, where much depends on the partners' and private sector's ability to assure better paid niche markets for sustainable biodiversity based products. The project staff mentions the word "entrepeneurship", but in practice it is very little to see except for the individual farmers and their organizations. It is a weakness for the project not to have established stronger links with the market and the private sector, both for the value chains of products and as co-financing stakeholders. The national private sector actors should have been strongly involved from the design phase, and would then have influenced the content and approach of the project.

199. On a farm level, with the different production approaches the project promoted, the producers can (i) get a higher yield of plants, milk and eggs; (ii) reduce the volume of agro-chemicals (pesticides and fertilizers) and thereby reduce the production cost; and (iii) achieve improved socio-economic conditions for the farmers and their families, while at the same time creating improved livelihoods.

200. The studies conducted under Component 2 regarding the production benefits have led to increased visibility of agrobiodiversity markets, with products that can be sold at slightly higher prices. Several farmers, within and outside the project communities, are now engaged in the production of crops and crop varieties for which there is a good demand in the market. The business of rearing chicken has proved to be rather profitable and produce good results in increasing the revenues of the farmers engaged. Most of the egg production is used for self-consumption, and during the final year of the project the number of eggs and chicken devoted to the market increased constantly.

201. In addition to developing structures and mechanisms that make diversity available and accessible to farmers, the project popularized the concept of Diversity Gardens, which promote the presence of diversity at different levels including crops, medicinal, plants, livestock, and also include the adoption of sustainable management practices. Of the 217 diversity gardens established, 90% were still running and effective by the end of the project, with a tangible benefit for the farmers who no longer need to buy vegetables and spices for self-consumption in the local market. The sustainability is assured because the Diversity Gardens function as demonstration plots for other farmers, to understand how they work and the benefits, and they represent a way to conserve diversity on-farm.

202. The value chains to the national and international markets are moving towards more demand for sustainable production and healthy food products, including nature-based and organic products. This is a trend that has been going on for some time and probably will be strengthened, promoting environmental sustainability. It is a strong driver for continued

focus on the topics that the project has been working with, but as mentioned the process would have been stronger through more involvement of the private sector. The green trend has been strongest in some international markets, where consumers are gradually more aware of certification mechanisms for organic products and sustainably managed production. This is a win-win situation, where environmental and economic sustainability are mutually strengthening each other.

Financial Sustainability is rated 'Likely' (L)

Overall Rating for Sustainability is 'Likely' (L)

O. FACTORS AFFECTING PERFORMANCE

203. These factors have been discussed in different sections of the document, so this chapter presents only a brief summary.

204. **Preparation and Readiness:** The design stage of the project was carried out through a Project Preparation Grant (PPG). The project had a moderately satisfactory design with good ratings for all issues except "Intended results and causality" (TOC), Financial planning/budgeting, and "risk identification and social safeguards". Regarding readiness, it seems like the national staff was not familiar with working in a project, and would have needed stronger training and guidance from the start. This was especially the case for project monitoring with use of the indicators in the results framework, which was a weakness throughout the implementation period. Preparation and readiness is rated 'Moderately Satisfactory'.

205. **Quality of Project Management and Supervision:** The BI Project Manager and Project Director resided in Rome, and the project's main technical advisor resided in the UK, but all travelled frequently to Sri Lanka and supervised the national PMU both directly and remotely. The National Coordinator had good technical knowledge, but less experience with administrative project management, so he was complemented from July 2015 by a National Project Director, and both positions were maintained to the end. There was good monitoring and supervision throughout the implementation period both from BI in Rome, and also supervision of BI from UNEP's TM (first based in Rome and then Nairobi), and finally the TM was changed to another person based in Bangkok, when only one year was left of implementation. The previous and the new TM agree that this change was not needed, especially since it happened towards the end of implementation. It probably affected the supervision since the first TM had followed the project from the start, and had a knowledge it would take the new TM time to accumulate.

206. The Steering Committee played both advisory and decision-making roles. The Results Framework was used as the monitoring tool, however the specific indicators in the framework were not reflected in the PIRs and progress reports. The Risk Table in the PIR did also not reflect the Risk Table in the Project Document, but follows a new standard format. The risks were monitored throughout the project implementation, but on national level the risk mitigation was most often ad-hoc.

207. BI maintained the same project director and project coordinator during most of the implementation period, both being residents in Rome, with frequent visits to Sri Lanka, often in combination with annual meetings of the Steering Committee when they used the opportunity to also visit pilot sites. The national team members and partners were satisfied with the support from BI, which included an international agrobiodiversity expert that had also participated during the design phase. The BI team on the other hand was satisfied with

the supervision and support received from the UNEP TM. It helped this relation that the UNEP TM and BI staff knew each other from before, and that the UNEP TM was outsourced to FAO in Rome, which gave the opportunity for face-to-face meetings. The Quality of project management and supervision from both BI and UNEP is rated 'Satisfactory'.

208. **Stakeholder Participation and Cooperation:** There has been a broad stakeholder participation based on the partner organizations', other organizations' and local stakeholders' interest in the topics of agrobiodiversity and ecosystems based adaptation. The two most important stakeholder groups are the government and the farmers. A third stakeholder group was the private sector in the value chain for agrobiodiversity products. Even though the private firms had a certain role in the project, it could have been promoted more strongly, for improved achievement of outcomes and impact, as well as for increased co-financing.

209. Capacity of national staff: Even though some national staff members had general strong capacity and enthusiasm for working in the project, many had very little knowledge about how to work in a project and also about the topics that the project was promoting. One reason was the salary level, which gave the result that research assistants had no prior work experience and had to learn all through the job. Most of them had a learning period of 3-4 month before they were able to do and efficient job, which means up to 1/3 of their time in the project. If the moment they were up to speed coincided with a period without project funds or without salary, they could in the worst case scenario go through their entire work period (most often one year) without doing an efficient job. Other staff members did not give priority to the project because they had other tasks and only worked on project issues if they had any spare time.

210. Community challenges: The rural communities are used to staff from different projects visiting them to get information, and then disappear. Other projects establish activities, but without continuity, with the result that the farmers are losing interest in trying anything new. Since they had lost faith in the projects they were also not willing to put in any of their own resources, and demanded all for free. Due to the problems mentioned above, especially the lack of available project funds, there were long periods during the first years when the BACC project did not return to the communities. The result was that they each time had to start from the beginning, and the people they had worked with before were often not interested. The problem was only solved when the project decided to locate permanent coordinators in each pilot area. On the other hand, during the last years of the project, with the participation of the farmers' CBOs the results rapidly improved. Stakeholder cooperation and participation is rated 'Moderately Satisfactory'.

211. **Responsiveness to Human Rights and Gender Equity:** Human Rights were not considered in the design, and indigenous peoples or ethnic minorities were also not considered since the pilot areas have quite homogeneous ethnicity. An FPIC exercize was however carried out as part of the project planning. There is only a brief mention of gender in the project document, but this issue was still included in the project's training programme. The training specifically on gender aimed at recognizing women's contribution to agriculture and empower women in decision-making. After preparing the training curriculum it was presented to the Extension and Training Division of the Department of Agriculture and the Provincial Department of Agriculture. At this moment (Nov 2021) there is no trace to show if the curriculum was used or if it was shared with others. Responsiveness to human rights and gender equity is rated 'Moderately Unsatisfactory'. This considers both the low priority

to these issues in the project design and the lack of gender indicators and monitoring to be able to measure results.

212. **Environmental and social safeguards:** The project design had a short but good safeguards analysis. No adverse environmental and social impacts were found as results of the implementation. Environmental and social safeguards is rated 'Satisfactory'.

213. **Country Ownership and Driven-ness:** The Country Ownership from the Governments' point of view seems to be thematically quite strong. The Department of Agriculture and Ministry of Environment recognize the value of agrobiodiversity and ecosystems based adaptation to Climate change. The project's PMU was situated within the Department of Agriculture and therefore had the strongest collaboration with this agency. At the local level, there was also certain ownership of the project's outcomes from communities, farmers and farmers' organizacions (CBOs). There are however several issues that could indicate a low interest in the project results, at least during the first years:

214. Transfer of funds: The most important factor that negatively impacted the project performance was the Sri Lanka Government's requirement to channel all project funds through the National Treasury. This led to huge delays, sometimes up to six months, and in the meantime very little was done. The project was halfway through the implementation period (in 2016) before the issue was resolved and the Government accepted direct contracting of partners, with money flow from BI directly to universities, NGO, etc. The time lost on stand-still due to lack of project funds or lack of salary payments (see next paragraph) is probably more than the project's 27 months no-cost extension.

215. Bureaucracy in the public sector: The public sector in Sri Lanka is known to be very hierarchical and bureaucratic. It means that staff are not used to question any opinion or order from their superiors, which discourages private incentives. On the other hand, bureaucratic rules can sometimes be used to slow down processes on purpose, which maybe was the case when Treasury delayed project funds, since it was in the middle of a national economic crisis. Another serious issue caused by the bureaucracy and financial problems in the public sector was the delay in payment of salaries, sometimes 2-6 months. In these periods very little was done in the city and nothing was done in the field (before the project established resident site coordinators). Country ownership and driven-ness is rated 'Moderately Unsatisfactory'.

216. **Communication and Public Awareness:** The project achieved many positive results that were disseminated to the public through the project website https://www.bacc.lk. This was complemented by scientific publications in three languages (under leadership of national universities) and BI's outreach on international level. On the other hand, training and capacity building was carried out with a high number of events directed towards multiple stakeholder groups. Experience-sharing between countries was carried out through international seminars organized by the UNEP-GEF project "Mainstreaming biodiversity conservation and sustainable use for improved human nutrition and well-being (GEF ID 3808), and some bilateral contacts between the participants. Communication and public awareness is rated 'Satisfactory'.

217. **Follow-up of the Mid-term Review:** The Evaluation Team concludes that the project implemented the recommendations from the MTR to a limited extent, but some issues mentioned in the MTR report were already in process when the MTR was carried out. It should however be considered that the MTR report was presented so late as in 2018, and project field activities should finalize in 2019. The MTR chapter "Recommendations" is a combination of 37 findings, recommendations and ideas, where several were not included

in the ProDoc and Results Framework. The Evaluation Team therefore considers that the project should not have been expected to make major changes at this stage, but rather focusing on finalizing the targets that were already included in the Results Framework.

218. The MTR report included many recommendations that could have been more useful if they had been presented earlier during the project implementations, such as the need for a stronger focus and articulation on climate change; demonstrate community benefits (through stronger monitoring); find ways to increase productivity; scale-up efforts to re-introduce diversity of cereals and legumes; continue the emphasis on traditional varieties; utilize sites for combination of enrichment planting, poultry, and soil & water conservation; re-introduce underutilized medicinal plants; develop a more vigorous scaled-up level of community outreach; etc. Many recommendations reflected activities that were already in the process at the moment of the MTR, e.g. to replace the centralized community seed banking idea with a more diversified and spatially distributed system.

219. The Evaluation Team considers that due to the late moment of the MTR report and the very long list of recommendations, it did not support the project's effectiveness. It rather gave the project team the opportunity to continue with what it was already doing. In order to have a positive impact on the project's effectiveness and efficiency, the MTR report should have prioritized the 3-5 most important recommendations, which would have facilitated BI's and UNEP's task to monitor and support project delivery before it ended.

Overall rating for factors affecting performance is 'Satisfactory' (S)

VII. CONCLUSIONS AND RECOMMENDATIONS

P. CONCLUSIONS

220. As it has been demonstrated through this report, the project design and monitoring had some weaknesses, which were part of the explanation for a difficult implementation process. This resulted in no progress on some of the planned outputs on national level, but also some very positive results especially on local level. Activities introduced by the project continue to be successfully applied in the pilot areas, such as seedbanks, home gardens, vegetables, leaf vegetable farming, and soil conservation measures, where some of these are already being replicated, often supported by the farmers' CBOs. The community seed banks have been especially popular and get visits even from farmers from neighboring villages who want to buy germplasm. This means that new varieties introduced have the potential to be multiplied in new areas. Finally, the re-vitalization and strengthening of the community based organizations, as well as their financial sustainability, is probably the factor that gives the highest expectation of replication and scaling-up of the activities that the project promoted. There are also already at least two new international projects in Sri Lanka (financed by GEF and GCF) that partly are using the models and lessons learned from the BACC project.

221. The Evaluation Team concludes that the project's original implementation structure was not conducive to support the effective delivery of results, consisting of inefficient national project partners without local staff in the project areas, combined with consultants and BI staff abroad. Frequent missions could not make up for having permanent project staff in the country.

222. The Evaluation Team also concludes that the project implemented the MTR recommendations to a limited extent, but several of the issues in the MTR report were already in process when the MTR was carried out. Since the MTR report was presented so late as 2018 and had a very long list of recommendations, it did not support the project's effectiveness, but rather gave the project team the opportunity to continue with what it was already doing. The MTR would have had more impact if it had prioritized 3-5 recommendations, which would have facilitated BI's and UNEP's task to monitor and support project delivery before it ended.

223. The conclusions from the Terminal Evaluation Report is summarized in the table below. According to UNEP's ponderation of criteria, the total score of the project is 4.34, which qualifies as **Satisfactory**.

Table 17. Ratings Table

Criterion	Summary Assessment	Rating
A. Strategic Relevance	**Highly Satisfactory**	**HS**
1. Alignment to MTS and POW	High degree of alignment	HS
2. Alignment to UNEP/GEF/Donor strategic priorities	High alignment to overall goals	HS
3. Relevance to regional, sub-regional and national environmental priorities	Relevant for priorities in biodiversity and Climate change in Sri Lanka and globally	HS

Criterion	Summary Assessment	Rating
4. Complementarity with existing interventions	Built on on-going BU work and partner relations, but not other projects	S
B. Quality of Project Design	See table 10: Good ratings except "Project preparation", "Intended results and causality", and "Logical framework and monitoring".	**S**
C. Nature of External Context	Favourable due to receptiveness in the Government and BI's established network.	**F**
D. Effectiveness	Overall moderately satisfactory	**MS**
1. Availability of outputs	Full compliance with 5 output targets, medium compliance with 3 targets and nearly no results on 4 expected outputs	MU
2. Achievement of direct outcomes	All three direct outcomes had medium compliance on their targets	MS
3. Likelihood of impact	There is likely positive impact, with on-going activities of established CBOs	L
E. Financial Management	Highly Satisfactory	**HS**
1.Adherence with UNEP standards and procedures	Satisfactory review, also UNEP opinion	HS
2.Completeness of project financial information	Information complete	S
3.Communication between finance and project management staff	Good support communication	S
F. Efficiency	Very weak first two years. 27 months extension mainly due to slow transfer of project funds	**MU**
G. Monitoring and Reporting	Satisfactory during implementation	**MS**
1.Project reporting	Simple & efficient, using GEF form	S
2. Monitoring design and budgeting	Not good logframe as basis for M&E	MU
3. Monitoring implementation	Slow, with partly unreliable results	MU

Criterion	Summary Assessment	Rating
H. Sustainability	Overall high expectations of sustainability	**L**
1. Socio-political sustainability	Good ownership of government and local stakeholders	L
2. Environmental Sustainability	High sustainability, basis for future	HL
3. Economic-Financial sustainability	Good expectation of sustainability based on local sale of germplasm	L
4. Institutional sustainability	Project products integrated into work of Agricultural Department	L
I. Factors Affecting Performance	See par. 184-197	**MS**
1. Preparation and readiness	Design was not completely ready despite a PPG phase	MS
2. Quality of project management and supervision	Satisfactory on all levels	S
2 a)UNEP/Implementing agency	Satisfactory	S
2 b) BI/Executing agency	Satisfactory	S
3. Stakeholders participation and cooperation	Good stakeholder participation, but some weaknesses in Govt agencies	MS
4. Responsiveness to human rights and gender equity	Not focused on indigenous peoples and low focus on gender participation	MU
5. Environmental and social safeguards	Good safeguard analysis and follow-up	S
6. Country ownership and driven-ness	Slow processes in national government partners affected project results	MU
7. Communication and public awareness	Satisfactory national and international communication of project results	S
Overall project rating	**Satisfactory**	**S**

Q. LESSONS LEARNED

224. This chapter presents some of the most important lessons learned during implementation of the project, focusing on those that could be new or the most useful, especially in Sri Lanka.

225. Collaboration among all the stakeholders involved is fundamental for achieving the project broad goals: The collaboration between the Ministry of Environment and the Department of Agriculture was facilitated by the participation of both in the project activities and SC. The interaction and exchange of information between project stakeholders including scientists and farmers has shown to be important for conservation and sustainable use of

agrobiodiversity. Regular technical meetings with experts were necessary to build up mutual trust and respect, and common understanding of the project goals among team members and partners, discuss project progress and agree on the way forward.

226. A participatory and interdisciplinary approach is important to foster exchange of knowledge among community members and scientists: The project worked together with these stakeholder groups to improve the understanding and potential of genetic resources to adapt to the challenges of Climate change, including a set of experimental studies called the Farmers Field Fora (FFF), established over 3 years to identify the best adapted varieties to the environmental conditions of the three project sites. This approach entailed the introduction of several new varieties, either “modern” or “traditional” - from different areas, and resulted in increasing the diversity at the household and community level.

227. Participatory tools assure farmers’ interest and activities: To consolidate the increase of agrobiodiversity in the project sites, other participatory tools were successfully introduced, such as the Community Biodiversity Registries (CBR), Community Seed Banks (CSB) and Diversity Fairs. All these approaches entail the active participation of farmers who see the benefits of cooperating and collaborating with scientists and local authorities. With these tools and necessary training, the farmers are now managing them with minimal support technical advisors from the Agricultural Department. Farmers are now consulting the CBR to look for the plant material that can satisfy their needs.

228. Permanently stationed field staff improves implementation progress: The interaction with farmers’ communities was difficult, because they had bad experiences with other agencies, and the project encountered a lack of available funds that caused an interruption of field activities. To deal with this challenge, mutual respect and trust had to be built through the permanent Site Coordinators, one per site, who were hired for this purpose. It was however a challenge for the coordinators to be recruited without previous experience in the topics to cover, while some beneficiary farmers had more experience than them. Their main responsibility was to make sure the farmers understood and agreed on the scope of the project, to coordinate experts’ visits and activities in the field, while at the same time making sure farmers’ needs and interests were considered. The presence of the Site Coordinators from 2014 determined an important and positive change in project implementation. Not only did they ensure continuity of project activities in the field, particularly during the period in which the transfer of financial resources were delayed, but their presence and contribution was critical to achieve one of the targets: to have at least one Community Based Organization (CBO) operational and active in each pilot site. Eight such organizations are now active and specialized in the production of different agrobiodiversity products and capable of providing technical support for their members.

229. Women as permanently stationed field coordinators improve gender participation: The project design did not give emphasis to the participation of women. Results from interviews during the TE indicate that achievement of a reasonably good gender participation was to a high degree a result of having women as permanent field staff, because they can more easily convince the women to participate in project activities. It is however expected that this effect would have been even stronger if the field coordinators had previous experience in this type of work.

230. Community seed banks maintain and safeguard local seed preferences: A community seed bank is a local organization whose core functions are to maintain, safeguard, and exchange local and farmer-preferred seeds for local use. It is managed collectively by women and men

farmers from the community who care about seed supply in the framework of a local CBO, often but not always with the support of an organization working in agriculture.

231. Community seed banks improve climate resilience: The CSB represents an important source of seed during the extreme events that have affected the project sites, when the farmers have been able to fast resume their activities and limit the economic and food supply losses. The Plant Genetic Resources Center (PGRC) has understood the importance of this structure and has started supporting it by providing technical support and seed of some specific varieties.

232. Traditional knowledge of plants can give new products and development: Medicinal plants are an important element of Sri Lankan culture and represent the main traditional medicine system particularly among the rural population. Building on the existing knowledge regarding the use of these herbal plants, passed from generation to generation, the project has been working with a selected subgroup of interested and motivated farmers to improve and increase the production of medicinal plants through the establishment of medicinal plant home gardens. Other herbal products (e.g. snacks, drinks) with market demand were identified and the production of mosquito repellent sticks has started in Gampola.

233. Traditional livestock activities provide improved nutrition for local communities: An important achievement of the project was reviving the traditional livestock activities (chicken and cattle), which, over the past 15-20 years, had almost disappeared in the three sites, and rearing of chicken proved to be particularly successful. Most of the egg production is for self-consumption, but the farmers are starting to sell eggs and chicken to neighbors or in small markets. In order to ensure continuity of chicken rearing, the project endowed each site with an incubator to support the production.

234. Multiplication effect in cattle system: For cattle, only ten heifers per site where distributed. Prior to receiving the animals, the farmers had to register to the Government Veterinary Office, and had to attend a training. In order to encourage the development of the activity and to increase the number of beneficiaries, the farmers were required to sign an agreement where they committed to donate the first female cattle born to their CBO, who is in charge of distributing the new born to other interested farmers. There has however been some problems with implementation of this activity.

235. Agricultural biodiversity can contribute to maintaining a healthy and sustainable production system: The project has put effort into diversifying the farms in terms of crop species and their varieties, animal diversity, and medicinal plants. At the same time, studies and analyses of the soil, below-ground biodiversity and pollinators have been carried out to assess and monitor the quality of the production system.

236. Non-marked benefits can be estimated and add to the full value of the project. Non-market benefits were quantified through a methodology developed within the project, which is an approach that could be applied also in other projects.

237. Ecosystem services strengthen local production: The Project emphasized the importance of ecosystem services to improve the production system and worked to improve those services in the farmers' fields. In addition to the training on soil management and conservation, integrated pest management and water conservation, the project carried out an assessment of the pollinating insects in the field, and beehives were distributed to 10 farmers per site.

238. National level impact on agrobiodiversity conservation requires scaling-up through the Government: The project invested significant efforts to revise the National Action Plan to

ensure it addresses agrobiodiversity, sustainable use and conservation, and its potential to enhance adaptation to Climate change. A document, complete with recommendations, was produced and distributed to relevant agencies and presented at the "National Symposium of Agrobiodiversity for Climate change Adaptation, Food and Nutrition" in Kandy May 2019.

R. RECOMMENDATIONS

239. Since the project has terminated, only UNEP can be held formally accountable for implementing recommendations for this project. For BI the recommendations are therefore just ideas that BI Management and partners might consider in light of the TE findings, including for design and implementation of new projects. The following recommendations are to UNEP:

Table 18. Recommendations[9]

Recommendation #1:	Assure that a good results framework is developed during the PPG phase, which should have reliable baselines, and specific targets for planning of project activities and monitoring of results. In cases where baselines are not available or not finalized at the moment of approval, it is better to put the baseline as zero and define the target according to the direct project outputs.
Challenge/problem to be addressed by the recommendation:	None
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	Immediately

Recommendation #2:	Assure more exchange of experiences and lessons learned, especially between UNEP projects going on in the same country at the same time, but also with other agencies working in the same technical fields. In this case the project did not even have interaction with another UNEP-GEF project in Sri Lanka that was focused on agro-biodiversity and pesticide reduction in the tea sector (GEF ID 5750).
Challenge/problem to be addressed by the recommendation:	None
Priority Level:	Opportunity for improvement
Type of Recommendation	UNEP-wide
Responsibility:	UNEP

[9] Please see the "Guidance for Evaluation Managers and Evaluation Consultants on Presentation and Quality of Recommendations within a Main Evaluation Report" among the evaluation tools.

Proposed implementation time-frame:	Immediately

Recommendation #3:	Assure that problems with transfer of project funds are resolved early on during the project implementation, to avoid delays and project extensions. This should be dealt with on high government level, based on UNEP's direct contact with the government as an international agency.
Challenge/problem to be addressed by the recommendation:	National legislation and regulations, as well as bureaucratic processes.
Priority Level:	Important
Type of Recommendation	UNEP-wide
Responsibility:	UNEP (Financial Management)
Proposed implementation time-frame:	Immediately

Recommendation #4:	Assure that lessons learned from this project are being integrated into the design of other UNEP projects that are focusing on agrobiodiversity, implemented by BI or other agencies.
Challenge/problem to be addressed by the recommendation:	UNEP's and partner agencies' capacity
Priority Level:	Opportunity for improvement
Type of Recommendation	UNEP-wide
Responsibility:	UNEP
Proposed implementation time-frame:	Immediately

ANNEX I: RESPONSE TO STAKEHOLDER COMMENTS

Response to stakeholder comments received but not (fully) accepted by the reviewers

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
UNEP				
1	General comment	The evaluation of project delivery and anticipated outcomes/impact is based on the reconstructed ToC for which the Evaluation team introduces new objectives and indicators which have not been part of the originally approved results framework of the project. As per UNEP guidance the reconstructed ToC should be done in line with the initially identified outcomes.	The reconstruction of ToC was done in line with UNEP and GEF evaluation guidelines, in strong dialogue with the UNEP Evaluation Office. The justifications for reformulations are given in table 7. The UNEP Evaluation Office distributed the reconstructed ToC and the justification for all reformulations to the former UNEP TM on July 14 and July 21, 2020, but no comments in writing were presented by the former TM.	Both UNEP and GEF require project performance to be assessed against a Theory of Change. Where a project does not provide a TOC, the evaluation consultant is required to reconstruct the change process described in the project documents (see below). Table 7, pg 18 provides the original project document text, the reformulation used to reconstruct the TOC and the justification for changes. The reconstruction is consistent with the project design documentation provided to the evaluation. GEF 2017, para 11. 'Some of the projects may already have an explicity theory of change. Where appropriate, after consultations with the project stakeholders, the evaluators may refine this theory of change. **Where an explicit theory of change is not provided in the project documents, the evaluators should develop it based on information provided in the project documents and through consultations with the project stakeholders**' (Guidelines for GEF Agencies in Conducting TE for FSPs, 2017) GEF 2008, para 15, item b) Effectiveness. 'Are the actual project outcomes commensurate with the original or modified project objectives**? If the original or modified expected results are merely**

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
				outputs/ inputs, the evaluators should assess if there were any real outcomes of the project and, if there were, determine whether these are commensurate with realistic expectations from such projects'. (Guidelines for GEF Agencies in Conducting TEs, 2008)
2	General comment	The Evaluation is primary focused on assessing the availability and quantity of the result. Given the very technical nature of the project, the evaluation could benefit from a qualitative analysis of the outputs and outcomes delivered by the project.	The evaluation complied with the TOR and focused much on compliance with the project targets for outputs and outcomes, as well as impact and sustainability. The evalution team however also assessed the general quality of technical outputs.	Table 11, pg 28 provides an item by item description of the achievements at output level. UNEP is results oriented organisation and evaluations serve the purpose of generating learning and providing accountability at the results levels. The completion of activities and delivery of outputs are assessed as steps taken towards the achievement of outcomes.
3	Par 14, pg 3	It is preferable to refer to UNEP PoW and MTS rather than to focus areas	POW, MTS and focal areas are all mentioned in the report.	The focus areas are also relevant and the MTS/POW are already identified.
4	Par 24, pg 5	Consultant is mentioning that Despite the mentioned participatory approach, the Team was striving to maintain clear impartiality and independence at all stages of the evaluation process, the consultant should provide more specific details supporting this statement	When working in close dialogue with an organisation such as BI, it is easy to understand the difficult issues that they had to struggle with. This however never influenced the TE approach that the evaluation had to be based on compliance with the project targets. The problems outside BI's control should have been better analysed during the design phase, and more mitigation should have been put in place.	
5	Par 46, pg 10	Reconstructed ToC should be based on the approved project objectives and outcomes. Reformulation of project outcomes and objectives and introduction of new outcomes that are not in alignment with the original RF which is part of the original document approved by the GEF Council is not acceptable and should not be taken into consideration for assessing project performance and outcomes.	See reply to the first comment. No new outcomes were introduced. The content of the project is the same, but the wording was brought up to date with the definitions used by UNEP evaluation office.	See comment on item 1 above – reconstruction is acceptable to both GEF and UNEP, reformulation is made explicit in Table 7 and was discussed during Inception Phase and UNEP Evaluation Office does not consider the reconstruction to have altered the project's ambitions.

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
6	Table 3, pg 11	The GEF formats are used for this project, therefore is not possible to change the "objective" with "Impact". Proposed changes in the text of objectives, outcomes and outputs can only be accepted at this stage if they are editorial. Any other changes at this stage will be considered not in alignment with the project document approved by GEF Sec and with the SSFA between UNEP and BI. Please also note that any change of outcomes and objectives of the project requires formal approval by GEF Council therefor at this late stage proposed changes can not be considered for assessing project delivery and meeting of its objectives as proposed by the Evaluator.	See reply to comments 1 and 5. Please also note that the reformulation of wording done during the TE did not in any way change the content of the project.	Please note GEF guidelines on evaluation, item 1. A ToC reflects results and the highest level of result is Impact. The Objective is not formulated as a results statement, it is the overall project intention and is reflected in different results at different levels. The reformulation of the Objective: To ensure that agrobiodiversity in Sri Lanka is optimally conserved and used to meet the challenges of climate change and improve rural livelihoods to an Impact statement: Agrobiodiversity is optimally conserved and used to improve rural livelihoods and meet the challenges of climate change is consistent with UNEP and GEF guidelines.
7	Table 3, pg 11	It is not acceptable to change the project outcomes and use these to assess project impact without formal approval. This is against GEF requirements and procedures. The new Outcome introduced by the Evaluator requires completely different indicator and targets which were not approved by the GEF and by the project SC.	Same as previous reply	See responses in items 1 and 6
8	Par 49, pg 12	Building the capacity and empowering women with technical and management skills should be considered as positive element not as a weakness of the project intervention	This paragraph does not mention gender as a weakness. Par 49 and 51 rather mention positive elements. There are however weaknesses in the design and monitoring of gender participation, mentioned in other parts o the TE report.	The paragraph is descriptive and does not say that this has been assessed as a weakness of the intervention.
9	Par 56, pg 15	The statement “A general summary of the stakeholder analysis is that BI made an effective use of its existing network, but did not broaden it much” Is not exactly correct as the project established sustainable partnerships between Government agencies and Universities as well an between plant	BI was already implementing projects in Sri Lanka before this project, which was based on the same network. The TE statement recognizes that the network was broadened, but most of the project work was carried out in collaboration with institutions and organizations that BI had contact with before.	

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		and animal departments and Government and Community development organizations as evident in the table above.		
10	Par 58, Pg 16	It is important to note here that change of co-funding sources did not affected the delivery of the project as additional co-fin was secured as outlined in the section F. Co-fin. commitments were fully met and in GEF family it is acceptable that the co-financing comes from sources different form the initially commitments.	The report does not say that change of co-funding sources affected delivery of project results.	This paragraph describes the detail of co-financing. It states that the total co-finance was as expected. There is no need to refer to the delivery of the project at this point in the report.
11	Par 60, Pg 16	The reconstruction of the ToC should not be based on reformulation of project objective and introduction of new indicators to measure achievement of the objective and delivery of outputs. This is changing the entire nature of the GEF intervention approved by the Council	See replies to items 1, 5, 6 and 7. The TE did not introduce new indicators and the content of the project is the same, but with reformulated wording to bring it in line with UNEP glossary for what are outcomes, outputs, targets, activities, etc. The TE report mentions these failures under “quality of project design”	See responses in items 1 and 6
12	Par 62, Pg 17	Proposed changes of the objectives and indicators make very difficult to evaluate the project as project performance was monitored based on one Objective-impact and 3 outcomes with relevant outputs contributing to the achievement of defined outcomes. It should be noted that new indicators were proposed by the Evaluator which have not been part of the project result framework neither at approval or at implementation stage	See replies to items 1, 5, 6, 7 and 11.	See responses in items 1, 6 and 11
13	Par 63, Pg 17	Introduction of new project outcome this is not in alignment with the GEF requirements at project formulation stage- see my comments above re: para 60 and 62	It is correct that it is not a GEF requirement at project formulation stage. The Project Outcome is what is intended to be achieved by the end of project implementation period, and summarizes the outcomes. The TE does not criticize the design on this issue. See also replies to items 1, 5, 6, 7, 11 and 12.	See responses in items 1 and 6. The articulation of a Project Outcome facilitates the assessment of performance and is consistent with the intention reflected in the Project Objective and its indicators. The indicators at the Objective level represent adoption in the

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
				implementation sites (e.g. An increase of 20% in the agrobiodiversity components present in at least 2 sites as measured by richness and evenness of crop varieties, livestock breeds or species and in the functioning of ecosystem services.) and the Project Outcome reads: Improved conservation and use of agrobiodiversity in pilot areas, for rural livelihoods and climate change adaptation.
14	Par 64, Pg 17	As commented above reformulation of this outcome leads to changes in expected outputs and respective indicators and targets which have not been formally approved or used for monitoring of project delivery	That is not correct. The project outcomes presents the expected result at the end of the project period, based on the outputs and outcomes, not the other way round. See also replies to items 1, 5, 6, 7, 11, 12 and 13.	See responses in items 1, 6, 11 and 13
15	Par 69, Pg 18	It is important to mention that defining of expected impact statement was not a requirement at a project design stage	That is correct. The Expected Impact in the ToC is therefore based on impact mentiones in different parts of the ProDoc	Impact statements are required in all ToCs. The 2017 Mid Term Review should have provided a ToC and provided an Impact Statement.
16	Par 71, Pg 18	Statements are made that reformulation has been proposed because the formulations of outputs and outcomes is no in alignment with UNEP glossary of results definition. One may wonder how the Project passed UNEP clearance processes if this was not the case? Please kindly refer to all comments made during the PRC -the formulation of outcomes and results was not defined as an issue	The evaluation would not make sense if it should only be based on the project approval document. UNEP evaluation processes have progressed much since then. An improvement of the evaluation process and methodology does however not mean that the project was in incompliance with UNEP procedures at the moment of approval.	UNEP supports an independent evaluation function. The purpose is to maximise learning and promote accountability at results levels across the whole house. This learning is relevant to those designing as well as those implementing projects.
17	Table 7, Pg 18	Under column **New formulation in Reconstructed TOC** The project objective cannot be replaced with Project impact in the Pro Doc and Results framework as this is in conflict with the formats of the approved Pro Doc by the GEF Council	The TOC exercize does not change anything that is approved by the GEF Council. It is a methodology that helps the evaluators and therefore assures a better evaluation report.	The Project Objective is not formulated as a results statement (I.e. to ensure agrobiodiversity is optimally conserved and used to … is not a result), it is the overall project intention and is reflected in different results at different levels. A ToC reflects results and the highest level of result is Impact. It is therefore appropriate for the Objective to be reflected

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
				in the Impact Statement (i.e. is optimally conserved and used to).
18	Table 7, Pg 18	Under Outcomes: Reformulation is made to make the text better structured and easier to read, without changing the main content. The statement is not supported by any evidence for lack of clarity of outcomes formulation. No comments were made by GEF Secretariat or Council on lack of clarity of outcomes formulation	This is an independent evaluation where the Evaluation Team found that some outcomes were not clearly defined. It might however be different opinions about this.	See responses to items 1, 16, 22 etc
19	Table 7, Output 3.2 (Pg 19)	The output proposed change is targeting different outputs and processes that are not envisaged in the approved project document	The content was not changed, only the wording, to present it in line with the UNEP Evaluation Office's definition of output	Original output statement: 3.2 Guidelines and recommendations prepared that promote mainstreaming of agro-biodiversity into national sector plans and programmes in ways that support food security, sustainability and adaptation to climate change. Reconstructed output statement: Relevant ministries and other national stakeholders have access to guidelines and recommendations, to mainstream agrobiodiversity into national sector plans and programmes for food security, sustainability and climate change adaptation 'Prepared' refers to the completion of a project activity. Unless the prepared guidelines and recommendations have reached the hands of those who are expected to use them, the statement does not represent an output. There is no change in either the timeframe, nor the behaviour here. It is simply two sides of the same coin (i.e. the guidelines were prepared by the project and, one assumes, disseminated. All the time the

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
				prepared guidelines remained with a project staff member, there was no output, only a completed activity).
20	Table 7, Output 3.3 (Pg 19)	GEF glossary at the design stage should be considered not current UNEP glossary	This is an evaluation, not an audit. The TE report does not criticize use of definitions at the moment of approval, but use certain glossary that help to facilitate the evaluation process.	Results are formulated to aide the assessment of performance. Amendments to definitions serve to illuminate meaning, they do not change the essence of the terms.
21	Table 7, Output 3.4 (Pg 20)	Output repeated	The formulation in the original results framework seems repeated, because it consists of two sentences that are nearly equal. This shows the need for reformulation, and is the reason why the reformulated output is much shorter.	Noted
22	Table 7 Sub outputs (pg 20)	no sub-outputs exist in the approved ProDoc. There is no rational to introduce them at the TE stage	The TE does not introduce sub-outputs, it is the project's results framework that did it at approval. Sub-outputs are briefly mentioned in table 7, but they are all found in Table 11. Even though the design does not use the term "sub-outputs" it is effectively a sub-division of the project's outputs. [please note a change in table 7, referring to table 11]	Noted
23	Table 8, pg 22	All elements proposed in the table are captured in the project results framework. Should not be considered as something new defined by the evaluation	The commentator is right that all elements are found in the results framework. The TE uses these elements in the reconstruction of the ToC to carry out a transparent evaluation based on concrete results.	Tables 8 and 9 are making the reconstruction of the ToC explicit and transparent
24	Table 10 line D (pg 26)	It is appropriate to indicate that this was not a requirement at the project design phase. Expected impact is captured in the project objective- Project design followed the structure of the Logframe required by GEF and UNEP at the time of approval which captured long term impacts as part of project development objectives and immediate impacts formulated as direct outcomes.	UNEP has all the information about what was required when the project was approved for implementation. The rating for 'Intended Results and Causality' is an overall rating (4 out of 6) that most of all consider if there is a logic in the chain of events towards the expected end results. Even though some topics are mentioned in the table it does not consider sub-criteria.	The Evaluation Office recognises that requirements change over time. The Office is required to produce learning that is relevant at the time of the evaluation. This project was approved in 2012/13 and did not reach operational completion until 2020. It is not reasonable for UNEP to delay the implementation of its own learning while waiting for older project designs to complete.
25	Table 10 line E (pg 26)	Please note that the project has LogFrame- Appendix 4 to ProDoc. Both terms Result framework and Logical framework are used interchangeably in	Even though UNEP and some other agencies use LogFrame and Results Framework interchangeably, it is not the same. A Logical Framework shows the expected total project results and includes the important aspect of	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		UNEP for the design and performance management and monitoring frameworks of UNEP/GEF projects. It is important to note that at the time of project approval by the GEF Council the terms 'outcome' and 'impact' were used interchangeably. Please also note that a detailed work plan has been developed during the project design phase and approved by GEFSEC and UNEP - APPENDIX 5. Workplan and timetable attached to ProDoc	Impact. A Results Framework does normally not include Impact and it sub-divides the expected outputs and outcomes at different moments in time during the implementation period. Note that the term 'outcomes' is often used more generally, as 'all results from a project'. This however does not mean that outcome is the same as impact, and it also was not the same at the moment of project's approval. This table refers to the quality of project design, and for that reason does not consider the work plan that was developed after approval.	
26	Par 96 pg 28	This is not correct - output targets were used to report delivery of respective outcomes in the project PIRs. IUNEP reporting formats does not consider reporting on outputs as per the defined targets in the RF. In the old version of the PIR reports outputs delivery was tracked according the targets and outputs indicators but as recommended by the GEF monitoring was focused only at outcome level assuming as set of outputs contribute to delivery of project outcomes. These are different definition of outputs and outcomes for UNEP standalone projects and this may have created a confusion but for the GEF projects GEF requirements, formats and definitions apply.	The Evaluation Team confirms the text as stated in this paragraph.	The Evaluation Office concurs with the evaluation consultant – the table reporting status of Outputs in the PIR 2020 only refers to % of delivery, there is no reference to any other indicators/targets.
27	Par 96, pg 28	Standard UNEP PIR formats have been used to track delivery of project objectives and outputs. Level of achievements of targets is part of PiR format which is also clearly evident in the table 11 bellow.	The format is not the problem, but the content. The project most often reported a delivery of 100%, which was progress on activities in the annual work plans prepared by the project itself. This gives no basis for measuring progress towards project targets.	The evaluation is not expected to critique all templates and formats in use by a project. Its aim to determine the performance of the project. It can only do this based on the information that is made available through documentation and by respondents.
28	Par 97, pg 28	The evaluation should asses the level of achievement of project objectives and delivery of committed results rather	The Evaluation Team used progress reports presented by the project as one of the main sources, and this was triangulated with information from other written sources,	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		than only the long term impact which is not evident one year after the project completion. I agree that in some cases there is a issue with reporting results that are not aligned to defined targets and indicators but this is an reporting issue and cannot be used as a justification for MU rating in delivery of project outputs. It is expected that Evaluator finds evidence of results to meet accountability requirements not only by referring to the last PIR prepared by the project. Short statements in the PIRs are supported by detailed information which should had been reviewed by the consultants.	multiple interviews, and field observations. A key issue is that project effectiveness has to be measured towards the targets, but there is most often no clear relation between indicators, baselines, targets and reported results. Even though the project has done a lot of positive things (in some areas more than expected), it cannot compensate for not doing what the project was supposed to do. The higher rating on outcomes than on outputs was partly due to much activity in a few areas, such as training courses. The Evaluation Team struggled to set up two results matrix tables (11 and 13) and has been very accommodating in accepting results that are not exactly aligned with the targets. The TE report highlights many positive aspects of the project, but this is not enough to avoid a low rating of effectiveness due to all the targets that were not met.	
29	Tale 11 output 1.1.1	There are only 3 indicators under this output (1.1 not 1.1.1). Why new indicators are introduced?	The TE did not introduce any new indicators. The sub-division is based on the original results framework that has many targets for each output, and gives each a number.	Noted
30	Table 11 Outputs	Project results framework outputs are numbered as 1.1; 1.2'1.3 etc. not 1.1.1; 1.1.2; 1.1.3	See reply to item 29	Noted
31	Table 11 Indicator 2.1.1.A	This is a new indicator not approved in the ProDoc	The division of indicator 2.1.1 into A and B is to make it clearer that these are two different issues (even with different baselines).	Noted
32	Table 11 Output 3.1.4	Why new indicator is introduced. This is not part of the approved ProDoc?	The division of output 3.1.4 into A, B and C is to make it clearer that these are three different issues (even with different baselines).	Noted
33	Table 11 Indicator 3.1 4C	Proposed indicator is not listed	See previous answer	
34	Par 99, Pg 32	Project performance should be evaluated based on the revised RF in the PIR where no indicators at output level are tracked but only delivery of outputs/results - table 3.2 of PIR. This has bee a change introduced for all UNEP GEF projects. In the TE ToRs is	The most recent Results Framework was used, but (as extensively explained above) reformulated in line with the reconstructed ToC and to make the indicators clearer. This was also necessary to be able to evaluate effectiveness on separate targets instead of a conglomerate of different issues.	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		clearly stated that the most recent RF should be used for TE.		
35	Par 105, Pg 32	No proof of evidence for the statement The lack of secured co-financing from some of the planned sources may also have been a factor affecting timeliness during implementation This is an assumption which is not supported by evidence	The paragraph is based on the late moment when different co-financing sources were available (interview info) and the fact that the executing agency BI had to provide much more co-financing than expected to be able to carry out the project.	Noted
36	Page 34 Availability of Outputs rating	More detailed proof of evidence is required to justify that availability of outputs is MU. Majority of the results were only assessed by desk review. This section should also include a qualitative assessment of outputs not only quantitative analysis. Very limited technical knowledge on the thematic are of the project is demonstrated. Evidence provided for MU rating do not support this rating. Rating is not in alignment with the Definition for MU rating which reads as follows: **Moderately Unsatisfactory (MU):** Implementation of **some** components is not in substantial compliance with the original/formally revised plan with **most** components requiring remedial action.	See reply to item 28. The issue that the evaluation was carried out by one home-based and one in-country consultant due to COVID-19 cannot be held against the evaluation findings and the quality of the TE report, and is not a serious comment. Both evaluators have broad experience in the thematic areas of the project. An extensive review of documentation and 75 stakeholder interviews were carried out during a total evaluation period of more than 20 months, in close dialogue with the UNEP Evaluation Office. The low output rating is as previously mentioned not at all based on technical issues because what BI did they did technically well. The problem is what they did not do.	Noted
37	Par 114, Pg 34	No Direct outcomes have been defined in the project - only Project objective and outcomes. It is advisable to use agreed terminology not to introduce new one	No new terminology has been introduced. The TE report is in accordance with the standards of UNEP Evaluation Office.	The terminology used supports an assessment of performance and follows the guidance and standard approach of UNEP Evaluation Office.
38	Par 116, Pg 34	The statement **There is not sufficient evidence for the Evaluation Team to be able to confirm the degree of achievement, since there is no direct relation in the Results Framework** should be justified with specific examples	Several sections of the TE report (including table 13), as well as the Results Framework (both original and adjuisted version) and the PIRs provide sufficient evidence.	The Evaluation Office finds that Table 13 provides this evidence as it is possible for the reader to see the targets and the text provided in 2019, plus the evaluation update.

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
39	Table 13, Pg 35	Evaluator is introducing new outcome indicators which are not aligned to the ProDoc approved by the GEF Council and the most recent version of the RF cleared by the project SC. Please refer to the last PIR report for Outcome indicators. End of project targets are also revised by the Evaluator, this is not acceptable	See reply to item 29	See response to item 29.
40	Table 13, Pg 35 Outcome 2 and indicator 2A ; 3A	This is a outcome and indicators formulation proposed by the Evaluator but different from the respective outcome and the indicators in the approved ProDoc	See reply to item 29	See response to item 29.
41	Par 119, Pg 37	It is not correct that the project did not exploded synergies and complementarity with other projects. BACC project builds on the UNEP AgBd portfolio in the country and globally, Close synergies and complementarity were established with these projects. Many of the national partners involved in the implementation of BACC project were traditional UNEP GEF parters involved in other AgBD projects.	The text does not say that the project did not explore synergies. Please note that the text says: "...could, however, have explored further the opportunities..."	Noted
42	Par 119, Pg 37	Re: reference to (GEF ID 5750). This project was completed early in the implementation phase of the BACC project. Although, the objectives and project sites of both projects are not fully complimentary. Why it is not mentioned that project closely worked in alignment with many other agrobiodiversity projects in the country and globally? The Tea project was evaluated by the same evaluator and I assume that's why only this project is mentioned here	It is not correct that project ID 5750 was completed early in the implementation phase of the BACC project, since it was completed in 2018. The reasons why the tea project is mentioned is because it was a UNEP-GEF project in the same period as project 4150 that worked with exactly the same issues, only with another plant species. There were huge opportunites for exchange of experiences that were not used. Please consult this with the current TM of the BACC project, who was also in charge of the tea project. Complementarity with a global project is mentioned in the same paragraph (GEF ID 3808).	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
43	Page 37 Achievement of Direct Outcomes is rated MS	Evidence and analysis in the relevant section do not justify moderate satisfactory rating. The definition for MS rating is as follows: Moderately Satisfactory (MS): Project is expected to achieve most of its major relevant objectives, but with either significant shortcomings or modest overall relevance. Evidence provided in the section above is not in alignment with this definition. Further for the GEF project for which no ToC have been required the achievement of outcomes should be assessed based of the constructed ToC but in line with the initially identified outcomes not based on new outcomes and indicators defined by the evaluator. In addition, very limite information is provided on the quality of outcomes- this would significantly improve this section	Note that the rating is for project outcomes, not for the project in general. In fact, the rating MS is quite high considering that the project team has not been able to provide sufficient evidence of compliance with many of the targets. An improved monitoring of results could maybe have changed the picture, but an evaluation has to be based on evidence. The TE report has much review of the quality of the project outcomes, especially for outcomes 1 and 2, through field visits to all the project areas.	Noted
44	Para 108	Assessment of project impact should be also considered in alignment to its complementarity to the entire UNEP GEF Agrobiodiversity portfolio in SL	A review of the entire UNEP GEF Agro-biodiversity portfolio in SL was not part of the TOR. The TE report includes some projects that were mentioned in PIRs and interviews.	The evaluation would only be able to assess this if the intentions of this project vis a vis the entire UNEP GEF Agrobiodiversity portfolio were made clear in the project design document.
45	Page 36 Overall Rating for Effectiveness is rated 'Moderately Satisfactory'	As per the GEF definitions Effectiveness is—the extent to which the intervention achieved, or expects to achieve, results (outputs, outcomes and impacts, including global environmental benefits) taking into account the key factors influencing the results. Based on this, the analysis above does not support MS rating	See reply to item 43	See response to item 43

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
46	Par 137, Pg 40	It should be noted FMO and TM were closely communicating on project delivery not only on the issues related to procurement	Please read all four paragraphs under the sub title Communication between financial and project management staff	Noted
47	Page 40 Communication between financial and project management staff is rated 'Satisfactory' (S)	There was very close collaboration between TM and PM both being based in Rome. This allowed regular face to face meetings. Actually, the communication was HS. The summary above does not clarify why rating is S.	This comment is reflected in the report text, and note that Satisfactory is a positive rating. However, the UNEP TM was not in Rome all the time, and for the last year the TM was changed to a staff member that had not worked with the project before.	Noted
48	Par 141, Pg 41	Tracking budget by output was not a responsibility of BI. UNEP did not require this. BI followed UNEP formats for fin reports where expenditures are reported by BDL not by outputs. In addition, management of GEF funds by the Treasury is a standard national procedure in SL for all GEF projects. UNEP TM facilitated the process through continues consultations with MoE. Delay of the funds transfers was a result of changes of administrative procedures for management of FGEF funds in SL.	The comment corresponds with the report text, so no change is required.	Noted
49	Table 16, Pg 42 Financial management	Compliance with financial requirements and procedures of UNEP and all funding partners – rating S How this was assessed? TM I was not interviewed on these issues. UNEP TM is fully familiar with all financial issues related to the project not only the FMO	Note "…and all funding partners". The issue considered was that the SL Government (funding partner) was sitting on the funds for months instead of making them available for the project, and that this problem was never resolved, which brought down the ratings for items 2 in the table. In consultation with the Evaluation Office it has still been agreed to put HS as the overall rating. Financial issues were included during two long interviews with the former UNEP TM.	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
50	Para 143, Pg 42	The evaluator should also highlight the reason for the delayed funds transfer. The national elections in 2015 led to major changes in the country, including the key leadership of the national implementing agency (the :Ministry of Mahaweli Development); a complete reorganization of national administrative system, which caused major delays in transferring funds from the national Treasury to the Project Management Unit (PMU); delays at the national level in setting up the necessary national management arrangements. Not respecting national procedures is against the GE and UN rules.	The reasons for delay of fund transfers are mentioned extensively throughout the report. Even though many issues might have played a part, triangulation of information from interviews confirmed that the main reason was that the Government required the funds to be sent through Treasury and the Treasury took very long time to provide the funds to the project.	Noted
51	Par 145, Pg 43	What is the proof of evidence of the statement: They have a theory that the objective of the project was not clear and the funding agency didn't have a good idea of what to do with it.	This is the Evaluation Team's conclusion after many interviews with local stakeholders. Please see a somewhat adjusted text.	Noted
52	Par 146, Pg 43	This para refers to experience from different projects. BACC project applied participatory methodologies which proved to be highly efficient	Please read the text again. It explains why the BACC project had problems in the beginning with establishing relation with the communities due to their experience with previous projects.	Noted
53	Page 45 Efficiency is rated 'Moderately Unsatisfactory' (MU)	As per GEF Evaluation guidances and definitions, Efficiency is the extent to which the intervention achieved value for resources, by converting inputs (funds, personnel, expertise, equipment, etc.) to results in the timeliest and least costly way possible, compared to alternatives. Based on what alternative course of action evaluator is rating project efficiency as MU? Analysis in the section above does not justify that extend to	As mentioned in the report, several issues that reduced project efficiency could have been detected during the design phase, e.g. with a more detailed institutional analysis, and also mitigated (part of project risk mitigation). The rating MU is for the project, not for BI. The commentator should also remember the low compliance with targets despite 27 months no-cost extensions.	UNEP Evalution Office requires evaluation consultants to consider the two main features of Timeliness and Cost-Effectiveness under Efficiency.

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		which the project achieved results for resources available is MU.		
54	Par 158, Pg 45	ADDIS is not used for all UNEP projects, it is not a mandatory reporting tool. The half year reports were prepared by the EA not TM	The reference to ADDIS was taken from the TOR for the TE. Change was made from TM to BI.	Noted
55	Par 159, Pg 45	Annual reviews and SC meetings were also used to monitor project implementation as well as field missions by EAs and TM. In addition it is not correct that the RF does not have relation between indicators and targets- please refer to project RF and the PIR reports	This paragraph deals with the M&E system, not the annual reviews. The Evaluation team confirms that the results framework has no direct relation beween the indicators and the final targets, which caused problems for reporting, and also for the TE assessment.	Noted
56	Par 160, Pg 45	Statement that **that there is lack of relation beween indicators and end targets in the Results Framework** is not correct. If this is the case project could not be approved by GEF and UNEP. All mid-term and end of project targets are defined in the RF for specific indicators	Please read through the Results Framework, which has serious weaknesses that UNEP and GEF should have picked up on before approval. Even with the improvement of wording done in the TE it is still not possible to use the framework for estimating % compliance with the targets.	Noted
57	Par 161, Pg 45	UNEP TM also performed monitoring missions as part of annual reviews and SC meetings as well as on as needed basis	The Evaluation Team agrees to add this in the text.	Noted
58	Par 161, Pg 46	The statement: the Results Framework has not been used for project tracking in PIR reports is not correct RF was used as project design and project monitoring tool- PIR reports and the half year reports are based on the RF- this is clearly evident in the PIR and technical reports formats	The text says: "The evidence-based system should provide the major inputs for project tracking, semi-annual reports and the annual Project Implementation Reports (PIRs). Based on the content of the mentioned reports it however seems like the Results Framework has not been used in this way, but more as a guide for the project structure". This of course has to do with the weaknesses in the RF commented extensively above.	Noted
59	Par 164, Pg 46	It is acceptable to establish the quantitative baseline during the first several months of actual project implementation. As per GEF requirements the short period of PPG does not allow establishment of the solid quantitative baselines	It is correct that this is acceptable, but for several of the baselines the framework stated that they would be established during a certain number of months during the first year, but **this was never done**.	While this may be acceptable, the evaluation report is making the point that the baseline data were not established either during project design, nor in the early months of implementation.

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
60	Para 147	Co-financing was not envisaged for TE but for monitoring of project delivery as part of implementation of project activities. Further MTR was supported by co-financing which is evident in the final co-fin report.	The M&E budget in ProDoc mentions co-financing of USD 86,550 cash and USD 108,645 in-kind for the TE. Appendix 7 to Prodoc also mentions USD 195,195 co-financing for the TE.	Noted
61	Pg 46 Monitoring design and budgeting was rated Moderately Unsatisfactory (MU)	The description in this section does not provide solid justification in support to the defined rating. M&E budget and plan was designed as per UNEP requirements	The rating is most of all based on the deficient monitoring design, including low relation between indicators, baselines and targets, and lack of many baselines, as explained extensively above.	Noted
62	Par 169, Pg 46	It should be mentioned that gender analyses were not a requirement at project design and implementation stages	That is correct, but this section covers monitoring implementation, not quality of project design. The reference to no gender analysis was to explain why tracking of gender participation was not done during the implementation.	Noted
63	Par 170, Pg 47	It should be mentioned that the risks table and identified risk mitigated measures were closely monitored on annual basis and reviewed at the annual review and SC meetings. Risks defined during the project implementation were jointly defined and reviewed with project partners at the annual review meetings	This is recognized as highly positive. The additional point raised by the TE is that project risk monitoring is not much related with the ProDoc's risk table. It makes little sense defining that table if it is not used for risk monitoring and mitigation.	Noted
64	Par 171, Pg 47	It is stated that There is no monitoring of project impact. The evaluator should indicate that this has not been a requirement in UNEP and there are no formats and procedures available	Please note the full text of the paragraph, where it says: "it is completely justified not to monitor impact during implementation if all impact is expected to be ex-post. However, in most cases there would also be short-term positive and/or negative impacts". Since environmental impact always has been a priority issue for UNEP, it is important to monitor this area.	The Evaluation Office approach assesses the likelihood of impact, which allows high performing projects, impacts that benefit from other factors outside the project or projects operating in a sector that is fast developing, to report on impacts which are seen to be emerging.
65	Monitoring implementation is rated Moderately Unsatisfactory (MU) (Pg 47)	There are not sufficient proofs of evidence for this rating. Not in alignment with definition for MU	Efficient monitoring implementation was not possible due to a deficient monitoring design. The progress reports included a lot of text regarding implementation of activities, but very little about compliance with project targets. See also reply to item 61	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
66	Par 174, Pg 47	The reason for decision made by the SL Government that BI serves as EA was made not because there was not a country ownership but because BI served as EA for most of UNEP portfolio of GEF agrobiodiversiy globally projects. This made possible to establish close linkages and synergies across regions and countries globally with the entire GEF AgBd portfolio. In SL there is no a practice of administrative procedure to fully execute GEF projects by government . Further UNEP worked very closely with the government on development and implementation of portfolio of projects targeting mainstreaming agrobiodiversity into production sector. SL Governmnet also has a strong Plant and Animal Genetic resources national programmes- alignment is clearly defined in the ProDoc	The TE findings are based on triangulation of different stakeholder interviews, including with government officials. The main point raised here is however not the reasons behind the decision to delegate implementation to BI, but the fact that the decision was taken. It is well known that implementation in charge of national institutions create better ownership and thereby improved sustainability compared with external (and especially international) agencies. Note that BI has no ongoing projects in SL.	Noted
67	Par 175, Pg 47	Project sites and level of intervention were not BI choice but SL government decision. Staff in the field was not BI staff but national gov. staff.	Remember that the execution was delegated from the Government to BI. The site selection started during the design period, logically in consultation with the government. Local staff had government contracts but BI was the executing agency in charge of all except fund transfers.	Noted
68	Par 176, Pg 47	It is actually UNEP in Consultation with BI who used the lessons learned from SL BACC project for its agrobiodiversity's projects in other countries including Cuba. The Evaluation team missed to elaborate on the contribution of BACC project to the entire UNEP GEF Agrobiodiversity portfolio.	The transfer of lessons from this project to other BI projects including Cuba is mentioned in par. 177 and 187, while par. 196 and 220 refer to two new international UNEP GEF and GCF projects in Sri Lanka that will partly use lessons from the BACC project. Other contribution of the project to the UNEP-GEF Agrobiodiversity portfolio was not mentioned by UNEP staff during interviews.	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
69	Par 179, Pg 48	It should be mentioned that an important reasons for recruitment of women were the low salaries that most qualified men would not accept. This statement is not based on facts. proper procedures were used during staff appointment and salaries were not a criteria. The consultant should justify his statement with solid proof of evidence	The TE report is not questioning staff appointment procedures. Note that the paragraph refers only to the three female site coordinators, who were recruited despite not having any relevant experience, and there were no male candidates. The text also mentions the factor that women are more stable in the community. The statement is based on triangulated interviews with local stakeholders, both men and women, including the site coordinators themselves. However, since also BI does not like the statement, the Evaluation Team has decided to take it out.	Noted
70	Par 187, Pg 50	It is not relevant to assess institutional sustainability of the project in relation to BI. Consultants should review the institutional sustainability of the national EAs.	This comment seems to contradict comment 66, where the commentator argues in favour of BI being appointed by the Government as EA. The following 9 paragraphs reviews institutional sustainability on local, regional and national level.	Noted
71	Par 193, Pg 50	The University course "Biodiversity and Ecosystem Management" developed in collaboration with University of Ruhuna This major output is somehow neglected in the sections related to output delivery and impact	It is definitively not neglected. See Outputs table, targets 3.1.4 A and 3.1.4 B, and Outcomes table target 3D. Collaboration with the universities is also mentioned in par. 101, 109, 177, 192, 193, 197 and 216.	Noted
72	Par 195, Pg 51	A challenge is however if the two ministries would be able to work well together after the project has ended. Their collaboration has mostly been through the project SC, while collaboration in the field has been limited. This is not correct. There are several UNEP GEF agrobiodiversity projects and national PGRFA (plant genetic resources for food and agriculture) programmes in the country were both institutions work together. The national SC was established to coordinated this partnership.	The additional text "...in the project areas..." was introduced to clarify the text, and because that is what is most important for the project sustainability. There is no doubt that these ministries have areas of collaboration in other parts of the country.	Noted
73	Par 196, Pg 51	Project was also implemented in close collaboration with the UNEP/FAO GEF Biodiversity for Food and Nutrition	This paragraph refers to sustainability, and that is why new projects building on the BACC project are mentioned, not previous collaboration, such as	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		project implemented in Brazil, Kenya, Sri Lanka and Turkey for with BI also served as EA.	UNEP/FAO GEF project 3808 that was implemented 2011-16. The project is however mentioned in par. 151 pg 44 with correct name (see GEF website).	
74	**Para 179**	UNEP TM was actively engaged in this process, This is not done by BI alone. National Universities are also considered Gov structures.	UNEP was added to the paragraph.	Noted
75	Par 204, Pg 52 Preparation readiness -MU	This rating is not based on criteria used by GEF for project design. The evaluator should provide stronger justification for his rating. Reconstructed Rating not in alignment with sections on project design above. More details are needed to justify the MS rating ToC redefines project objectives which is not acceptable. Evaluator did not even requested documents prepared during the PPG phase for review - how his assessment was done in order to rate the preparation and readiness as MS? Further, no issues raised with fin planning in the section above- why this is identified as a problem? Issues mentioned with risks identification and social safeguards are not aligned with the statement under para 194 bellow	The TE report follows the standard format of the UNEP Evaluation Office, where this chapter is very summarized, because it builds on the text in the rest of the report. These evaluation criteria are used and accepted by the GEF. The TE is building on a large volume of background information received through the UNEP Evaluation Office and many other sources, including some documents received from the former TM. Since this brief chapter builds on the previous text in the the report, it does not repeat all that information, but is still able to make an assessment, including prepearedness, risks and safeguards.	The Evaluation Office provides the basis on which to assess Preparation and Readiness, which the GEF accepts.
76	Par 52, Page 205	The Results Framework was used as the monitoring tool, however the specific indicators in the framework were not reflected in the PIR Not a correct statement- evaluation should be done based on the most recent version of the RF which is in the PIR- outcomes delivery was monitored against respective indicators	As mentioned above, this chapter is very summarized, because it builds on the text in the rest of the report, and it expects the reader to have read the previous text. Sufficient evidence is provided in the report text and the replies above.	See responses to items 1, 6, 11, etc.

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		The risks were monitored throughout the project implementation, but on national level the risk mitigation was most often ad-hoc. This statements should be supported by evidence - all risks were jointly defined with the national EAs and mitigations measures reviewed and monitored jointly during the annual performance reviews and SC meetings.		
78	Par 2014, Pg 54	Channeling GEF funds through Treasury this is a policy applied to all GEF projects in SR. Nothing new or specific to this project. Due to the Government changes the funds transfer process was delayed, however UNEP TM actively engaged with the Goverrnment and alternative solutions were made to facilitate smooth fund transfers for project implementation	The issue that this is a national policy coincides with the TE findings, and comments in the report that the projects should have been prepared for it.	
79	Par 2015, Pg 54	Delay of funds transfers is not a factor which justifies Country ownership and driven-ness is rated 'Moderately Unsatisfactory'. Delay in funds transfer is not indicative for ownership but just reflect slow administrative procedures in the country which are not specifically applied to this project but to all GEF projects in the country. Rating and justifications should be revised.	As mentioned above, this chapter is very summarized, because it builds on the text in the rest of the report, and it expects the reader to have read the previous text. Sufficient evidence is provided in the report text and the replies above.	
80	Par 2020, Pg 55	As it has been demonstrated through this report, the project design and monitoring had some weaknesses, which were part of the explanation for a difficult implementation process.	This summary chapter builds on the rest of the report. Sufficient evidence is provided in the report text and the replies above to justify the text of the paragraph. The commentator seems to see design and implementation as two separate issues, but the Evaluation Team has tried to demonstrate that many of	The Evaluation Office notes that the overall performance of the project is based on performance ratings assigned to all 9 evaluation criteria, not just the assessment of the quality of project design. A weighted approach is taken towards aggregation, with the greatest emphasis placed on the

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		This statement needs to be further justified in line of comments provided in the section above. Evaluator is mainly focusing on the design stage with very limited assessment of actual project delivery	the problems in implementation were due to weaknesses in project design, especially on the M&E.	achievement of outcomes and sustainability.
81	Table 17, Pg 55	Please refer to the detailed comments provided for each relevant item above and specific comments inserted in the table. (to be shared) The assessment on availability of outputs and achievement of outcomes will benefit from a more comprehensive analysis of the quality of the outputs not only from quantitative assessments. No proof of evidence that Logframe was of bad quality. Logframe has well defined quantitative indicators. Evaluators statement is not supported with strong arguments about the quality of the logframe. Evaluator should be more specific why the design was not completely ready. If this was the case, how GEFSEC approved this project? Also this is not consistent with the rating provided for the quality of the project design above. This statement is not based on detailed analysis of PPG documentation. Not sufficient justification provided for the MS rating. Responsiveness to human rights and gender equity – MU rating Rating should not be based on factors that are not in alignment with the	This comment seems to be a summary of all the comments provided above, which have all been replied, so no further answer is needed.	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		approved project. Project has clearly defined stakeholders and partners. gender dimensions were taken into consideration. No specific indigenous groups were targeted as part of the approved ProDoc. **Country ownership and driven-ness** slow national processes are not an indicator for country ownership. This is not a justification for MU rating. Several factors outside of the project control have negatively impacted project implementation and the completion of outputs and goals. These included the national elections in 2015, which h led to major changes in the country, including the key leadership of the national implementing agency (the :Ministry of Mahaweli Development); a complete reorganization of national administrative system, which caused major delays in transferring funds from the national Treasury to the Project Management Unit (PMU); delays at the national level in setting up the necessary national management arrangements; and delays in formally appointing National Project Coordinators (NPCs). In addition to these factors, changes in climatic patters have resulted in in severe flood that affected the country, including two of the project sites. However the project took adaptive management measures and successfully implemented the project.		

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
82	Par 224-238, Pg 56-58. Lessons learned	The section lists some of the main project results not necessary the lessons learned	The lessons are put with cursive. The rest is explanatory text. As lessons are regarded issues that are new in the country or the sector, not necessarily worldwide.	Noted
83	Par 225, Pg 56	This para should mention that the project effectively promoted the collaboration between Min Environment and Dept Agriculture towards the environmental sustainability of agricultural production. This is major achievement of the project but Evaluation team remains silent on this	This issue has been mentioned in the report, and it is therefore also no problem to include it as an example in the paragraph.	Noted
84	Par 228, Pg 57	The statement **the project encountered a lack of funds** Is not correct. There were no lack of funds but a delay in releasing project funds by the Treasury	The text was specified to say "lack of available funds"	Noted
85	Par 229, Pg 57	It should be highlighted project was committed to women involvement not only in project implementation activities but appointment of women in project management functions	Please note that this is the section for lessons learned, not a summary of project results. This lesson is: Women as permanently stationed field coordinators improve gender participation. No change was made, because it would weaken the importance of the lesson to make it more general.	Noted
Alliance Bioversity – CIAT				
86		In some cases, too much attention has been given to the project design and to a critical (re)view of the project reporting system. Project design underwent several reviews, including an external panel, and even though the design was rated satisfactory, any comment regarding the design cannot be a concern of the executing agency, rather should be addressed to UNEP proposal evaluation system and process.	The Evaluation Team has tried to demonstrate that many of the problems in implementation were due to weaknesses in project design, especially on the M&E. Many project coordinators have been stuck with the impossible problem to implement a project based on a weak design. The technical Executing Agency in this case (BI) should not be expected to be the main expert on project design and implementation. It should be the role of UNEP to guide, monitor, and supervise the whole process, to assure compliance with all targets within the implementation period. Most of the replies to the comments above are therefore addressed to UNEP, which is the GEF Implementing Agency.	The Evaluation does not comment on where the responsibility for design lies, it assesses the quality of the project design in order to gain insight into what the project achieved.
87		Basing the full evaluation on a theory of change developed ex post risks of being particularly unfair to the project.	The evaluation used the ToC as a tool, which facilitated the process. There is no "fair" or "unfair" in an evaluation, because all stakeholders would benefit from an evaluation based on reality. Note that even though BI did	Both UNEP and GEF are committed to achieving results. It is therefore appropriate to focus on the impact.

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		In some cases, the evaluation is based more on the impact as of 2021 (2 years after the project end) rather than on the results at the time of project closure.	a good technical job and many positive activities, in the framework of a project that cannot compensate for planned results that were not achieved. A TE should provide a summary of the results for accountability, but maybe more important a review of impact and sustainability, as well as lessons learned to be able to improve. A review in the field two years after the project ended has the huge advantage of being able to consider real impact, and we could positively confirm that the project had made real impact in the pilot areas, although not on all issues.	Basing an evaluation on the time of project completions tends to place the emphasis on the completion of activities and provision of outputs, while UNEP is responsible to all funding partners for reporting on the achievement of outcomes, sustainability of benefits and movement towards long lasting impacts.
88		PIRs are considered particularly inefficient, as tracking system is based on activity completion level rather than target achievement. ("The PIRs did not track the outputs according to the targets in the results framework, but instead, this was monitored according to progress in the activities towards achieving the outputs). PIRs were the approved mechanism for monitoring project implementation.	Thank you. This confirms one of the evaluation findings.	While templates for reporting exist and should be used, good project management can be demonstrated through supplementary systems to gather the information that is necessary to achieve the intended results. It is good practise for a monitoring system to be developed and implemented in addition to the templates that are required for reporting to the funding partner.
89		In some cases, the rating is particularly severe (outputs, efficiency) but the narrative preceding the rating is not consistent with the final evaluation.	The Evaluation team has presented the reasons for the ratings in the report and in many of the replies above. Note that the evaluation issues are ponderated to give the final overall evaluation rating.	Noted
90	Par 179, Pg 48	The comment regarding the alleged reason for hiring female site assistant is extremely inappropriate. This is not only false and unfair but also offensive and should be removed from the report.	It was not presented as the reason for hiring female site coordinators, but was one of the aspects that led to hiring of women in the communities. Even though it is backed by triangulated interviews, the evaluators do not want to offend anybody, and are willing to take it out of the text.	Noted
91	Par 49, Pg 12	Hiring junior research staff (specifically the research assistants) represents an important contribution to capacity building of local technical staff and in this specific case it also entailed empowering women, which provides added value to the project. Not only did working for the project provided a	Thank you for the comment, which does not contradict the project findings. Note that the paragraph deals with the local field coordinators.	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		unique opportunity for personal growth, most importantly, the experience and knowledge gained have been transferred to other institutes and organizations where the ex-project staff moved to, resulting into a scaling up of the project modus operandi and philosophy .		
92	Par. 50, Pg 13	There are no indigenous peoples in selected project sites (only few individuals/families in Gampola)	Thank you for the comment, which underlines the TE conclusion why this was not a priority area.	Noted
93		Rephrasing of outcome has often changed original meaning and purpose. Eg outcome 2: market **mechanism** are in place for farmer to access and increase new revenues through maintenance and use of ABD. Rephrase outcome puts the **rewards** received by famers at the center of the outcome.	The rephrasing had no intention of changing the original meaning, just to make it clearer. The Evaluation Team consider that the meaning of the sentences are the same.	The original outcome statement refers specifically to 'rewards'. The reconstruction has not altered the meaning, nor the ambition. Market and non-market mechanisms are in place that provide farmers with additional rewards ....
94	Page 35	We consider outputs 1.2 and.1.4 have been achieved, but evaluator has judged achievements are not sufficient assess level of completion	It is not clear if the commentator refers to table 11 or 13. However, for both tables it can be answered that the results are based on the project's reporting, and the outputs marked with yellow have not been fully achieved. For a TE that was carried out after the project closed, "in progress" is not considered as a completed result.	Noted
95	Par 130, Pg 39	It doesn't make sense to refer to an activity (measurement of carbon foot print) that was now envisaged in the project document and highlight it was not done. The evolution is supposed to be against set goals/outcomes/outputs	First of all, this is not a new project activity, and second of all, the project/BI has been positively reviewed (please read the full text). In a world of accelerating climate change, all developing agencies should try to reduce their carbon footprint, not as a project activity but as standard procedure.	Noted
96	Page 45	Efficiency is rated as MU. The reasons for such low rating mainly depend on the mechanisms upon which the project could not intervene (e.g. part time staff devoted to the project with no payement, low salaries, delay in fund transfer). The capacity of the project to achieve despite these limitations should	As explained in the report and the replies above, the evaluation is of the project, not of BI. Alll partners involved have their share of the end results (UNEP, BI, Government, other stakeholders), and the report tries to explain why the efficiency was low.	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		be considered a plus, rather than a proof on inefficiency.		
97	Par 179, Pg 48	Hiring site assistants had nothing to do with the lack of salary payments to project staff. Site assistants were hired to guarantee a presence in the site to follow up and coordinate project activities, respond to farmers queries and necessities.	See reply to item 90	
98	Par 151, Pg 44	If the common indicator of efficiency cannot be applied (because of the reporting system adopted by UNEP) an alternative should have been found. This is an issue that regards UNEP reporting system, and should not be raised within the project evaluation.	This issue is relevant to mention because it is not a problem with the indicator, but the lack of reliable data to make any calculation of efficiency. See also reply to item 96.	See response to item 96
99	Par 209, Pg 53	Capacity of national staff: The project invested lots of energies in capacity building of personnel specifically hired for the project of PGRC and other institutes personnel. The comment regarding the low salaries has nothing to do with the capacity strengthened/ developed by the project	The TE report recognizes the large training program that was implemented, which was probably one of the project's most important results. This paragraph is relevant for efficiency of the project. It builds on interviews with 4 research assistants that all told the same story: When they finally were able to do the job they went to another position due to the salary level.	Noted
100	Par 210, Pg 53	The rating on stakeholder cooperation and participation as MS is unjustified. After an initial reluctancy of farmers' communities (worsened by the lack of funds which stopped all activities), the project managed to motivate farmers who became particularly proactive, as the success of the CBOs (recognised by the evaluator) confirms. This shows the project team was able to find an effective and successful communication channels . The project was also successful in putting together a team of experts from different institutes and different	This section is a brief summary of different issues, building on what is mentioned in the rest of the TE report. The rating is therefore not only based on this paragraph, but on other relevant information regarding stakeholder cooperation and participation. Again, this is not an evaluation of the BI performance but of the project. The issues mentioned by the commentator are exactly factors that have been considered in the rating. The fact that BI was successful in finding solution does not eliminate the fact that these problems existed.	Noted

No	Page Ref	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
		disciplines (including both governmental personnel and consultatns)		
101	Par 211, Pg 53	Despite the fact that gender issues was not part of the project goal, the project team recognised the need of raising the awareness of importance of women in agriculture, and developed a training module which was delivered to project staff. This should be considered a plus, instead the rating is MU.	Again, it is an evaluation of the project, not of the performance of BI. The project achievements include are due to design, implementation, M&E, where all partners have their share. The TE highlights that gender was not at all prioritized during the design and not monitored during implementation. Despite comments about 30% women participation, there is no gender tracking to prove it.	Noted

ANNEX II. PEOPLE CONSULTED

NAME	TITLE (blue: no longer in the position indicated)	Gender
INTERNATIONAL AND NATIONAL STAKEHOLDERS		
UNEP		
Max Zieren	UNEP Regional Office Asia Pacific, Bangkok Current UNEP Task Manager (Jan 2019-to end of project)	M
Marieta Sakalian	Senior Programme Officer, UNEP Nairobi. Coordinator, Healthy and Productive Ecosystems Programme of Work (Former UNEP Task Manager)	F
Martin Okun	Financial Management Officer	M
BIOVERSITY INTERNATIONAL AND PROJECT MANAGEMENT UNIT		
A.S.U. Liyanage	National Project Coordinator, Colombo, Sri Lanka	M
W.G.M.G. Dayawansa	National Project Director	M
Paola De Santis	Project Manager, Biodiversity international, Rome, Italy	F
Devra Jarvis	International Project Director, Bioversity International	F
Toby Hodgkin	Consultant, Bioversity International. Residency UK	M
Eleonora Lago	Bioversity Financial Management Officer	F
Doreen Yerriah	Budget Officer (Project financial Focal Point), Bioversity International	F
Rupika Bankmeedeniya	Assistant Director, BDS, MoE	F
Darshana Gunarathne	Development officer, Land Resource Division, MoE	M
J.M.S.S.Kumari	Development Assistant	F
NATIONAL PROJECT STEERING COMMITTEE MEMBERS		
Mr. Anura Dissanayake	(Chairman) – Secretary, Ministry of Mahaweli Development and Environment	M
Mr. D.U. Bandulasena	(Co-chairman) – State Secretary, Ministry of Agriculture (Representing Mr. K.D.S. Ruwanchandra, Secretary, Ministry of Agriculture)	M
Ms P Abeykoon.	Director, Biodiversity Secretariat, Ministry of Mahaweli Development and Environment	F
Dr. H. Mantrithilake	Head, Sri Lanka Development Initiative, International Water Management Institute (IWMI)	M
Disna Rathnasekara	Professor, Faculty of Agriculture, University of Ruhuna	M
Jeevika Weerahewa	Professor of Agricultural Economics Faculty of Agriculture, University of Peradeniya	M
Keminda Herath	Senior Lecture, Department of agri-Business Management, Faculty of Agriculture and Plantation Management, University of Wayamba	M
Mrs. Sudeepa Sugathadasa	Scientist, Department of Ayurvedha, Representing Commissioner, Navinna, Maharagama	F
D.K.N.G. Pushpakumara	Dean Faculty of Agriculture, University of Peradeniya	M
Dr. Madura Munasinghe	Dean Faculty of veterinary Science, University of Peradeniya	M
Dr. W.L.G Samarasinghe	National Project Coordinator, Biodiversity for Food and Nutrition (BFN) GEF/FAO project (implemented by Bioversity)	M
Ms Navoda Bandaranayake	Scientific Assistant	F
Ms. Tharusha Nayanamali Wickramasinghe	Scientific Assistant	F
Ms Amila Rangani Attanayake	Scientific Assistant	F
NATIONAL PARTNERS		
Prof. P Dunusighe	Senior Lecturer, University of Colombo	M
Prod Manawadu	Lecturer, University of Colombo	M
A.G. Chandrapala	Assistant Director of Agriculture	M
C. Kondasinghe	Agriculture Plant Genetic Resources Centre, Gannoruwa	M
S.K. Wasala	Additional director of Agriculture, Plant Genetic Resources Centre, Gannoruwa	M

W.M.D. Wasala	Assistant Director of Agriculture, Plant Genetic Resources Centre, Gannoruwa	M
J.P Marasinghe	Principal Agricultural Scientist, Horticultural Research and Development Institute, Gannoruwa, Peradeniya	M
Sampat Gonatilake	Senior Programme Officer, International Union for Conservation of Nature, Colombo	M
K. M. D. W. Prabath Nishantha,	Scientist (Entomology/Nematology) Horticultural Crops Research and Development Institute Department of Agriculture, Gannoruwa, Peradeniya	M
W.M.K.R. Wickramasinghe	Assistant Director, National Agriculture Information and Communication Institute, Gannoruwa, Peradeniya	M
Ravindranath Bandara	Agricultural Instructor, Thambuththa, Galgamuwa, (Provincial Department of Agriculture, Wayamba Province)	M
P.D. Ruwan Sampath	Agricultural Instructor, Milaniya (Provincial Department of Agriculture, Western Province)	M
R.J.E.M.S.B. Edirisinghe	Agricultural Instructor, Dambaghapitiya (Provincial Department of Agriculture, Central Province)	M
Suranjan Kodithuwakku	Chair/CEO, Green Movement of Sri Lanka	M
Mrs Ramani Shirantha	Senior Scientist, National Aquatic Resources Research and Development Agency (NARA)	F
Mrs. Damayanthi Godamunna	Director, Community Development Centre (CDC)	F
Mr. Jayalal Chandrasiri	Team Leader, Helping Hand Research Institute (HHRI)	M
Dr. (Mrs.) Nishadi Somarathna	Gender specialist	F
Ms. Ayesha Pushpakumari	Site assistant, Millaniya	F
Ms. Anuruddhika Wasala	Site assistant, Gampola	F
Ms. Manel Samarakoon	Site assistant, Udukumbura	F
Mr. Sujith Rathnayake	Biodiversity Secretariat (BDS)	M
Mr. Dharshana Gunarathna	Biodiversity Secretariat (BDS)	M
Mr. L. Wakkumbura	Green Movement of Sri Lanka	M
Mr. S.S.Weligamag	Deputy Director (PPS)	M
Mr. R.D. Siripala	Director, National Agriculture Information And Communication Centre – (NAICC)	M
Mr. A. Kendaragama	Additional Director	M
Dr.(Ms) P. Malathi	Additional Director, Horticultural Crop Research and Development Institute (HORDI)	F
Mr.S.S.Weligamage	Principal Scientist, Horticulture, Research and Development Institute (HORDI)	M
Mr.Prabath Nissanka	Assistant Director, HORDI	M
Mr. Chanaka Lakshan Kondasinghe	Development Officer, PGRC	M
Ms. Ruwani Sashikala	Agriculture Inspector, Udadumbara, Kandy	F
Mr. D.H.A.R.Bandara,	Agriculture Inspector, Giribawa,	M
Ms. Chamila Liyanage	Agriculture Research Development Assistant (ARDA), Department of Agrarian Development (DAD), Milleniya	F
Mr.Pushpakumara	Assistant Commissioner, DAD, Kandy	M
Ms. Yasomanike	ARDA, Udadumbara	F
Ds.B.Harsha Senevirathne	Veterinary Surgent, Milleniya	F
Mr. Dharmasena	Livestock Development Assistant, Milleniya Veterinary Office	M
OTHER NATIONAL AND INTERNATIONAL STAKEHOLDERS		
Julian F. Gonsalves	Mid-Term Review Consultant	M
Mrs Pathma Abeykoon	GEF Operational Focal Point Sri Lanka 2015-2020	F
Mr Gamini Gamage 2007-15	GEF Operational Focal Point Sri Lanka 2007-2015	M
Sarath Ekenayake Sampath de A Goonatilake	IUCN Sri Lanka Country Office	M

SITE SPECIFIC PARTNERS, PARTICIPANTS AND BENEFICIARIES		
Milleniya		
Mr. Palitha Prasanna Athapattu	Chaiman, Bellanthudawa CBO Milleniya	M
Mr. D.L.Jayarathne	Treasurer, Batagoda CBO Milleniya	M
Ms.Sujeewa Malkantyhi	Secretary, Bellanthudawa,CBO, Milleniya	F
Ms. Dulani Ranga Jayarathne	Secretary, Diruangala CBO, Milleniya	F
Mr. Wasantha Liyanage	Cairman, Lenawara CBO, Milleniya	M
Mr. Y.G.Kariyawasam	Member, Benificiary, Lenawere CBO Milleniya	M
Mr. Gayan, Krishanthi Loku Withana	Chairman, Sidurangala CBO Milleniya	F
Kandy		
Mr. Y.M.Kiluka	Upathissa CBO Udukumbura, Udadumbara Kandy	M
Mr. S.M.M.G.Punchibanda	Member of Arunalu CBO, Padupola, Udadumbara, Kandy	M
Ms. Lilitha Udukumbura	Secretary, Arunalu CBO, Padupola, Udadumbara, Kandy	M
Ms. Nirosha Hemanthi	Member, Upathissa CBO, Udukumbura, Udadumbara, Kandy	F
Mr. Y.M. Thiribanda	Member, Upathissa CBO, Udukumbura, Udadumbara, Kandy	M
Padupola		
Mr. D.M. Kiribanda	Member of Arunalu CBO Padupola	M
Ms.D.M.V.G.Surangai	Arunalu CBO, Padupola	F
Giribawa		
Mr. T.B.Wijekoon	Chaiman, Ekamuthu CBO, Gampola, Giribawa	M
Mr. K.B.Punchibanda	Member, Ekamuthu CBO Gampola, Giribawa	M
Mr. W.M. Wijekoon	Member, Ekamuthu CBO, Gampola,Giribawa	M
Mr. Chaminda Wijekoon	Member, Ekamuthu CBO, Gampola,Giribawa	M
Mr. W.M. Bandaramanike	Member, Ekamuthu CBO, Gampola, Giribawa	M
Ms. Nilmini Kumari Raukwell	Secretary, Ekamuthu CBO,Gampola Giribawa	F
Ms. Chandrika Jayalath	Member, Ekamuthu CBO, Gampola Giribawa	F
Ms. D.M.Niluka	Chairman, Parakum CBO, Wannikudawewa, Giribawa	F
Ms. E.M.Nirshini	Secretary, Parakum, CBO,Wannikudawewa, Giribawa	F
Ms. Vinidha Disanayake	Member, Parakum CBO, Wannikudawewa, Giribawa	F
Ms. A.A.Indrani	Member, Parakum CBO, Wannikudawewa, Giribawa	F
Ms. Thusari Ekanayake	Member, Ekamuthu CBO, Gampola, Giribawa	F

ANNEX III. KEY DOCUMENTS CONSULTED

Project planning process documents

- Revised PIF
- PIF STAP Review
- UNEP response to GEFSEC on PIF/Work program inclusion
- GEFSEC Review Sheet
- PPG request and approval documents
- Small-scale funding agreement for PPG
- Revised PPG – New milestones
- GEF CEO endorsement with all annexes
- Revised project document with all annexes
- UNEP – GEF Checklist for full proposal
- Endorsement letters with partners pledged co-financing
- Results framework
- GEF Biodiversity tracking tool
- GEF – UNEP Project agreement
- Revised project baseline documents A – K
- UNEP – Biodiversity Project Cooperation Agreement (PCA)
- UNEP – Biodiversity Amendments # 1 (2017) and 2 (2019)

Project reporting

- Project Inception and Final Workshops Reports
- PIRs 2010 – 2019
- Half-yearly progress reports 2010 - 2019
- Financial expenditure reports 2010 – 2020
- Biodiversity audits 2010 – 2019
- Final financial report 2020
- Project Co-finance reports 2013 - 2019
- Project Steering Committee Meetings Minutes 2013 - 2019

Project outputs – Overall

- BACC Project Meeting record 22.10.2013
- Participatory diagnostics and diversity data workshop (several docs) Dec. 2013
- 5-year capacity building plan and progress
- Technical reports
- University courses supported by the project (several docs)
- Seminars, symposiums and workshop reports
- Training material
- Newsletters
- Articles and manuals

Previous evaluations

- Mid-term review with annexes
- PPT presentations under MTR
- MTR reconstructed TOC

Reference documents

- GEF biodiversity strategy
- UNEP Policies and strategies
- UNEP Evaluation tools (32 docs)
- GEF ID 3808 CEO endorsement with annexes (Brazil, Kenya, Sri Lanka, Turkey)
- www.thegef.org
- www.unep.org
- www.bioversityinternational.org
- https://www.bacc.lk
- www.reliefweb.int

ANNEX IV. CVS OF THE TEAM MEMBERS

Annex IV-1. CV Trond Norheim – Team Leader

Education: PhD Forest Ecology; Postgrad Meteorology and Rural Sociology. **Position:** Partner, Scanteam
Nationality: Norwegian. **E-mail**: trondn@dimes-global.com; trondn@scanteam.no

May 2017- present. CEO, DIMES-Global; Partner and Board member, SCANTEAM as (Norway)
UNEP: (i) Mid-term Review of "Transitioning to sustainable food systems for sustainable lifestyles and food security and nutrition" component 3; (ii) Mid-term Review of "Caribbean Biological Corridor"; (iii) Terminal Evaluation of the GEF project "Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change"; (iv) Terminal Evaluation of the GEF project "Mainstreaming Sustainable Management of Tea Production Landscapes in Asia"; (v) Terminal Evaluation of the GEF global project "Expanding Rainforest Alliance certification at landscape level through incorporating additional ecosystem services"; (vi) Consultant for project reviews for the UNEP-GEF-GCF Coordination Office.
World Bank-GEF Evaluation Office: Senior Consultant, SIDS strategic country cluster evaluations, Pacific, Indian Ocean, Africa, Caribbean, with review of 45 projects in 7 countries. In charge of writing draft study report to GEF Council.
Asian Development Bank: Forest and landscape restoration expert, Investing in Climate Change Adaptation through Agroecological Landscape Restoration and Climate Change Adaptation Assessment in Cambodia and Philippines.
EU through Cardno: Team Leader, Ex-post Evaluation, 'Support to the Global Climate Change Alliance (GCCA) through Capacity Building, Community Engagement and applied Research in the Pacific', Phases I and II.
Norad/MFA through Scanteam: (i) Team Leader, End review of "Support to the Asian Disaster Preparedness Centre for Disaster Risk Reduction Initiatives on National and Regional Level"; (ii) Mid-Term Review of "Strengthening the Environment Component of Oil for Development Program (OfD)" through agreement OfD – UNEP; (iii) Team Leader, Review of the Organization of Indigenous Peoples of the Colombian Amazon (OPIAC); (iv) Team Leader, Appraisal of Global Green Growth Institute (GGGI); (v) Team Leader, Mid-Term Review of Norwegian Forestry Group Program "Forest Landscape Restoration in Amhara", Ethiopia; (vi) Team leader, Consequences of the corona pandemic on value chains in agriculture, ocean-based industries, finance and energy in developing countries.
UNDP: (i) Terminal Evaluation, GEF project "Sustainable, renewable biomass-based charcoal for the iron and steel industry in Brazil"; (ii) Team leader MTR, GEF project "Mainstreaming Natural Resource Management and Biodiversity Conservation Objectives into Socio-Economic Development Planning and Management of Biosphere Reserves, Vietnam"; (iii) Team leader MTR, GEF project "Facilitation of the Achievement of Sustainable National Energy Targets in Tuvalu"; (iv) Terminal Evaluation, GEF project "Enhancing Capacity to Develop Global and Regional Environmental Projects in the Pacific"; (v) MTR, GEF project "Economy-wide Integration of Climate Change Adaptation & Disaster Risk Management to Climate Vulnerability of Communities in Samoa; (vi) Terminal Evaluation of the GEF project "Capacity for Implementing Rio Conventions in Samoa"; (vii) International Landscape Restoration & Carbon Benefits Expert, design of GEF project "Restoring degraded forest landscapes and promoting community based, sustainable and

integrated natural resource management in the Rora Habab Plateau", Eritrea; (viii) Biodiversity and Protected Areas Expert, design of GEF project "Conserving Biodiversity and Reducing Land Degradation Using a Ridge-to-Reef Approach", St Vincent & the Grenadines; (ix) Forestry & Agroforestry Expert for design of GEF project "A ridge-to-Reef Approach for Integrated Management of Marine, Coastal and Terrestrial Ecosystems", Seychelles.

Aug 2014-Apr 2017 Senior Advisor, Forestry & Climate Change, Danish Ministry of Foreign Affairs, Bolivia

Implementation of the Bolivia Forestry & CC Programme; Institutional development, Policy advice, Project design, M&E.

Jan 2012-Jul 2014 CEO COBODES ltd.

UNDP: (i) Midterm Review, GEF project "Integration of CC Risks and Resilience into Forestry Management in Samoa"; (ii) Project Design Specialist, UNDP/CABEI GEF project "Central American Markets for Biodiversity".

IDB/MIF: Midterm Evaluation of the Rainforest Alliance regional program "Forest Conservation through Certification, Marketing and Strengthening of Forestry SMEs", Mexico, Central America and Peru

EU: Technical Supervisor, "Lake Poopó Watershed Master Plan", Bolivia

NORAD: Team Leader, Final Evaluation of CATIE Regional Mesoamerican Agro-Environmental Programme

Norwegian Ministry of Foreign Affairs (through Scanteam): Mid-term Review of RFN regional programme "Rights-Based Sustainable Management of Large Contiguous Territories in the Amazon"

Norwegian Forestry Group: (i) Design of REDD+ project in the RAAS indigenous autonomous region, Nicaragua;

(ii) Team Leader, design of REDD+ research project in the Amazon (Bolivia, Brazil, Peru)

SIDA: Team Leader, Mid-term Evaluation of Baba Carapa Forest Industry Programme, Bolivia

TYPSA-AGRER-CIAT: Prepared proposal to EIB "Climate Action Support to the Caribbean Development Bank"

Nov 2010-Jan 2012 Senior Sector Specialist, Inter-American Development Bank, Suriname and Suriname

Member of IDB country strategy team; Focal Point for Climate Change; Team Leader for projects on Environment, Disaster Risk Management, CC, Forestry, Coastal Zone Management; and Agriculture. Team leader of GEF projects.

Annex IV-2. CV Kapila Gunarathne - In-country Consultant.

Education: MSc Ecosystem analysis and governance. **Position:** Consultant. **Nationality:** Sri Lanka.
E-mail: kapila@gpec.lk, kapila05@gmail.com

2021.07 to Present, Country consultant for evaluation of GEF/UNEP project" Mainstreaming Agrobiodiversity Conservation and Use to Sri Lanka Argo-Ecosystems for Livelihoods and Adaptation to Climate Change. Project is implemented by Biodiversity Secretariate of Ministry of Environment and Ministry of Agriculture of Sri Lanka.

Jan 2020 June 2020, Project Consultant, Dialog Axiata PLC, Conducted Initial environmental Examination for Maldives Sri Lanka Cable Project at Mt. Lavinia Sri Lanka by Dialog Axiata PlC. Incorporated with Huawei Marine Networks China.

Nov. 2020 Jan 2021 Project Implementation Manager/Permit manager (Sri Lanka) Huawei Marine Networks China & E-Marine Pvt UAE. Laying Submarine Cable system in the territorial sea of Sri Lanka.

Jan 2018 Dec 2019 Project Consultant Sri Lanka: Consultancy on Preparation of comprehensive Land use and Land cover maps for Pigeon Island Special Management Area in Trincomalee District. Overall Work: Preparation of comprehensive land use map for Pigeon Island Special Management Area in consultation with relevant agencies in the area. Specific Task:

April 2017 Dec 2017 National Coordinator for Mangrove for the Future project under IUCNSL funded by MFM Assist superior and minor staff members in implementing programs successfully in the field in managing coastal resources.

Nov 2016 Apr 2018 Individual Consultancy contract on the preparation of Coastal Region Risk Assessment of Sri Lanka for Climate Change Secretariat of Ministry of Mahaweli Development and Environment under Asian Development Bank financial and technical assistant. Overall work: Preparation of a Coastal Risk Assessment report on climate change on the Coastal Region of Sri Lanka giving more emphasis on Climate Change and Sea Level Rise related impacts, Permanent Coastal Inundation (PCI), Storm Surge (SS), Coastal Erosion (CE) and Saltwater Intrusion (SWI), Terrestrial floods and drought impacts in the coastal region.

Dec 2013 Dec 2017 Project Consultant on Preparation of comprehensive Study on Socio-economic status of Extended coastal zone of Sri Lanka According to the Coast Conservation Act No. 49 of 2011. Overall Scope of Work: Conducting of comprehensive Environmental, Socio-economic assessment of extended coastal zone of Sri Lanka and preparation of management guidelines and formulated standards based on the survey.

Jan 2015 Jun 2016 Team Leader in Preparation of INDCs for Sri Lanka by the Ministry of Environment and Mahaweli Development. Sri Lanka funded by UNDP: **Overall Scope of work:** Preparation of Sri Lanka's Intended Nationally Determined Contributions (INDCs) in consultation with relevant parties and submit to the UNFCCC through Climate Change Secretariat (CCS) of Ministry of Environment and Mahaweli Development. Specific Task: Identified key sectors to be included in the INDCs preparation. Identified key agencies and

their role in INDCs preparation. Preparation of institutional mechanism to prepare INDCs. Preparation of INDCs of Sri Lanka and submit to the CCS.

Jan 2013 Jan 2014 Team Leader Preparation of Coastal Risk Reduction strategy for Coast Conservation and Coastal Resources Management Department of the Ministry of Fisheries and Aquatic Resources development. Project was funded by the United National Environmental Programs Overall scope of work, As a team leader in the assignment. Finalize the document as per the ToR in consultation with all key stakeholders in the field and technical experts in the counry.

April 2013 Dec 2013 Project Consultant Coast Conservation and Coastal Resources Management Department**. reparation and implementation of Special Area Management Planning strategy and preparation of profile for 3 sites, Trincomalee, Batticaloa and Ampara under GEF- IFAD grant Participatory Coastal Zone Restoration and Sustainable Management Project undead Coast Conservation and Coastal Resources Management Department**. **Overall Scope of Work:** As a consultant preparation of framework to develop three Special Area Management Plans for selected three sites along with 3 environmental profiles in consultation with respective site managers and key stakeholders.

Sep 2007 Dec 2012 Dead of Coastal and Livelihood and Policy Division IUCN Sri Lanka. Design and implementation of coastal environmental management projects and programs. Take leading role in monitoring of project and program implemented by the IUCN SL in coastal region. Coordinating projects implemented by MFF and support in the preparation of project completion reports. Established and updated work schedules to account for changing staff levels and expected workloads.
May 2006 Aug 2007 Project Manager for Participatory Coastal Zone Management and Department Division of USAID, Tsunami Reconstruction Project funded by USAID implemented by CH2M Hill in collaboration

Jun 2001 Apr 2006 Project Manager Coast Conservation Department of Ministry of Fisheries and Aquatic Resource Development Sri Lanka.

ANNEX V. EVALUATION TORS (WITHOUT ANNEXES)

Terminal Evaluation of the UNEP/GEF project "Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change" - GEF ID Number 4150

Section 1: PROJECT BACKGROUND AND OVERVIEW

Project General Information

Table 1. Project summary

GEF Project ID:	4150		
Implementing Agency:	UNEP	**Executing Agency:**	Bioversity International, (formerly International Plant Genetic Resources Institute - IPGRI)
Relevant SDG(s):	SDG2 (2.4.1, 2.5.1, 2.5.2); SDG 4 (4.7.1); SDG8 (8.8.2)	**Expected Accomplishment(s):**	EA (a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at the national and international levels
Sub-programme:	Ecosystems management, Climate Change	**Programme of Work Output(s):**	2018/2019: Subprogram 3 – Healthy & Productive Ecosystems
UNEP approval date:	17 Jan 2013	**Project type:**	FSP
GEF approval date:	PIF (Jan 2010) / PPG (Feb 2010) / FSP (9 Aug 2012)	**Focal Area(s):**	Biodiversity
GEF Operational Programme #:	BD	**GEF Strategic Priority:**	BD2; SP4; SP5
Expected start date:		**Actual start date:**	January 2013
Planned completion date:	November 2017	**Actual operational completion date:**	30 September 2019
Planned project budget at approval:	USD 4,683,820	**Actual total expenditures reported as of June 2019[10]:**	USD 1,291,181
GEF grant allocation:	USD 1,450,455	**GEF grant expenditures reported as of June 2019:**	USD 1,291,181
Project Preparation Grant - GEF financing:	GEF Grant: USD 95,000 Actual Cost: USD 95,000	**Project Preparation Grant - co-financing:**	USD 100,000

[10] Based on expense reprot from June 2019, final Q3-2019

Expected Medium-Size/ Full-Size Project co-financing:	USD 3,233,365	**Secured Medium-Size / Full-Size Project co-financing:**	USD 3,233,200
First disbursement:	26 February 2013	**Planned date of financial closure:**	
No. of formal project revisions:		**Date of last approved project revision:**	
No. of Steering Committee meetings:	5	**Date of last/next Steering Committee meeting:**	**Last:** 26 Sept 2019 (not attended UNEP) **Next: not applicable**
Mid-term Review/ Evaluation (planned date):	Mid Sep/Oct 2017	**Mid-term Review/ Evaluation (actual date):**	October 2017
Terminal Evaluation (planned date):	I-II Quarter 2020	**Terminal Evaluation (actual date):**	
Coverage - Country(ies):	National – Sri Lanka	**Coverage - Region(s):**	Asia and the Pacific
Dates of previous project phases:	not applicable	**Status of future project phases:**	not applicable

A. Project rationale

1. The Democratic Socialist Republic of Sri Lanka is host to a unique assemblage of globally important biodiversity. As one of the 34 biodiversity hotspots of the world[11], Sri Lanka holds a wide diversity of ecosystems which possess their own unique and rich mixtures of species. In total, there are over 4,100 plant species of which 26% are endemic. The vertebrate fauna includes 91 species of mammals, 482 species of birds, 184 reptiles, 91 fresh water fishes, 102 species of amphibians while the invertebrate species include 51 different land and freshwater crabs, and over 11,000 species of insects.

Sri Lanka's unique biodiversity constitutes an essential resource for the livelihood strategies of small-scale farmers, rural communities and indigenous peoples. About 1.8 million families and 75% of the country's labour force depend on agriculture and on the diversity in these agro-ecosystems. This biodiversity is central to achieving the country's development and three major societal goals: food security; improved rural livelihoods and income; and, sustainable agricultural production. However, substantial threats to this biodiversity still exist. The continuing adoption of inappropriate and unsustainable production practices, and the adverse effects of climate change such as the rising temperatures, changes in rainfall patterns and an increasing frequency of extreme events are some examples. Production systems have also grown heavily dependant on a few genetic varieties, and thus fail to incorporate traditional crop and livestock varieties which are key to any adaptation strategy.

2. Several initiatives have been undertaken by the Government of Sri Lanka and the international cooperation to improve the conservation and sustainable use Sri Lanka's biodiversity over the last years. These efforts, however, have been implemented in a sectoral manner rather than with an integrated approach focused on ensuring that biodiversity conservation is mainstreamed effectively within Sri Lanka's production systems. Building on its existing commitment to the maintenance and use of agrobiodiversity, the Government of Sri Lanka proposed to develop and test local community- based approaches and the necessary national supportive framework that will allow conservation and use of agrobiodiversity to be mainstreamed effectively into its agricultural production and environmental management strategies.

To address this issue, the United Nations Environment Programme (UNEP) implemented the Global Environment Facility (GEF) project "Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change". The GEF defines biodiversity mainstreaming as "the process of embedding biodiversity considerations into policies, strategies, and practices of key public and private actors that impact or rely on biodiversity so that it is conserved and sustainably used both locally and globally."

B. Project objectives and components

3. The project's main objective, as per the project document, was 'to ensure that agrobiodiversity in Sri Lanka was optimally conserved and used to meet the challenges of climate change and improve rural livelihoods'. To achieve its objective, the Project planned to apply an innovative and novel approach to test an integrated approach combining management of crop, livestock and other agrobiodiversity components in complex and

[11] Myers, N., R. A. Mittermeier, C. G. Mittermeier, G. A. B. da Fonseca, and J. Kent. 2000. Biodiversity hotspots for conservation priorities. Nature 403:853-858.

diverse agricultural landscapes.The project's intervention strategy comprised 3 main components and 11 corresponding outputs, as follows:

4. Component 1: Adaptive management. Outcome 1: Area devoted to sustainably managed agrobiodiversity increased through use of practices, procedures, institutions, and the improved maintenance and access to new and traditional crops and livestock diversity by local communities. (GEF USD 514,600; Co-financing USD 376,585). This component was expected to support three agro-ecosystems with economic and socio-cultural importance for the country, by working with the involved communities to strengthen their community-based management approaches for in-situ conservation of biodioversity. The three selected ecosystems were: i) the Kandyan Home Garden System located in the Kandy District, ii) the Village Tank System, covering the 6 villages in Kurunegala District, and the iii) Owita System in Colombo District. Some of the practices proposed by project under this component were: community biodiversity registers, diversity fairs, community seed banks, farmer field schools, participatory plant breeding, sustainable harvesting and adaptive management practices, and community based adaptation approaches. Moreover, this component envisaged the identification of other plant and animal (livestock) diversities that could be adopted by farmers to increase vale addition and improve their livelihoods. Finally, activities were planned to develop a robust community-based system of agrobiodiversity and resilience monitoring.

5. Component 2: Improved production benefits. Outcome 2. Market and non-market mechanisms are in place that provide farmers with additional rewards (improved income from gains from production, well-being, better costcontrol e.g. reduced external inputs) from maintenance and use of agrobiodiversity and increased returns for specific products and services (any market pull that could offer any benefits for farmers). (GEF USD 250,100; Co-financing USD 614,776). This component foresaw the improvement of the livelihood benefits for farmers and communities by developing and identifying market opportunities at national and international level. Efforts would focus on strengening the capacity of community based organizations (CBOs) to identify and sustain local markets and seed exchange systems, and on developing value chains and high value agrobiodiversity products. Moreover, activities under this component also planned to examine and explore the non-market benefits resulting from the sustainable use of agrobiodiversity in the selected agro-ecosystems.

6. Component 3: Institutional Framework, Capacity and Partnerships.Outcome 3: National Strategies, policies and capacity and extension activities on planning for sutainable production of agrobiodiversity products and services, using a strengthened ecosystem management approach. (GEF USD 295,300; Co-financing USD 998,253). This component was designed to strengthen the institutional framework and create an enabling environment for a more inclusive and integrated approach to agrobiodiversity conservation and utilization at the landscape scale in Sri Lanka. Activities planned included the support the revision and improvement of the National Agricultural Biodiversity Strategy, to integrate an ecosystem approach and highlight the important role of agrobiodiversity in climate change adaptation. Similarly, the Project planned to provide platforms and spaces for integrated planning between the relevant line Ministries, with a view of promoting the integration of biodiversity conservation in other relevant policies, such as the National Climate Change Policy and the Sri Lankan National Agricultural Policy. Similarly, the Project envisaged support to the Sri Lankan government in mobilizing resources for agrobiodiversty projects and research. In terms of capacity development, other activities under this component were expected to support the capacity development of farmers by conducting needs assessments and developning/ implementin training plans.

Table 2. Project components, outcomes and outputs

Component	Outcomes	Outputs
Component 1. Adaptive Management	Outcome 1: Area devoted to sustainably managed agrobiodiversity increased through use of practices, procedures, institutions, and the improved maintenance and access to new and traditional crops and livestock diversity by local communities.	1.1: Traditional crop varieties, livestock breeds, agroforestry and medicinal plant species maintained and available to farmers in 3 selected landscapes (sites). 1.2: Diverse and adaptable plant and livestock material are available from genebanks and other sources and tested by participating communities in the 3 selected sites. 1.3: Sustainable and adaptive management practices, supporting traditional crop varieties and livestock breeds, crop wild relatives, medicinal and agroforestry species, soil microorganisms, pollinators and other insects are adopted in the 3 selected pilot landscapes.

		1.4: Knowledge management and sharing practices and guidelines that support maintenance and sustainable use of traditional crop, medicinal, agroforestry species and traditional livestock systems agreed and adopted by participating communities in pilot sites in 3 selected landscapes. 1.5: Local and national indicators and monitoring procedures for crops and their wild relatives, medicinal and agroforestry species, livestock, soil microorganisms and pollinators are available and in use at local and national levels and contribute to a national agrobiodiversity information system.
Component 2. Improved production benefits	Outcome 2: Market and non-market mechanisms are in place that provide farmers with additional rewards (improved income from gains from production, well-being, better costcontrol e.g. reduced external inputs) from maintenance and use of agrobiodiversity and increased returns for specific products and services (any market pull that could offer any benefits for farmers).	2.1: Local markets provide improved benefits to farmers and communities at the three sites for sustainably produced agrobiodiversity products. 2.2: International and national marketing opportunities identified for key high value agrobiodiversity products produced using sustainable practices. 2.3: Improved production and non-market benefits from sustainable use of agrobiodiversity obtained by communities at three sites, and potential strategies for capturing and enhancing such benefits at the national level identified.
Component 3. Institutional Frameworks, Capacity and Partnerships	Outcome 3: National strategies, policies and capacity and extension activities on planning for sustainable production of agrobiodiversity products and services, using an ecosystem management approach strengthened	3.1: A revised Sri Lanka national agrobiodiversity strategy provides a framework for mainstreaming agrobiodiversity conservation and use and ecosystem services into relevant Ministry decisions on agricultural production, food security and climate change adaptation. 3.2: Guidelines and recommendations prepared that promote mainstreaming of agrobiodiversity into national sector plans and programmes in ways that support food security, sustainability and adaptation to climate change. 3.3: Farmers in the 3 pilot landscapes are supported by trained national and regional extension and other community-based outreach staff on agrobiodiversity maintenance and use and the introduction of new materials. 3.4: New interdisciplinary research and development projects on integrated agrobiodiversity management are undertaken by Sri Lankan university departments and Department of Agriculture.

Source: Revised project document

7. The main global benefits to be accrued by the project included: i) The in situ conservation and sustainable use of assemblages of unique varieties, breeds and populations of crop, livestock and other useful species (including medicinal species, crop wild relatives and pollinators) in three contrasting agro-ecosystems of global significance, ii) the development and adoption of sustainable management practices by participating communities that would support the evolution of important traditional varities, iii) the sustainable use of agrobiodiversity in the target sites by linking conservation to improved livelihoods, income and food security, and iv) the conservation of traditional knoweldeg , among others.

8. The Project was developed within the framework of UNEP's Medium-term Strategy for 2010–2013 and was expected to contribute to UNEP's Programme of Work and three of its sub-programmes, namely the Sub-Programme on Resource Efficiency, the Sub-Programme on Ecosystem Management, and the Sub-Programme on Environmental governance. Under the current 2018-2019 PoW, the Project was expected to contribute to the Healthy & Productive Ecosystems Sub-Programme.

C. Executing Arrangements

9. The project's institutional framework and executing arrangements comprised:

- UNEP, as the **implementing agency** of the GEF, would be responsible for overall coordination of the activities of national, and any international partners; technical and scientific expertise and enhancement of regional and international cooperation. In addition, UNEP was expected to provide overall project supervision and guidance to ensure consistency with GEF and UNEP policies, strategies and procedures and support the monitoring and coordination of the activities undertaken during the execution of the project. In order to ensure UNEP's ultimate accountability, UNEP was expected to have the final decision-making, in accordance with its applicable regulations, rules, policies and procedures.

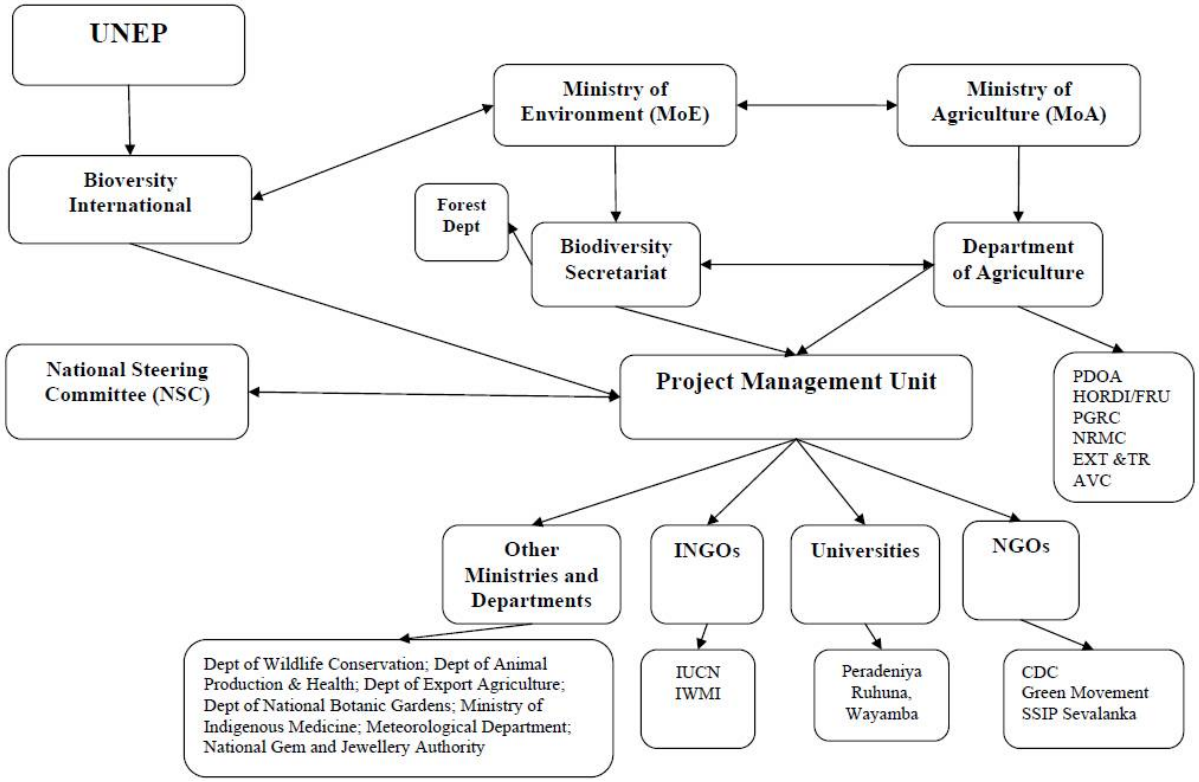
- Bioversity International, as the **Project Executing Agency,** through the designation of an international staff member as the **Project Director,** would be responsible for the overall coordination and execution of the project and for the provision of scientific support and technical expertise as required by the Ministry of Environment, the Ministry of Agriculture and project partners in accordance with the objectives and key activities of the Project. Bioversity was expected to undertake this task by making full use of relevant expertise at their Headquarters in Rome and the Regional and Sub-regional offices for the Asia region.

- The **Ministry of Environment** and **Ministry of Agriculture,** as the National Executing Agencies, responsible for co-executing the project through the Department of Agriculture. The Department of Agriculture would establish and host a **Project Management Unit (PMU)**, under the direct supervision of the Director General of Agriculture, responsible of implementing project activities in Sri Lanka. The PMU, which was based at the Plan Genetic Resource Centre (PGRC), would consist of the **National Project Coordinator (NPC)**, Project Assistant and thematic consultants (on a needs basis). The full time Project Coordinator in charge of the PMU was expected to facilitate the execution of project activities by the involved project partners. The PMU would serve as the critical link between the project pilot sites, the different groups engaged on project activities and the lead Project Executing Agency, Bioversity International, to ensure that lessons learned are shared among sites and within national committees and to provide visibility of the project at the national and international level. The PMU and Bioversity International would be responsible for ensuring adequate communication of information to all national and international partners.

  The execution of the project at site level was to be supported by local extension staff to act as site coordinators. The **site coordinators** were responsible of ensuring a good communication between sites and the national PMU, and that within each site, the required links and collaborative arrangements were developed to support e.g. collaboration between farmers, between communities and between communities and local markets.

- The **Project Steering Committee** (PSC), expected to act as the project's advisory committee, and consist of representatives of the partner institutions (including UNEP and Bioversity), and to be co-chaired by the Secretary of the Ministry of Environment and the Secretary of the Ministry of Agriculture. Additional local and landscape-scale committees were to be established as appropriate. The PSC was expected, and take policy decisions about the implementation of the project, and through consensus-buidling, facilitate management decisions for the project. The PSC was to meet physically once a year to evaluate the overall progress of the project relative to the outputs and milestones expected, to provide strategic direction for the implementation of the project and to guarantee the necessary inter-institutional coordination. The institutional framework for the project implementation, covering all components of the project as described above, is illustrated in the following figure (as depicted in Annex 10 of the original ProDoc).

Figure 1. Project management structure



Source: Prodoc Rev Annex G. Sri Lanka National Management Structures and Arrangements

D. Project Cost and Financing

10. The overall budget for the project was USD 4,683,820, of which USD 1,450,455 were from the GEF grant and USD 3,233,365 was the estimated co-financing from 22 sources. Table 3 presents the overall project budget, whereas Table 4 presents only the co-financing figures.

Table 3. Overall project budget by outcome

Project Components/ Outcomes (In USD)	Estimated cost at design[12]	
	GEF funds	Co-financing estimate
Component 1. Adaptive Management	514,600	376,585
Component 2. Improved production benefits	250,100	614,776
Component 3. Institutional Framework, Capacity and Partnerships	295,300	998,253
Total Components/ Outcomes	**1,060,000**	**1,989,614**
M&E	245,455	787,497
Project Management	145,000	456,254
Total	**1,450,455**	**3,233,365**

Source: Request for CEO Endorsement / Approval

Table 3: Source of confirmed co-financing

Co-financing (Type/Source)	UNEP own Financing (US$1,000)		Government of Sri Lanka (US$1,000)		Other* (US$1,000)		Total (US$1,000)		Total Disbursed (US$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
– Grants / Cash			772,5		742,2		1,514.7		

[12] As per Apprendix 1 of the Revised Project Document

– In-kind support			840,8		877.8		1,718.6		
Totals			1,613,3		1,460,9		3,233.3		

Source: Planned co-financing extracted from Revised Project Document, pg. 75

* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector, universities and beneficiaries.

E. Implementation Issues

11. The first Progress Implementation Review (PIR) prepared for July 2013-June 2014 period mentions a delay in the implementation of project activities due to extremely complex administrative arrangements that were required in Sri Lanka by the lead agencies. In consequence, the project's workplan was revised during the first National Streering Committee meeting to ensure the timeline was adjusted accordingly. Internal communication issues were also highlighted in the PIR 2013-2014, as well as a lack of initiative and leadership from the PMU to coordinate project activities (PIR 2014-2015; PIR 2016-2017) . Internal communication issues were reportedly partly addressed by appointing a NPC to overcome management and coordination problems (PIR 2015-2016), and by increasing the frequency of interaction with national partners (PIR 2014-2015). Similarly, the follow up actions to decisions agreed during the SC meetings were reportedly not prompt and effective (PIR 2014-2015).

12. The completion of some activities (i.e. activities 1.1.1, 1.3.1, 2.2.3, 3.1.1, 3.4.1, 5.7 and 5.8) was delayed due to difficulties in the identification of suitable implementing partners and complex administrative arrangements for their recruitment, as reported in the 2014-2015 PIR. Implementation of other activities (i.e. activity 3.3.5, 1.1.2, 1.1.6) were also disrupted due to issues in transferring funds from Treasury to the PMU to the implementing partners, resulting in no availability of funds. The low liquidity or cash flow was then aggravated by the limited mobilization of the expected co-financing figures, compared to what was planned (PIR 2016-2017). This, reportdely, required greater proactivness from the PMU in liaising with national partners to increase their contributions.

13. Organisational changes in the responsible national partner (Agribusiness) and a lack of personnel assigned for project implementation, also affected implementation of specific activities, as reported in the 2015-2016 PIR. A few activities (activities 1.1.6, 1.2.3, and 4.5) were also postponed due to adverse weather conditions, such as unexpected drought and floods in the pilot sites. Given these multiple delays (start-up delays, extreme weather events, organizational and administrative changes, and funds disbursement delays), the PMU requested two no-cost extensions: the first one in September 2017 (extending the project to May 2019), and a second one in March 2018 (extending the project to September 2019). In April 2019, all project activities were haltered due to the terrorist attack in Colombo (PIR 2018-2019).

14. As for the project's logical framework, as noted in the 2018-2019 PIR, two activities were deleted during the 4th International Steering Committee Meeting (activity 1.5.5 on the development and population of the online national agrobiodiversity information system and 3.3.7 on the identification of opportunities for targeted North-South-South exchanges among national and international experts) and one activity was modified (activity 3.1.4 – Strenghen National Agrobiodiversity Strategy for approval and enforesement). According to the project team, these activities were too ambitious for the project to achieve, and required the collaboration and involvement of other institutions and ministries that were beyond the project's possibility.

15. The project's Mid-Term review (MTR), conducted between October 2017 and January 2018, rated most criteria as satisfactory or moderately satisfactory, indicating that the project had made good progress in the implementation of activities. However, the MTR highlighted some areas for improvement, such as: the need to strengthen the engagement of the national and provincial extension system, which had been weak until then; and the limited progress made in linking traditional and new crops, livestock and agroforestry products in local markets.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

F. Objective of the Evaluation

16. In line with the UNEP Evaluation Policy[13] and the UNEP Programme Manual[14], the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, the Government of Sri Lanka and Bioversity International. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation under UNEP's Sub-Programme on Healthy and Productive Ecosystems.

G. Key Evaluation Principles

17. Evaluation findings and judgements will be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

18. **The "Why?" Question.** As this is a terminal evaluation, particular attention will be given to learning from the experience. The "Why?" question will therefore be at the front all throughout the exercise and the use of a theory of change approach will be adopted. This means that the evaluation will go beyond the assessment of "what" the project performance was and make a serious effort to provide a deeper understanding of "why" the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

19. **Attribution, Contribution and Credible Association:** In order to attribute any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the contribution made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A credible association between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

20. **Communicating evaluation results.** A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant(s) should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant(s) will plan with the Evaluation Manager which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

H. Key Strategic Questions

21. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and project partners which the project is believed to be able to make a substantive contribution. Further ekey strategic questions will be identified during the inception phase:

How conducive was the project's implementation structure to support the effective delivery of results?

To what extent did the project implement the recommendations from the Mid-Term Review? How did these recommendations support the project's effectiveness?

I. Evaluation Criteria

22. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. A weightings table will be provided in excel format to support the determination of an overall project rating. The set

[13] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[14] This manual is available online within UNEP's We Collaborate intranet.

of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultant(s) can propose other evaluation criteria as deemed appropriate.

Strategic Relevance

23. The evaluation will assess 'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'. The evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. Alignment to the UNEP Medium Term Strategy[15] (MTS), Programme of Work (POW) and Priorities

24. The evaluation will assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

25. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building[16] (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

ii. Alignment to Donor/GEF Strategic Priorities

26. Donor, including GEF, strategic priorities will vary across interventions. GEF priorities are specified in published programming priorities and focal area strategies. The evaluation will assess the extent to which the project was aligned with the GEF-4 Focal Area Strategy on Biodiversity and its strategic programme 4 "Strengthening the policy and regulatory framework for mainstreaming biodiversity" and 5 " Fostering markets for biodiversity goods and services"[17].

iii. Relevance to Regional, Sub-regional and National Environmental Priorities

27. The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

iv. Complementarity with Existing Interventions

28. An assessment will be made of how well the project, either at design stage or during the project inception or mobilization[18], took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

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[15] UNEP's Medium-Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents

[16] http://www.unep.fr/ozonaction/about/bsp.htm

[17] See GEF-4 Strategy: https://www.thegef.org/sites/default/files/documents/GEF4-Focal-Area_strategy.pdf

[18] A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

Quality of Project Design

29. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unenvironemnt.org/about-un-environment/our-evaluation-approach/templates-and-tools). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

Nature of External Context

30. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval[19]). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the evaluation consultant and Evaluation Manager together. A justification for such an increase must be given.

Effectiveness

i. Availability of Outputs[20]

31. The evaluation will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision[21]

iii. Achievement of Project Outcomes[22]

32. The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed[23] Theory of Change. These are outcomes that are intended to be achieved by the end of the

[19] Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team.

[20] Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

[21] Project management and supervision for GEF funded projects refers to the project management performance of the executing agency and the technical backstopping provided by UNEP.

[22] Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

[23] All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed

project timeframe and within the project's resource envelope. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary. The evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

iv. Likelihood of Impact

33. Based on the articulation of long-lasting effects in the reconstructed TOC (i.e. from project outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, https://www.unenvironment.org/about-un-environment/evaluation and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

34. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.[24]

35. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication[25] as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

36. Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partners.

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

Financial Management

37. Financial management will be assessed under three themes: adherence to UNEP's financial policies and procedures, completeness of financial information and communication between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured

between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

[24] Further information on Environmental, Social and Economic Safeguards (ESES) can be found at http://www.unep.org/about/eses

[25] Scaling up refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. Replication refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

from all donors. This expenditure will be reported, where possible, at output/component level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

Efficiency

38. The evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

39. Special attention will be given to efforts made by the project team during project to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities[26] with other initiatives, programmes and projects etc. to increase project efficiency.

40. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

Monitoring and Reporting

41. The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

i. Monitoring Design and Budgeting

42. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART[27] results towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. In particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

ii. Monitoring of Project Implementation

43. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This assessment will consider whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented, and whether it included monitoring the representation and participation of

[26] Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.
[27] SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

disaggregated groups in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

iii. Project Reporting

44. UNEP has a centralized system for GEF projects, known as the Advanced DGEF Database Information System (ADDIS) in which project managers uploaded six-monthly progress reports, Project Implementation Reviews (PIRs) and the Tracking Tool to report against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. The evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g disaggregated indicators and data)
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Sustainability

45. Sustainability[28] is understood as the probability of project outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

i. Socio-political Sustainability

46. The evaluation will assess the extent to which social or political factors support the continuation and further development of project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

47. Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

48. The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

[28] As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

Factors Affecting Project Performance and Cross-Cutting Issues[29]

i. Preparation and Readiness

49. This criterion focuses on the inception or mobilisation stage of the project (ie. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is included in the template for the assessment of Project Design Quality).

ii. Quality of Project Management and Supervision

50. For GEF funded projects, 'project management and supervision' refers to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

iii. Stakeholder Participation and Cooperation

51. Stakeholders encompass all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP and the Executing Agency. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

iv. Responsiveness to Human Rights and Gender Equity

52. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment[30].

53. In particular the evaluation will consider to what extent project implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

v. Environmental and Social Safeguards

54. UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements[31] were met to: review risk ratings on a regular basis; monitor project implementation for possible safeguard issues; respond (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and report on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and

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[29] These factors are rated in the ratings table and discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria. Where the issues have not been addressed under other evaluation criteria, the consultant(s) will provide summary sections under the following headings.

[30] https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

[31] For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

initial risk ratings to be assigned are evaluated above under Quality of Project Design). The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

vi. Country Ownership and Driven-ness

55. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gender and marginalised groups.

vii. Communication and Public Awareness

56. The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

57. The Terminal Evaluation will use a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. Close communication and information exchange with the project team will be maintained throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant will provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

58. The evaluation consultant will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager, Natalia Acosta, in consultation with the UNEP Task Manager -Max Zieren (based in the UNEP's Regional Office for Asia and the Pacific in Bangkok, Thailand), the Project Manager from Bioversity International - Ms Paola De Santis based in Rome, and UNEP's Fund Management Officer, Mr. Martin Okun (based in Nairobi). The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, each consultant's individual responsibility to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

59. The findings of the evaluation will be based on the following:

(a) A **desk review** of:

Relevant background documentation, inter alia, National Environmental Strategies and Plan, specifically those related to biodiversity conservation, UNEP Medium-Term Strategies and Programmes of Work.

Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;

Project reports such as the annual Project implementation Reviews and Tracking Tool, progress reports from collaborating partners, Steering Committee meeting minutes, relevant correspondence, etc.;

Project outputs: documentation on testing and implementation of best practices in pilot sites; guidelines and training material on use of agrobiodiversity and management practices; documentation/ leaflets on Community Biodiversity Organizations, Community Seed banks, Biodiversity Registries established with support of the project, Free Prior Informed Consent (FPIC) agreements signed with communities; guidelines produced by the project for the introduction and use of appropriate knowledge management; survey reports of farmers; documentation on the set of indicators if socio-ecological resilience, sustanaibility and diversity identified by the project; Documentation on economic studies on value of Agrobiodiversity in Sri Lanka; Online University course "Biodiversity and Ecosystem Management"; Local monitoring procedures prepared by the project; training or workshop reports, recommendations of the National Agrobiodiversity Strategy; among others;

Mid-Term Review of the project;

Evaluations/reviews of similar projects, if any.

(b) **Interviews** (individual or in group) with:
UNEP Task Manager (TM);

Project management team, including the National Project Coordinator, the Project Manager within the Executing Agency (Bioversity International), members of the Project Management Unit, including representatives from the Government of Sri Lank and National Steering Committee members;

UNEP Fund Management Officer (FMO);

UNEP Portfolio Manager and Sub-Programme Coordinator, where appropriate;

Project partners, including University of Peradeniya (Faculty Veterinary Medicine and Animal Sciences, Fac. Agriculture, Dept. Agricultural Economics & Business Management), University of Wayamba (Faculty of Agriculture and Plantation Management) the Bandranayka Memorial Ayurvedic Research Institute, Univ. Ruhuna (Fac. Agriculture Economics and Business), The Natural Resources Management Centre (NRMC), Horticultural Crop Research and Development Institute, Provincials Director of Agriculture, Local Extension Services, Biodiversity Secretariat, GEF Sri Lanka focal point, among others,

Project beneficiaries, including community based organizations in selected project sites, farmer and site extension officers, among others;

Relevant resource persons, including the consultant that conducted the MTR.

Surveys, to be defined during the inception phase of the evaluation.
Field visits to a selection of project sties in Sri Lanka, to be determined during the inception phase of the evaluation. This will be contingent on the COVID-19 situation and travel restrictions to Sri Lanka.
Other data collection tools, to be identified during the inception phase of the evaluation**.**

Evaluation Deliverables and Review Procedures

60. The evaluation consultant will prepare:

- **Inception Report:** containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically in the form of a powerpoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- **Draft and Final Evaluation Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
- An **Evaluation Brief** (a 2-page overview of the evaluand and evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.

61. **Review of the draft evaluation report**. The evaluation consultant will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation consultant(s) for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

62. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

63. The Evaluation Manager will prepare a **quality assessment** of the first draft of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the final report will be assessed and rated against the criteria specified in these TORs. This assessment will be appended to the Final Evaluation Report.

64. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis.

Schedule of the evaluation

65. The table below presents the tentative schedule for the evaluation. The schedule takes into account the uncertainties caused by the COVID-19 Pandemic, which makes in necessary to continually review the situation and probably adjust dates later in the process. The conduct of the evaluation mission will depend on the status of COVID-19 and the existing travel restrictions established by countries.

Table 3. Tentative schedule for the evaluation

Milestone	Tentative Dates (2020)
Inception Phase	
Evaluation Initiation Meeting	April
Inception Interviews	April-May
Inception Report	End of May/ June
Data collection and Analysis Phase	
Intermediate phase. Remote data collection and analysis (phone interviews and surveys)	July-August
Main data collection. Evaluation Mission (contingent on COVID-19)	To be determined
Powerpoint/presentation on preliminary findings and recommendations	To be determined (post mission)
Reporting phase	
Draft report to Evaluation Manager (and Peer Reviewer)	To be determined
Draft Report shared with UNEP Project Manager and team	To be determined
Draft Report shared with wider group of stakeholders	To be determined
Final Report	To be determined
Final Report shared with all respondents	To be determined

ANNEX VI. TRAINING EVENTS CARRIED OUT BY THE PROJECT

Training programme and major content	Target group	Resource persons	Days	Year
Awareness and 1st year Project planning Workshop, budget, identify responsible agencies and management structure	Project Partners, University staff, DOA Staff	Foreign and Local Experts	1	2013
Inception and Training Workshop Community Mobilization Programme On Site	DOA, ME, Dep.of Arc. FD officials, Farmers	Foreign and Local Experts	2	2013
The training program is focused for implementation of the sub activities of 1.1.1, 1.1.2, 1.1.3 (Survey, CBR, Biodiversity Fair)	Stakeholders, grass root level, government officers, farmers from 3 pilot project sites.	Agrobiodiversity experts from BI	2	2013
Focal Landscapes Learning Dialogue for Agric. Landscapes	Partners and Farmers	Foreign Experts	4	2014
Awareness programme on agrobiodiversity, Training and 1st year work plan for farmers in 3 pilot sites.	Project Partners, Ministry of Environment, PMU, Farmers of pilot sites, Consultants.	Agrobiodiversity experts from BI	1	2014
Workshop to translate FPIC into Sinhala and awareness for farmers and village level officers in 3 pilot project sites.	Community Leaders, CBO members and farmers	PMU staff	1	2014
Training workshop on Participatory Mapping	Udukumbura Farmers, Partners and NGOs			2015
Training Programme “Statistical Analysis of Agrobiodiversity Data for Implementation of Project Activities”	PMU staff, project partners	Bioversity Expert - Mr. Mattia Manica	2	2016
Training Workshop on Integrated Agrobiodiversity Management	Project partners, University staff, DOA and Ministry of Environment officials	University of Ruhuna staff	2	2016
Training program on “Participatory Approaches for Managing Agricultural Biodiversity Training for Trainers"	PMU staff, Project partners, Agriculture Instructors of 3 pilot sites	Foreign and Local experts	4	2016
Gender and Agrobiodiversity Management	Partners, Extension staff, MoMDE staff, PMU	Dr. Nisadi somarathna	2	2016
Workshop on Identification and Selection of Best Practices for Adaptation to Climate Change.	CBO members, Community leaders, Farmers, Project partners, PMU staff	IUCN staff DoA staff	3	2016
Monthly training programme for Site Assistants	Site Assistants	PMU staff, partners	2	2016-17-18
Awareness training on establishment and maintenance of CBRs	Farmer, Community leaders, CBO members	PMU staff, PGRC, DoAy, FVS	1	2016, 2017
Establishment and Maintenance on Seed developing seed exchange mechanism	Partners, Extension Staff, Community leaders	International Experts on Seed Banks	3	2017
Training on Traditional Seed Conservation Techniques and Seed Exchange Mechanism for Seed Banks	Community Leaders, CBO Members and Farmers	Staff of CDC, DoAy and PGRC	1	2017, 2018
Training programme on “Introduction and Maintenance of BACC Project Website”	Project Partners, PMU staff, AVC staff	Web designer and local expert	1	2016-17-18
Training on Identification for Improved Mgmt Practices and Development of Sustainable Harvesting Guidelines	Partners, Members of out-sourced activities extension agents, PMU, community leaders	Local experts	3	2017
Training on introduction of traditional techniques for climate change adaptation	CBO, Community Leaders, Farmers	IUCN staff	1	2017
Training programmes on soil and water conservation	Selected farmers	NRMC staff	1	2017
Field training programme based on soil conservation demonstrations	Selected farmers	NRMC staff	1	2018
Training programme on soil fertility improvement and drainage improvement	Selected farmers	NRMC staff	1	2018

Selection and training of few farmers from each site (at least 3 farmers per site) to function as breeders	Site Assistance, Selected farmers	Staff of FVS and LDO	1	2018
Introduction of activity findings: BD monitoring, Test results of water samples, How to conserve soil biodiversity	CBO members, Community Leaders and Farmers	NRMC staff, Dept of Export Agriculture	1	2018
Training on principles, practices and indicators of agrobiodiversity monitoring for climate change adaptation and traditional crop varieties	Extension agents, Field assistants, Partners	NRMC, PGRC, Dept of Export Agriculture, HORDI	1	2018
Training on principles, practices and indicators of agrobiodiversity monitoring for climate change adaptation and traditional crop varieties	CBO members, Community leaders and farmers	NRMC, PGRC Dept of Export Agriculture, HORDI	1	2018
The introduction Programme on Farmer Field Fora (FFF) with management practices	CBO Members, Community Leaders and selected farmers	PGRC HORDI	1	2016-17-18
Conduct awareness programmes for Bio diversity fairs (BDF) in each site	Farmers, CBO Members, Community Leaders, General public (sites), Students	PMU, PGRC, DoAy, FVs Dept of Export Agric.	1	2015 2017
Workshop on Conservation and Utilization of Local Varieties, Traditional Knowledge on Genetic Resources and Agriculture	DoA staff, Partners, NGO staff, university staff members	Experts from Japan and Local experts	2	2017
Selection and training of few farmers from each site (at least 3 farmers per site) to function as breeders for PPB	Partners, Extension staff, Site Assistance, 3 selected farmers from each site	International and Local experts in PPB	3	2017
Conduct awareness Training Program on PPB	Community leaders and 3 selected farmers from each site	Staff of PGRC and HoRDI	1	2017, 2018
Training on participatory breeding of traditional breeds	Selected farmers, Field assistants, Livestock development officer	FVs	1	2017, 2018
Awareness training programme to strengthen the CBOs	Farmer Leaders, Farmers from 3 project sites	PMU staff, Field assistants, Partners	1	2016, 2017
Training for Capacity Building of CBOs	Community leaders, CBO Members, Farmers and grass root level officers	Officers from Dept of Agriculture, CDC	1	2017, 2018
Training on agrobiodiversity aspects related to creation and maintenance of agrobiodiversity register	Extension / agricultural service providers, Partners, Field assistants	PGRC, PMU, FVS, DoAy	1	2016
Training workshop on Participatory Mapping	Partners, Community Leaders, University Students, Farming community	Foreign Experts	2	2017
Training on custodian farmers	Custodian farmers	PMU, field assistants DoAy	1	2018
Training on seed banks, participatory breeding and on the biodiversity conservation aspects for custodian farmers.	Custodian farmers, Farmer Leaders	PMU, DoA, DoAy	1	2017, 2018
Community gene /seed bank management & Seed storage and conservation techniques	Community leaders, Custodian farmers, CBO members	PMU, DoAy, PGRC, DoA	3	2017, 2018
		local experts (NGO)	1	
Training workshop to strengthen the Gender Management for project implementation	Project partners, PMU staff, Field assistants	Local experts	3	2017, 2018
Training workshop to strengthen the Gender Management for project implementation	Community leaders, CBO members and Selected Farmers	Master trainers	1	2017, 2018
Training on relevant new adaptable varieties and best crop management practices	Selected farmers (CBO members), Field assistants, Grass root level officers	PGRC, HORDI Dept of Export Agriculture, DoAy	1	2017, 2018
Training on relevant new adaptable animal genetic resources and best management practices	Selected CBO members, Community leaders and Selected Farmers	FVS	1	2017, 2018

Introducing Improved management practices for climate change adaptation and biodiversity conservation	Project partners, PMU staff, DoA staff, Field Assistants	PMU, DoA, Local experts	3	2018
	CBO members, Community leaders, Selected Farmers and Field assistants	PMU, DoA, Local experts	1	2018
Awareness programme regarding commercial farming to engage local and international market	Selected farmers, Community Leaders, CBO Members, Grass root level officers	DoA officers	1	2018
Training on value addition aspect of seed and planting material as well as end products	Extension staff, Partners, PMU staff	Local and int. experts	3	2018
	Selected farmers and Farmer women	Local experts	1	2018
Awareness on ecosystem service provisions, including assessment of soil characteristics and fertility and water quality, quantity and availability, pollination, other services	Extension staff, Partners, PMU staff	Local experts	3	2018
	Selected farmers and Farmer women		1	
Farmer facilitation programmes to provide key support to farmers on maintaining, use and introduction of new materials at farmer sites. On farm training with field demonstration	Selected farmers	PGRC, DoExAg, HoRDI	1	2018
Training programme on commercially valuable medicinal plant species and their management	8 selected farmers	DoAy staff	1	2018
Training to produce quality value added herbal products	Selected entrepreneurs	DoAy and CDC staff	1	2018
Training programmes and workshops to Develop entrepre-neurial capacity of small scale local producers and processors	Partners, Extension agents	UoC Staff	3	2017, 2018
	Community leaders and selected farmers		3	
Training classes and workshops to farmers in 3 pilot sites to develop production and non-market values and potential benefits arising from the maintenance of agrobiodiversity	Partners, Extension agents	UoC Staff	3	2017, 2018
Monthly and quarterly training programme for Site Assistants	Site Assistants and scientific assistants	PMU staff and partners	2	2018
Awareness workshops on traditional knowledge	School children and farmers	IUCN staff	1	2018
Awareness workshops on traditional knowledge	School children and farmers	IUCN staff	1	2018
Workshop on Development of indicators for Agrobiodiversity Monitoring	Subject matter officers of PGRC, NRMC, HORDI, Extension officers, officer of Agrarian service	Foreign experts	4	2018
Training on introduce traditional techquies for climate change adaptation	CBO members, community leaders and farmers	IUCN staff	1	2018
Training on seed conservation technology and traditional seed conservation methods	CBO members	CDC staff	1	2018
Training on seed conservation technology and traditional seed conservation methods	CBO members	CDC staff	1	2018
Soil Conservation field training programme (preparation of soil conservation plans, established soil conservation method)	CBO member, site assistants	NRMC staff	1	2018
Pest and disease identification of traditional chicken (identification of major pest and diseases control methods)	CBO member, site assistants	Live stock development officer	1	2018
Soil conservation field training programme (preparation of soil conservation plans, established soil conservation method)	CBO member, site assistants	NRMC staff	1	2018
Filed training programme pest, predators and pollinators (identification of major pest and predators, factors for improving activity of pollinators)	CDC officers, site assistants, farmers in Udukumbura, Millaniya, Gampola	HORDI staff	1	2018
Training programme of community biodiversity register, CBR and bee keeping, What is CBR, biodiversity, preparing of CBR, Procedure of maintain CBR, advantages of CBR, introduction	CDC officers, site assistants, farmers in Udukumbura, Millaniya, Gampola	Experts from PGRC, PMU staff, provincial extension officers	1	2018

of bee keeping, discussed the basic principles of beekeeping, advantages of bee keeping.				
Training on establishing of new bee colonies (introduction of new bee colonies to bee boxes , maintain bee colonies)	CBO member, site assistants	provincial extension officers	1	2018
Soil conservation field training programme (preparing of soil conservation plans, established soil conservation method)	CBO member, site assistants	NRMC staff	1	2018
Soil conservation field training programme (preparing of soil conservation plans, established soil conservation method)	CBO member, site assistants	NRMC staff	1	2018
Training on bio diversity home garden (major component of bio diversity home garden)	CBO member, site assistants	PMU staff and PGRC staff	1	2018
Training on utilization of data loggers (establishing data loggers in field, collecting weather data)	Site assistants, PMU, HORDI research staff, CDC members	HORDI staff, resource person from private sector	1	2018
Training on traditional seed conservation techniques (primary seed bank concept , traditional seed conservation techniques, equipment's for seed bank)	Selected CBO members who agreed to establish primary seed bank	CDC members	1	2018
Training on participatory tools for bio diversity conservation (FFF,PPB,excahnge of information and knowledge , basic principal of agri-business)	CBO member, site assitants , extention agent,CDC staff, farmers	PMU, PGRC, district secretary office of Kandy (for SMEs), Kaluthara, Kurunagala	1	2018
Community Bio diversity Register	CBO members and site assistant	PMU, Project partners	1	2018
Community Bio diversity Register	CBO members and site assistant	PMU, Project partners	2	2018
Workshop on bee keeping	CBO members and site assistant	Provincial extension staff	1	2018
Practical training on transferring bee colony to new bee boxes	CBO members and site assistant	Provincial extension staff	1	2018
Training on cultural practices of medicinal plant (Commercially valuable medicinal plants, cultural practices)	CBO member, site assistants	Training from DoAy	1	2018
Introduce agri-business products based on biodiversity (basic principle, raw material, equipment methodology....	CBO member, site assistants	Traing from DoAy	1	2018
establishing primary seed bank at house hold level	CBO member, site assistants	CDC STAFF	1	2018
Training on value added programme on biodiversity products	CBO member, site assistants	DoAy staff	1	2018
Training program on establishing biodiversity home garden in Udukumbura	CBO member, site assistants	PMU, PGRC staff	1	2018
Workshop on finalized and validation of prepared sustainable harvesting guidelines and improved management practices (develop technical practices in three project sites, sustainable harvesting guidelines and improved management practices for three pilot site)	DOA staff, NGO and BDS, Extension officers,site assistants,PMU staff,NARA	Experts from Dept of Ayurveda, Fruit research and development institute, NARA, Mahaweli Authority	2	2018
Monthly and quarterly training programme for Site Assistants	Site Assistants and scientific assistants	PMU staff and partners	1	2019
Soil conservation field training programme (preparing of soil conservation plans, established soil conservation method)	CBO member, site assistants	NRMC staff	1	2019
Participatory Tools for Agricultural Extension staff	Development Officers, Senior Agriculture Instructors, PMU Staff and site assistants	Subject Matter Officers	2	2019

Training programme on preparation of mosquito repellent sticks from selected herbal plants	Community Leaders, CBO Members and Farmers	PMU staff,DoAy	1	2019
Improved management practices that improve ecosystem service provision	Community Leaders, CBO Members and Farmers	PMU staff,HORDI	1	2019
Workshop on identify barriers and explore opportunities for local seed exchange	Community Leaders, CBO Members and Farmers	PMU staff,PGRC	1+1+1	2019 (3 times)
Training of trainers on gender and introducing the module on gender sociality	Dept of Agriculture, Subject coordination specialists, National officers in charge of the women agricultural extension unit, Female agricultural extension trainers in the provincial and central government	Local experts	1	2019
Indicator development and agro bio diversity survey in two ecosystems	Subject matter officers of PGRC, NRMC, HORDI, Extension officers, Officer of Agrarian service	Consultant of Bioversity, consultant of world biodiversity association	2	2019
The workshop on bee keeping	Community Leaders, CBO Members and Farmers	Officer from Provincial Agricultural Office	1	2019
Technical workshop on policy learning events to disseminate best practices, current thinking and to share lessons of Experiences on promotion of agrobiodiversity conservation and utilization to address the challenges of climate change and food security	Policy makers, Administrative officers, Politicians	Experts from the Department of Agriculture and the Ministry of the environment , provincial extension staff	1+1	2019 (2 times)
Kithul treacle Production Programme	Community Leaders, CBO Members	Officer Small Scale Industries Development Board	1	2019
Workshop on CBO strengthening and identifying future activates for the project sites	CBO Members and site assistants	PMU and PGRC staff	1+2+1	2019 (3 times)
2019Workshop on development of guidelines for biodiversity conservation and utilization	Project partners	PGRC staff	1	2019
Field study tour	CBO Members- Gampola	Local experts	3	2019
Field study tour	CBO Members- Millaniya	Local experts	2	2019
Skill development training on dairy cattle	Selected farmers, three site assistant	FVS and NLDB staff	2	2019

ANNEX VII. EVALUATION FRAMEWORK

The evaluation framework presents the issues to be covered in the Terminal Evaluation. It would not be used as a questionnaire, but as a list of topics where the information would be filled through written documentation, workshops, interviews with multiple stakeholders, and the Internet. The first table includes all questions expected to be responded during the evaluation, the following tables include frameworks where the questions have been selected according to the different stakeholder groups.

No	Evaluation questions	Indicators / Criteria	Sources of information
A	**Strategic relevance**		
1	Are the objectives and outcomes of the project consistent with UNEP's and GEFs' global policies, priorities and planning?	• Consistency of project objectives and outcomes with UNEP and GEF policies, priorities and work plans	• Project Document • Results Framework • Evaluation of project design (Annex C) • Theory of Change (TOC) • UNEP Policies, MTS and POW • GEF policies and strategies • CEO Endorsement documents • GEF STAP Reviews • Interviews with UNEP TM and staff
2	Are the objectives and outcomes of the project consistent with the policies and priorities of the pilot countries?	• Consistency of project objectives with policies based and priorities of the pilot countries	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Baseline study • Mid-term Review Report • Project website and websites for main partners • Pilot country statistics (Internet) • Signed agreements with partners (collaboration and financing) • Interviews with Government and other public officials
3	Are the objectives and outcomes of the project consistent with partners' and beneficiaries' priorities?	• Consistency of project objectives and outcomes with partners' and beneficiaries' priorities	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • PPG Report • Baseline study • Mid-term Review Report • Training materials and tools • Project website and websites for main partners

			• Signed agreements with partners (collaboration and financing) • Interviews with main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
4	What was the value added of UNEP's and GEF's involvement in this project (additional to funding) in light of the organisations thematic and political strengths?	• Value added of UNEP and GEF involvement	• Project Document, incl. Incremental Cost Analysis • Results Framework • Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • GEF policies and strategies • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
5	Is the project design still appropriate, considering the current perspective of UNEP, GEF, BIOVERSITY, partners and government in the pilot countries?	• Project appropriateness at the time of terminal evaluation, in the perspective of different stakeholders	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • UNEP Policies, MTS and POW • GEF policies and strategies • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with main international/national partners • Interviews with Government and other public officials • Workshops and interviews with local stakeholders
B	**Quality of Project Design**		
	Stakeholder participation		
1	Have all stakeholders who are affected by or who could affect (positively or negatively) the project been identified and explained in the stakeholder analysis?	• Stakeholders identified in ProDoc and Stakeholder analysis compared with information from other sources	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Interviews with main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
2	Did the main stakeholders participate in the design phase of the project and did their involvement and influence on the project design?	• Main stakeholders participating in the design phase, and their roles	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Baseline study • Mid-term Review Report • Project website and websites for main partners • Signed agreements with partners (collaboration and financing)

			• Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with main international/national partners • Interviews with Government and other public officials
3	Are the economic, social and environmental impacts to the key stakeholders identified, with particular reference to the most vulnerable groups (women, IP)?	• Economic, social and environmental impacts on the key stakeholders (including most vulnerable groups) identified in project document and appendixes	• Project Document • Results Framework • Evaluation of project design (Annex C) • PPG Report • Baseline study • Mid-term Review Report • Risk matrix • Individual consulting reports • Interviews with main international/national partners • Interviews with Government and other public officials • Workshops and interviews with local stakeholders • Observations during field visits
4	Have the specific roles and responsibilities of the key stakeholders been documented in relation to project delivery and effectiveness?	• Documented roles and responsibilities of key stakeholders in producing outputs and outcomes	• Project Document • Results Framework • Evaluation of project design (Annex C) • PPG Report • Baseline study • Mid-term Review Report • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
5	Are the stakeholder roles in each pilot country defined? Are there any lead local partners for the pilot sites, additional to the NEA?	• Documented stakeholder roles in each of the four pilot countries • Partners that have been leading project activities in the pilot sites	• Project Document • Evaluation of project design (Annex C) • PPG Report • Baseline study • Signed agreements with partners (collaboration and financing) • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
6	Were the project activities planned to promote positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders?	• Changes in attitude, behaviours and power relations promoted by the project	• Project Document • Results Framework • Evaluation of project design (Annex C) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM

			• Interviews with Main international/national partners
7	To what extent were Human Rights, ethnic minorities and Gender Equality integrated in ProDoc and Results Framework of the project?	• Integration of Human Rights, ethnic minorities and Gender Equality in ProDoc and Results Framework	• Project Document • Results Framework • Evaluation of project design (Annex C)
8	To what extent were Human Rights, Ethnic minorities and Gender Equality allocated specific and adequate budget in relation to the results achieved?	• Project budget (US$) for Human Rights, ethnic minorities and Gender Equality • Indicators on demand for these issues in the framework of the project	• Project Document with budget • Results Framework • Evaluation of project design (Annex C) • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
9	To what extent did Government and public agencies promise political, technical or financial support to the project before its approval?	• US$ documented co-financing from public agencies • Number of letters of political and technical support from public agencies	• Project Document • CEO Endorsement documents • PPG Report • Work plans and budgets • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
	Monitoring & Evaluation System in project design		
10	Did the project have a sound M&E system and plan to monitor results and track progress towards achieving project outputs, outcomes and impacts?	• Quality of M&E system, including quality of indicators and methods of measurement of outputs, outcomes and impacts	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • TOC • PPG Report • Baseline study • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
11	Was the monitoring system clearly defined, with operational guidelines that define responsibilities, indicators and frequency for M&E activities?	• Existence of M&E operational guidelines, and their definition of responsibilities, indicators and frequency of monitoring and evaluation activities	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • PPG Report • Baseline study • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners

12	Were the data sources and data collection instruments appropriate?	• Appropriateness the data sources and data collection instruments for project M&E	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • PPG Report • Baseline study • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
13	How well was the project results framework (original and possible updates) designed as a planning and monitoring instrument?	• Existence of baseline indicators for M&E • Existence of SMART indicators for all outputs, with quality, quantity and deadline for compliance • Definition of how to measure outcomes • Definition of how to measure impacts	• Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • PPG Report • Baseline study • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
14	Are there SMART indicators in the results framework for each of the project outputs and outcomes?	• Number and % of SMART indicators for outputs and outcomes in the results framework	• Results Framework • Evaluation of project design (Annex C) • TOC
15	To what extent was baseline information collected and presented in a clear manner (related to indicators for outputs and outcomes)?	• Existence of baseline study • Number and % of indicators in the baseline study directly related to the output- and outcome-indicators	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • PPG Report • Baseline study • Individual consulting reports
16	Was the methodology for collection of baseline data explicit and possible to comply with, based on e.g. access to data and available resources? (to be able to use the same methodology for monitoring during implementation)	• Specificity and clearness of the TOR or instructions for baseline data collection, and if these were possible to comply with	• Results Framework • PPG Report • Baseline study • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners

17	When was the project baseline finalized? (if variable, give month/year for different components)	• Month/year for determination of baseline data	• Project Document • Evaluation of project design (Annex C) • PPG Report • Baseline study • M&E system and tracking tools • PIRs • Mid-term Review Report • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
18	Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?	• Quantity and quality of capacity building and training needs defined in ProDoc	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • PPG Report • Baseline study • Mid-term Review Report • Risk matrix • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
19	To what extent did the Executing Agency (BIOVERSITY) engage key stakeholders in the design and implementation of the monitoring system?	• Number of partner organizations that participated in the design of the M&E system	• Project Document • PPG Report • Baseline study • M&E system and tracking tools • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
20	Did the project appropriately define the risks and set up a system to monitor and mitigate risks?	• Existence of a risk matrix • Does the risk matrix define the major risks based on possibility of occurrence and the impact in case of occurrence? • Does the risk matrix define appropriate mitigation measures for each risk? • Has the risk matrix been used for monitoring and mitigation of risks? • Has the risk matrix been updated based on new circumstances?	• Project Document • Results Framework • Evaluation of project design (Annex C) • PPG Report • Baseline study • PIRs • M&E system and tracking tools • Risk matrix • Individual consulting reports • Signed agreements with partners (collaboration and financing)

			• Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
21	What types of risks were included in the risk analysis and the designed risk monitoring system?	• Number of types of risks defined • Any major risks not considered? • Number of risks in total	• Project Document • Evaluation of project design (Annex C) • TOC • PPG Report • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
22	Were there adequate provisions to assure that project partners fully collaborate in evaluations?	• Number of partner agencies confirming their collaboration in evaluations (through agreements, letters or e-mails)	• Project Document • PPG Report • Work plans and budgets • PIRs • Mid-term Review Report • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
23	Was budget and technical support for M&E adequate?	• Budget (US$) for M&E • Number and technical level of staff for technical support to M&E system (including partner collaboration)	• Project Document with budget • PPG Report • Baseline study • M&E system and tracking tools • Work plans and budgets • PIRs • Mid-term Review Report • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
	Safeguards		
24	Was the safeguard management instrument completed in time for approval and based on UNEP guidelines for Environmental, Social and Economic Safeguards?	• Date of completion of the safeguard management monitoring system • Is the safeguard instrument in compliance with UN guidelines?	• Project Document • UNEP Policies, MTS and POW • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Baseline study • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM

25	Was the GEF safeguard guidelines considered during the design phase?	• Degree of relation between GEF safeguard guidelines and the project safeguard instrument	• Project Document • Evaluation of project design (Annex C) • GEF policies and strategies • GEF safeguard guidelines • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Baseline study • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
26	Were project stakeholders adequately identified and sufficiently involved in project design phase?	• Number of stakeholder groups identified during design phase • Number of pilot areas with definition of major local stakeholders (in ProDoc or baseline)	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Baseline study • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
27	Were the project objectives, impacts, outcomes and outputs clear, practicable and feasible within the timeframe?	• % of indicators for outputs and outcomes defined as quantity, quality and deadline • % of outputs and outcomes defined as SMART indicators • Feasibility of compliance with objectives, impacts and outcomes in the timeframe of the project implementation	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • Baseline study • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
28	Were the potentially negative environmental, economic and social impacts of projects identified during design?	• EIA or environmental- and social impact screening carried out during design? • Potential negative environmental, economic or social impacts of the project defined during design? • Mitigation measures for these potential negative impacts defined during design?	• Project Document • Evaluation of project design (Annex C) • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Baseline study • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners

			• Interviews with Government and other public officials • Workshops and interviews with local stakeholders
29	Were the capacities of BIOVERSITY and national partners properly considered during the design phase?	• Analysis of BIOVERSITY Institutional capacity during design phase? (technical, financial and administrative capacity)	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • CEO Endorsement documents • GEF STAP Reviews • PPG Report • BIOVERSITY website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
30	Was ProDoc and its appendixes sufficiently clear and realistic to enable effective and efficient implementation?	Quality of ProDoc and appendixes (reviewed in Annex C)	• Project Document and all appendixes • Evaluation of project design (Annex C) • TOC • PIRs • Mid-term Review Report • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
31	Were the partnership arrangements properly identified, and the roles and responsibilities negotiated and agreed with the national partners prior to project implementation?	• Number of national partners where their roles and responsibilities had been clearly defined and formally agreed with them before project start	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • CEO Endorsement documents • PPG Report • PIRs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
32	Were adequate project management arrangements (operational regulations) in place before implementation?	• Operational regulations agreed and approved before implementation • Alternatively, date for approval of operative regulations	• Project Document • Results Framework • Evaluation of project design (Annex C) • GEF STAP Reviews • PPG Report • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners

33	Were lessons learned from other relevant projects of GEF, UNEP or other agencies properly incorporated in the project design?	• Number of projects were lessons learned had been incorporated in project document • Were lessons learned relevant for the project?	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • UNEP Policies, MTS and POW • GEF policies and strategies • CEO Endorsement documents • GEF STAP Reviews • PPG Report • PIRs • Mid-term Review Report • Training materials and tools • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BBIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Workshops and interviews with local stakeholders
34	What factors influenced the quality-at-entry of the project design (incl. choice of partners, allocation of financial resources etc.)?	• List of factors that influenced the quality-at-entry of project design	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • UNEP Policies, MTS and POW • GEF policies and strategies • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
35	Were all weaknesses mentioned in the PRC minutes at the time of approval adequately addressed?	• All issues from PRC minutes adequately addressed, or alternatively mention issues not solved in project design	• Project Document • PRC Minutes • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • CEO Endorsement documents • GEF STAP Reviews • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
36	What coordination mechanisms were in place before implementation started?	• Number of agencies were mechanisms of coordination had been agreed and established before start of implementation	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F)

			• PPG Report • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
37	Were the incentives and mechanisms for collaboration between UNEP projects and with UN and other agencies adequate?	• Definition of incentives and mechanisms for collaboration between UN agencies	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis • UNEP Policies, MTS and POW • GEF policies and strategies • PPG Report • Work plans and budgets • PIRs • Mid-term Review Report • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Interviews with other UN agencies and other important donors
38	Was the level of involvement of the Regional, Liaison and Out-posted UNEP Offices in design, planning, decision-making and implementation appropriate?	• Degree and form of involvement of the Regional, Liaison and Out-posted UNEP Offices in design, planning, decision-making and implementation, and review of appropriateness	• Project Document • UNEP Policies, MTS and POW • GEF STAP Reviews • PPG Report • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Government and other public officials
C	**Nature of External Context**		
1	Has the external context affected the project results positively or negatively (and if so, for which countries and issues?	• List of major factors where the external context affecting the project results has changed after project approval (for each pilot country)	• Project Document • Results Framework • Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • GEF policies and strategies • PPG Report • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report

			• Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Workshops and interviews with local stakeholders
2	Has the project been able to mitigate the effects of changes in the external context (on international or national levels)?	• List of changes in external context that was mitigated (to be included in same table as number 1)	• PPG Report • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Workshops and interviews with local stakeholders
3	Were the mitigation measures results of risk monitoring, as provided for in the Risk Matrix?	• Number of the changed external factors that were included in the Risk Matrix, with pre-defined mitigation measures	• Evaluation of project design (Annex C) • PPG Report • Work plans and budgets • PIRs • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
D	**Effectiveness**		
1	Are the project's outcomes and impacts being achieved (during implementation or ex-post)?	• % of outcomes and impacts being achieved during the implementation, and % expected to be achieved ex-post	• Results Framework • Evaluation of project design (Annex C) • Work plans and budgets • M&E system and tracking tools • PIRs • Mid-term Review Report • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Workshops and interviews with local stakeholders
2	Has there been any trend in improved effectiveness through the implementation period of the project?	• Number and % of outputs finalized per semester during the implementation period (however considering that the project outputs normally follow a sigmoid curve)	• Results Framework • Work plans and budgets • M&E system and tracking tools • PIRs • Mid-term Review Report • Interviews with UNEP TM and staff

			• Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
3	Are the project outputs of the required quality, considering the satisfaction of stakeholders with products and services?	• Review of quality of outputs • Consultation on stakeholder satisfaction with output quality	• PPG Report • Work plans and budgets • PIRs • Mid-term Review Report • Individual consulting reports • Project publications • Training materials and tools • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops • Stakeholder consultation
4	Which factors have defined success or affected achievements of outputs and outcomes?	• List of factors affecting positively or negatively the degree of success of outputs and outcomes (per pilot country and in general)	• Results Framework • Evaluation of project design (Annex C) • M&E system and tracking tools • PPG Report • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report • Risk matrix • Individual consulting reports • Project website and websites for main partners • Pilot country statistics (Internet) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
5	Has the financing been justified, considering other projects in the area of forest certification and comparable projects in the pilot countries and other countries?	• Comparison with content of relevant projects	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • UNEP Policies, MTS and POW • GEF policies and strategies • PPG Report • Work plans and budgets • PIRs

			• Individual consulting reports • Project publications • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
6	What are the achieved results (outcomes and outputs) compared with the original results framework and any new versions of this framework? (calculating effectiveness for each output, outcome and component)	• Indicators for number and % of outputs and outcomes achieved in relation to the targets in the results framework • Indicators for effectiveness of results for each component based on achievement of targets for outputs and outcomes	• Results Framework • Evaluation of project design (Annex C) • M&E system and tracking tools • TOC • Baseline study • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
7	Have there been any changes in main partners, NEAs or pilot areas that have affected effectiveness, and what were the reasons for these changes?	• Changes that have affected effectiveness of outputs and outcomes, and their reasons	• Project Document (original and after change of 1 Vietnam site) • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • CEO Endorsement documents • PPG Report • Work plans and budgets • PIRs • Mid-term Review Report • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
8	What are the components with best and worst results, and why?	• % compliance of outputs and outcomes for each component, and review of possible positive and negative impacts	• Results Framework • Evaluation of project design (Annex C) • M&E system and tracking tools • TOC • GEF STAP Reviews • PPG Report • Baseline study • Work plans and budgets

			• PIRs • Mid-term Review Report • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops and interviews with local stakeholders • Observations during field visits
9	Are there major differences in effectiveness between different pilot countries and pilot sites (and which factors have given these differences)?	• % compliance with output and outcome targets for each pilot country • % compliance with output and outcome targets for each pilot site • Definition of factors that have given these differences	• Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • PPG Report • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report • Risk matrix • Individual consulting reports • Project website and websites for main partners • Pilot country statistics (Internet) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
10	Were outputs and other benefits accessible to all the relevant stakeholder groups?	• List of major stakeholder groups in each country with their respective access to outputs and other project benefits	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • PPG Report • Baseline study • Work plans and budgets • PIRs • Risk matrix • Individual consulting reports • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials

			• Local workshops and interviews with local stakeholders
11	Have desired outcomes and impacts affected all stakeholder groups (and if not, why)?	• List of the major stakeholder groups and for each group how they have been affected positively or negatively by the outcomes and impacts of the project	• Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • M&E system and tracking tools • PPG Report • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report • Risk matrix • Individual consulting reports • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
12	Have there been efficient participatory processes throughout the project and increased knowledge among stakeholders regarding the project topics?	• Participatory processes carried out during the project implementation and their efficiency, considering participation, results and appropriation • Increased knowledge of project topics (result of stakeholder consultation)	• Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • Work plans and budgets • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders • Consultation about stakeholder knowledge of project topics
13	What has been the effect on NEA's institutional capacity and their use of knowledge, products and expertise generated through the project (demonstrated in service to partners and target groups)?	• Project effect on NEA's capacity • Knowledge, products and expertise generated through the project that is used by the NEAs (in their service to partners/target groups)	• Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Work plans and budgets

			• PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops and interviews with local stakeholders
14	Has the project created opportunities for institutions, companies or individuals ("champions") to catalyse change, without which the project would not have achieved all of its results?	• New opportunities for change created thanks to the project	• Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Work plans and budgets • PIRs • Mid-term Review Report • Individual consulting reports • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders • Observations during field visits
15	Have there been any positive or negative, primary or secondary, long-term impacts produced by the Project, directly or indirectly, intended or unintended (with particular reference to the environment/biodiversity and the most vulnerable groups)?	• Impacts on the environment/biodiversity and vulnerable groups produced by the project	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PIRs • EIAs or environmental screening reports (if available) • FPICs (if applicable) • Risk matrix • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
16	Have there been any unanticipated positive or negative outcomes or outputs of the project?	• Unanticipated outcomes or outputs produced by the project	• Results Framework • Evaluation of project design (Annex C)

			• M&E system and tracking tools • PIRs • Risk matrix • Individual consulting reports • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
E	**Project Management**		
	Project coordination and supervision		
1	To what extent have the project implementation mechanisms outlined in the project document been followed, and were they effective in delivering project milestones, outputs and outcomes?	• Degree of compliance with ProDoc's implementation mechanisms • Effectiveness of the implementation mechanisms in delivering milestones, outputs and outcomes	• Project Document • Results Framework • Evaluation of project design (Annex C) • M&E system and tracking tools • TOC • PPG Report • Work plans and budgets • PIRs • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops and interviews with local stakeholders
2	Were adaptations made to the approaches defined in ProDoc, and if so why?	• Changes and adaptations to ProDoc • Reasons for these changes	• Project Document (all versions) • Results Framework • Evaluation of project design (Annex C) • TOC • PPG Report • Work plans and budgets • PIRs • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
3	Has the organisation and administration of the project affected the timeliness in compliance with the results and the cost compared with what was initially planned?	• Project management's effect on timeliness of outputs and outcomes • Project management's effect on cost of outputs and outcomes	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC

			• PPG Report • Work plans and budgets • PIRs • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
4	Have procurement plans been efficiently used based on the budget, and to obtain the required goods and services in time for project activities?	• Content of procurement plan (definition of goods and services, deadline and estimated price) • Relation between planned procurement and work plans/budgets to obtain expected outputs	• Project Document • Results Framework • Procurement system (planning and tracking) • M&E system and tracking tools • Evaluation of project design (Annex C) • Work plans and budgets • PIRs • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
5	Have human resource management routines and procedures been developed, approved and followed (for the Project and NEAs)?	• Approved human resources regulations • Degree of compliance with HR regulations	• Project Document • Approved human resources regulations and sample contracts • Results Framework • M&E system and tracking tools • Memos from meetings of PSC • PPG Report • Baseline study • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
6	Did the effectiveness or efficiency of the global project management team (BIOVERSITY PROJECT TEAM) change during the life of the project, and was it able to adapt to changes?	• Effectiveness of BIOVERSITY PROJECT TEAM according to PIRs with results achieved • Adaptation of BIOVERSITY PROJECT TEAM according to meeting memos of PSC and other sources	• Results Framework • Work plans and budgets • PIRs • Memos from meetings of PSC • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
7	How did the relationship between the BIOVERSITY PROJECT TEAM and NEAs develop during the course of the project?	• Strengthened or weakened relationship between BIOVERSITY PROJECT TEAM and NEAs during the implementation period • Reasons for this development	• Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Work plans and budgets

			• PIRs • Memos from meetings of PSC • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
8	What was the role and performance of the national executive agencies (and any differences between countries)?	• Main roles defined for the NEAs and their members • Specification of differences between countries	• Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Memos of PSC meetings • TOC • Work plans and budgets • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
9	What were the roles, performance and frequency of meetings for the Project Steering Committee PSC?	• Main roles specified and approved for PSC • Average no of PSC meetings per year • Performance of PSC according to UNEP, BIOVERSITY and NEAs	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Meeting Memos for PSC • Work plans and budgets • PIRs • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
10	What were the roles, performance and frequency of meetings for the Project Steering Committees PSC?	• Main roles for PSC specified and approved • Average no of PSC meetings per year • Performance of PSC according to UNEP, BIOVERSITY PROJECT TEAM and national stakeholders	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Meeting Memos for PSC • Work plans and budgets • PIRs • Project website and websites for main partners • Interviews with Main international/national partners
11	How was the relationship between different functional units of UNEP involved in the project?	• Main roles specified for different UNEP units involved in the project • Roles according to decisions taken by different UNEP units involved	• UNEP Policies, MTS and POW • Decisions and memos from UNEP other than TM • Stakeholder analysis (Annex F) • Interviews with UNEP TM and staff • Meeting Memos for PSC

12	How was the relationship between UNEP and BIOVERSITY during implementation of the project?	• Relationship according to sources mentioned	• UNEP Policies, MTS and POW • Stakeholder analysis (Annex F) • Meeting Memos for PSC • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM
13	To what extent did BIOVERSITY PROJECT TEAM project management respond to directions and guidance from the UNEP TM, BIOVERSITY and PSC?	• Decisions and changes of BIOVERSITY PROJECT TEAM based on TM guidance • Decisions and changes of BIOVERSITY PROJECT TEAM based on BIOVERSITY guidance and decisions • Decisions and changes of BIOVERSITY PROJECT TEAM based on PSC decisions	• Project Document • UNEP Policies, MTS and POW • Stakeholder analysis (Annex F) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Meeting Memos for PSC • Results Framework • Work plans and budgets • PIRs
14	Were there any operational, institutional or political problems that influenced the effective implementation of the project, and how did the project management try to overcome these problems?	• Operational, institutional and political problems detected • Influence of these problems in the project performance before problem was solved • Decisions taken to solve the problems	• Meeting Memos for PSC • Stakeholder analysis (Annex F) • Work plans and budgets • PIRs • Mid-term Review Report • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
15	Were the project supervision plans, inputs and processes adequate for efficient project management (including time of fund transferences)?	• Efficiency of BIOVERSITY PROJECT TEAM during the implementation related to supervision from BIOVERSITY and PSC • Efficiency of NEAs related to supervision from BIOVERSITY PROJECT TEAM and PSC	• Project Document • Results Framework • M&E system and tracking tools • Meeting Memos for PSCs • Financial statements and audits • Evaluation of project design (Annex C) • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
16	Did the results-based project management (monitoring and reporting on outputs/outcomes) give realistic data for plans and reports?	• Quality and realism of data for BIOVERSITY PROJECT TEAM and NEA production of plans and reports	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Meeting Memos for PSC

			• Baseline study • Work plans and budgets • PIRs • Individual consulting reports • Pilot country statistics (Internet) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
17	Has the project made full use of opportunities for collaboration with other projects and programmes including with those not mentioned in the Stakeholder analysis of the Project Document?	• Number of projects and programmes not mentioned in ProDoc that the projects collaborates with • Characteristics and value added from these projects and programmes	• Project Document • Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • Stakeholder analysis (Annex F) • Work plans and budgets • PIRs • Meeting Memos for PSCs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
18	Have geographic or thematic complementarities been sought, synergies been optimized and duplications avoided?	• List of geographic and thematic complementarities sought between the project and other stakeholders/projects • Synergies obtained based on these efforts • Duplications detected (maintained or avoided)	• Project Document • Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • Stakeholder analysis (Annex F) • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report • Meeting Memos for PSCs • Individual consulting reports • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
19	What was the effectiveness of collaboration and interactions between the various project partners and stakeholders during implementation of the project (disaggregated for the main stakeholder groups identified in the Stakeholder Analysis)?	• Effectiveness of project outputs and outcomes achieved based on interactions with project partners and main stakeholders	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Work plans and budgets • PIRs

			• Mid-term Review Report • Meeting Memos for PSCs • Individual consulting reports • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
20	To what extent has the project used opportunities for joint activities, pooling of resources or common training activities/seminars with other organizations and networks?	• List of joint activities carried out with other organizations and networks (on international and national levels) • Budget (US$) from other organizations for seminars and other common activities	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Work plans and budgets • PIRs • Mid-term Review Report • Meeting Memos for PSCs • Individual consulting reports • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
21	How useful are partnership mechanisms and initiatives (define for each pilot country) to build stronger coherence and efficiency between participating organisations?	• Results achieved from partnership mechanisms in each country	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Work plans and budgets • PIRs • Meeting Memos for PSCs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
22	Do the results of the project promote participation of local stakeholders, including beneficiaries, in decision-making regarding certification of BD conservation or ES?	• Decisions on BD/ES certification taken in PSC and other entities with participation of local stakeholder	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • Work plans and budgets • PIRs • Meeting Memos for PSC

			• Individual consulting reports • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders • Observations during field visits
	Financial management		
23	Did the project financial management follow proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting (to be verified by Consultant on international and national level)?	• Financial management standards required for BIOVERSITY PROJECT TEAM • Financial management standards required for NEAs • Audited financial statements and auditor comments to the statements	• Financial statements and audits for the international project • Financial statements and audits on national level (NEAs) • Meeting Memos for PSC • Interview with BIOVERSITY PROJECT TEAM • Interview with BIOVERSITY and BIOVERSITY PROJECT TEAM financial officer(s) • Interview with NEAs and NEAs financial officers • Work plans and budgets
24	Did any new cooperation agreements negotiated and signed after approval influence project performance?	• Number and specification of new cooperation agreements signed after project approval (for each country) • Project outputs and outcomes achieved based on these agreements	• Signed agreements with partners (collaboration and financing) • Project Document • M&E system and tracking tools • Stakeholder analysis (Annex F) • PPG Report • Work plans and budgets • Meeting Memos for PSC • PIRs • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
25	Did staff recruitment follow transparent routines, and did staff get sufficient supervision/training, to assure the most qualified and efficient staff members (on international and national level)?	• Approved rules for staff recruitment in BIOVERSITY PROJECT TEAM and NEAs and their compliance • Supervision mechanisms for staff in BIOVERSITY PROJECT TEAM and NEAs • Training activities carried out for staff in BIOVERSITY PROJECT TEAM and NEAs	• Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • Meeting Memos for PSC • PPG Report • Baseline study • PIRs • Mid-term Review Report • Individual consulting reports • Project publications • Training materials and tools • Signed agreements with partners (collaboration and financing)

			• Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM +individual staff meetings • Interviews with NEAs +individual staff meetings • Interviews with consultants and service providers
26	Did procurement of goods and services (including consultancies) follow transparent routines, and were there any irregularities or intents/pressure from external agents to influence the results of the procurement processes?	• Approved procurement rules for BIOVERSITY PROJECT TEAM and NEAs • Degree of compliance with these rules • Irregularities or external pressure detected in regards to project procurement processes	• Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • Meeting Memos for PSC • M&E system and tracking tools • PIRs • Project publications • Training materials and tools • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM +procurement staff • Interviews with NEAs +procurement staff • Interviews with consultants and service providers
27	Have there been any measures taken by UNEP to prevent or correct irregularities in procurement or financial management? (and were the adequate measures taken?)	• Measures taken by UNEP to prevent or correct irregularities in the project's procurement or financial management	• Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM +procurement staff • Interviews with NEAs +procurement staff • Interviews with consultants and service providers • Meeting Memos for PSC • PIRs
28	To what extent has co-financing materialized compared with what was promised at project approval?	• % of co-finance disbursed compared with promises at the moment of project approval	• Project Document • Evaluation of project design (Annex C) • CEO Endorsement documents • PPG Report • Memos from workshops during PPG • Work plans and budgets • Financial statements and audits • PIRs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial officer • Interviews with Main international/national partners

29	What are the resources the project has leveraged since approval (financial and in-kind) and how do these resources contribute to the project's goals?	• Leverage of funds (US$) since project approval and its contribution to project goals • Additional in-kind support since project approval and its contribution to project goals	• Project Document • Results Framework • Evaluation of project design (Annex C) • CEO Endorsement documents • PPG Report • Baseline study • Work plans and budgets • Financial statements and audits • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM +financial and procurement staff • Interviews with NEAs +financial and procurement staff • Interviews with Government and other public officials
30	Is the Financial Information on international and national level complete and adequately updated?	• Completeness and updating of financial information in BIOVERSITY PROJECT TEAM and NEAs	• Project Document • Work plans and budgets • Financial statements and audits • PIRs • Meeting Memos for PSCs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM +financial officer(s) • Interviews with NEAs +financial officers
31	How has the communication and supervision been between the BIOVERSITY PROJECT TEAM finance officer and financial staff in the NEAs?	• Form and frequency of communication between finance staff in BIOVERSITY PROJECT TEAM and NEA • Supervision carried out by finance officer in BIOVERSITY PROJECT TEAM to financial staff in NEAs	• Work plans and budgets • Financial statements and audits • PIRs • Interviews with BIOVERSITY PROJECT TEAM, especially financial manager • Interviews with NEAs, especially financial managers
32	Has the project complied with UNEP Standards and Procedures for financial management?	• Degree of compliance with UNEP Standards and any observations during project implementation	• UNEP Policies, MTS and POW • UNEP Standards and procedures for financial management • Financial statements and audits • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM financial manager(s)
33	Have the procedures for storage and traceability of accounting documentation been followed, according to institutional rules and requirements	• Degree of compliance with rules of UNEP, GEF and BIOVERSITY for storage and	• UNEP Policies, MTS and POW • UNEP Standards and procedures for financial management

	of UNEP, GEF and BIOVERSITY, including reporting and verification?	traceability of accounting documents (for BIOVERSITY PROJECT TEAM and NEAs)	• GEF Standards and procedures for financial management • BIOVERSITY Standards and procedures for financial management • Financial statements and audits • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM financial manager(s)
34	Have there been any budget adjustments, and what were the criteria to carry them out?	• Budget adjustments carried out during project implementation and their characteristics (from/to components) • Reasons for carrying out the budget adjustments	• Project Document with original budget • Any adjusted global budgets (if applicable) • Work plans and budgets • PIRs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s)
35	Have the project financial statements been annually audited (on international and national level) and were there any observations or corrections to be made?	• Confirmation of annual audits of project funds for BIOVERSITY PROJECT TEAM and NEAs (and reasons, in case they were not carried out) • Observations or corrections made by the auditor to the annual financial statements	• Financial statements with audits for global project • Financial statements with audits for NEAs • Meeting Memos for PSC • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM financial manager(s) • Interviews with NEAs financial managers
	Awareness raising and public information		
36	What has been the effectiveness of the project's public awareness activities to communicate objectives, progress, results and lessons learned? (Disaggregated by stakeholder groups)	• Effectiveness of project's public awareness campaigns, measured through the different stakeholder groups' knowledge about the project objectives, results and lessons	• Project Document • Results Framework • Evaluation of project design (Annex C) • PIRs • Individual consulting reports • Project publications • Training materials and tools • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and staff in charge of outreach • Interviews with NEAs and staff in charge of outreach • Interviews with Government and other public officials • Interviews with some BIOVERSITY members
37	Did the project identify and make use of existing communication channels and networks of the BIOVERSITY, Main key stakeholders?	• Project's use of BIOVERSITY and NEA communication channels that existed before project approval	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC

			• PIRs • Individual consulting reports • Project publications • Training materials and tools • Project website and websites for main partners • Publications/bulletins of BIOVERSITY and NEAs mentioning the project • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and staff in charge of outreach • Interviews with NEAs and staff in charge of outreach • Interviews with some BIOVERSITY members
38	Did the project provide feedback channels?	• Which channels exist for stakeholder feedback or grievance, and have they been used?	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Meeting Memos for PSC • PIRs • Mid-term Review Report • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
F	**Efficiency**		
1	Which components have been most efficient (considering % progress in outputs divided by % of original budget used), at planned end date (08/15) and end date (12/17)?	• Indicator of efficiency (outputs/budget) for each component	• Project Document with original budget • Any adjusted global budgets • Results Framework (and new versions, if any) • M&E system and tracking tools • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Financial statements and audits • PIRs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s) • Interviews with NEAs and their financial managers

2	Which pilot countries and pilot sites have been most efficient (with same calculation as above), at planned end date (08/15) and end date (12/17)?	• Indicator of efficiency (outputs/budget) for each pilot country	• Project Document with original budget • Any adjusted global budgets • Results Framework (and new versions, if any) • M&E system and tracking tools • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Financial statements and audits • PIRs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s) • Interviews with NEAs and their financial managers
3	What are the explanations for the different efficiency between components, pilot countries and pilot sites (time, human resources, equipment, budget, etc.)?	• Reasons for different efficiency between components, pilot countries and pilot sites	• Project Document with original budget • Any adjusted global budgets • Results Framework (and new versions, if any) • M&E system and tracking tools • Procurement system (planning and tracking) • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Financial statements and audits • PIRs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s) • Interviews with NEAs and their financial managers
4	What has been the efficiency of resource use in relation to number of direct and indirect beneficiaries (incl. training)?	• Project cost (US$) per direct and indirect beneficiaries • Project cost (US$) per person trained	• Project Document with original budget • Any adjusted global budgets • Results Framework (and new versions, if any) • M&E system and tracking tools • Procurement system (planning and tracking) • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Financial statements and audits • PIRs • Memos from workshops and seminars • Training materials and tools

			• Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s) • Interviews with NEAs and their financial managers
5	Have project funds been transferred and used in time to comply with the work plans?	• Timeliness of fund transfers for planned project activities	• Project Document with original budget • Any adjusted global budgets • Results Framework (and new versions, if any) • M&E system and tracking tools • Procurement system (planning and tracking) • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Financial statements and audits • PIRs • Meeting Memos for PSC • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s) • Interviews with NEAs and their financial managers
6	Which factors have improved or reduced the execution efficiency?	• List of factors that have improved and reduced project execution efficiency	• Project Document with original budget • Any adjusted global budgets • Results Framework (and new versions, if any) • M&E system and tracking tools • Procurement system (planning and tracking) • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Financial statements and audits • PIRs • Meeting Memos for PSC • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s) • Interviews with NEAs and their financial managers
7	Are the project results reasonable in relation to the financial resources invested?	• Comparison with other projects on relation between costs and results	• Project Document with original budget • Any adjusted global budgets • Results Framework (and new versions, if any) • M&E system and tracking tools

			• Procurement system (planning and tracking) • Evaluation of project design (Annex C) • TOC • Work plans and budgets • Financial statements and audits • PIRs • Meeting Memos for PSCs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM and financial manager(s) • Interviews with BIOVERSITY Board members • Interviews with NEAs and their financial managers
G	**Monitoring, Evaluation and Reporting**		
1	When was the project M&E system operational to track outputs and outcomes?	• Date for approval of M&E system and resources available for monitoring	• Project Document • Results Framework • M&E system and tracking tools • PPG Report • Baseline study • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with NEAs
2	How were the project activities planned and monitored (to assure relation with outputs)?	• Activities included in BIOVERSITY PROJECT TEAM and NEA work plans • Monitoring of activity realization by BIOVERSITY PROJECT TEAM and NEAs • Relation between activities and outputs in the M&E system	• Results Framework • M&E system and tracking tools • PPG Report • Baseline study • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
3	Were the targets in the PIR reports realistic, considering the results reported in the following PIR reports?	• Realism of targets in PIR reports based on compliance	• Results framework • Work plans and budgets • M&E system and tracking tools • Procurement system (planning and tracking) • PIRs • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners

4	Were the half-yearly Progress & Financial Reports complete, accurate and on time?	• Completeness and accuracy of progress- and financial reports • Timeliness of finalization (date) for progress and financial reports	• Results Framework • Evaluation of project design (Annex C) • Work plans and budgets • PIRs • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with NEAs and staff
5	Were the risks regularly and appropriately monitored and documented, mitigation measures taken, and (if necessary) the Risk Matrix updated?	• Regularity of indicator monitoring, in accordance with defined methods • Mitigation measures taken, in accordance with risk matrix and/or other measures • No of risk matrix updates and the reasons	• Project Document • Results framework • M&E system and tracking tools • Evaluation of project design (Annex C) • TOC • PIRs • Risk matrix • Pilot country statistics (Internet) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
6	Was the information provided by the M&E system used to improve project performance and adapt to changing needs?	• Improvements in project results based on information from the M&E system, giving adaptation of project management	• Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • TOC • Baseline study • Work plans and budgets • PIRs • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
7	To what extent did the project engage key stakeholders (identified in the inception report) in the implementation of monitoring and reporting, and what were their roles?	• Stakeholders participating in monitoring and reporting, and their roles	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • Work plans and budgets • PIRs • Signed agreements with partners (collaboration and financing)

			• Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with consultants and service providers for M&E • Interviews with Government and other public officials
8	If any stakeholder groups did not participate in the project monitoring, what was the reason for this?	• Stakeholder groups not participating in the monitoring, and reasons for this	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • Work plans and budgets • PIRs • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
9	Was sufficient information collected on specific indicators to measure progress on Human Rights, Ethnic minorities empowerment and Gender Equality (including gender-disaggregated data)?	• Quantity and quality of indicators for project progress on Human Rights, Ethnic minorities and Gender Equality, and frequency of measurements • Degree of gender-disaggregated data for Human Rights, Ethnic minorities and Equality	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report • Risk matrix • Individual consulting reports • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops and interviews with local stakeholders
10	Did the M&E system track positive and negative social, economic and environmental impacts, and did the project (if necessary) take measures to mitigate potential negative impacts?	• Positive and negative impacts tracked by the M&E system • Measures taken to mitigate potential negative impacts	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C)

			• Stakeholder analysis (Annex F) • TOC • EIAs or screening of potential environmental / social impacts • Baseline study • Work plans and budgets • PIRs • Risk matrix • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners
H	**Sustainability**		
	Technical Sustainability		
1	Are the technologies, tools and methods introduced by the project appropriate, considering technical skills, knowledge, gender-aspects and local culture?	• Appropriateness of technologies, tools and methods introduced by the project, considering skills and culture of potential user groups • Appropriateness of technologies, tools and methods introduced, considering gender mainstreaming and women's participation	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • Memos from workshops and seminars • Work plans and budgets • PIRs • Individual consulting reports • Project publications • Training materials and tools • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops and interviews with local stakeholders
2	Are the technologies, tools and methods introduced by the project used by the target groups and expected to last (or increase in use) beyond the project period?	• The target groups' current and potential future use of technologies, tools and methods introduced by the project	• Project Document • Results Framework • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • Work plans and budgets • PIRs

			• Risk matrix • Individual consulting reports • Training materials and tools • Memos from workshops and training activities • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops and interviews with local stakeholders • Observations during field visits
	Social and Socio-political Sustainability		
3	Are local communities, ethnic minorities, rural organizations, women and youth integrated in the project implementation?	• % participation of ethnic minorities, rural organizations, women, and youth in the project activities, disaggregated by stakeholder group, country and pilot area	• Project Document • Results Framework • Evaluation of project design (Annex C) • UNEP Policies, MTS and POW • GEF policies and strategies • CEO Endorsement documents • GEF STAP Reviews • PPG Report • Baseline study • Work plans and budgets • PIRs • Mid-term Review Report • Risk matrix • Individual consulting reports • Project publications • Training materials and tools • Project website and websites for main partners • Pilot country statistics (Internet) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders • Observations during field visits
4	Were processes of FPIC conducted during design, project planning or intervention in new areas?	• FPIC processes conducted during design, planning and implementation	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • Stakeholder analysis (Annex F)

			• UNEP Policy on IP and FPIC • GEF policy on IP and FPIC • Report(s) on project FPIC processes • PPG Report • Baseline study • Work plans and budgets • Meeting Memos fror PSCs • PIRs • Risk matrix • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with ethnic minorities organizations
5	Do local communities, ethnic minorities, rural organizations, women and youth support the project outcomes and consider them in their plans for the future?	• Plans of local communities and their community enterprises, ethnic minorities organizations, women groups and youth groups that consider certification of biodiversity conservation or other ecosystems services (both formal plans and informal plans by stakeholder leaders to be considered)	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Anne F) • TOC • PPG Report • Baseline study • Work plans and budgets • PIRs • Individual consulting reports • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Local workshops and interviews with local stakeholders
6	What is the degree of political support for the results of the project in the pilot countries, and is it expected to last (or increase) beyond the project period?	• Support for the results of the project expressed on political level	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • UNEP Policies, MTS and POW • Policies and political priorities in the pilot countries (Internet) • GEF Focal point endorsement letters in pilot countries • PPG Report • PIRs • Risk matrix • Project website and websites for main partners

			• Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
7	Are there any social or political factors that may influence positively or negatively the sustainability of project results and progress towards impacts?	• Definition of social and political factors that may impact the process from outcomes to impacts, positively (drivers) or negatively (risks)	• Results Framework • Evaluation of project design (Annex C) • TOC • Stakeholder analysis (Annex F) • PIRs • Risk matrix • Project website and websites for main partners • Pilot country statistics (Internet) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders • Observations during field visits
8	Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained?	• Degree of ownership felt by main stakeholder groups	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • PPG Report • Baseline study • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders • Observations during field visits
9	Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives for certification of ecosystems conservation and other environmental services?	• Degree of awareness, interest, commitment and incentives for certification of ecosystems conservation and other environmental services	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • PIRs

			• Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
10	Did the project conduct 'succession planning' and promote this to sustain the results of the project after implementation?	• Use of 'succession planning' for capacity building on the project topics within BIOVERSITY, Main partners	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Work plans and budgets • PIRs • Project publications • Training materials and tools • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners
11	Has the project's training and capacity building activities resulted in improved capacity for key stakeholders?	• Knowledge and capacity on certification of biodiversity and other ecosystems services among key stakeholders at the time of the evaluation compared with the PPG period	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • PIRs • Project publications • Training materials and tools • Memos from workshops • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Workshops

12	To what degree did main participating partners change their policies or practices during the implementation, thereby leading to the fulfilment of Human Rights, Ethnic minorities and Gender Equality principles?	• Degree of change of policies and practices on Human Rights, Ethnic minorities and Gender Equality among main partners during implementation (and mention of type of changes that occurred)	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • M&E system and tracking tools • PPG Report • Baseline study • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
13	To what extent has the integration of Human Rights, Ethnic minorities and Gender Equality led to an increase in the likelihood of sustainability of project results?	• Degree of increased sustainability of project outcomes and impacts based on integration of Human Rights, Ethnic minorities and Gender Equality	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Work plans and budgets • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
14	What were the approaches and mechanisms used by the project to engage stakeholders at critical stages during the project implementation? (and the strengths and weaknesses of these approaches?)	• Strengths and weaknesses of project approaches and mechanisms to increase stakeholder engagement at critical stages of the implementation	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis • TOC • PPG Report • PIRs • Risk matrix • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners

			• Interviews with Government and other public officials
15	Has the project contributed to policy changes, (formally approved and/or in practice)?	• Project contributions to formal and informal policy changes	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis • TOC • UNEP Policies, MTS and POW • GEF policies and strategies • PIRs • Project publications • Project website and websites for main partners • Pilot country statistics (Internet) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
	Environmental Sustainability		
16	Have any EIA's, environmental assessments, or environmental screening reports of the project been carried out, and if so what were the results?	• Results of EIA's, environmental assessments, or environmental screening reports	• Project Document • PPG Report • Baseline study • PIRs • Risk matrix • EIA's, environmental assessments and environmental screening reports • Individual consulting reports (incl. environmental studies) • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Observations during field visits
17	Have any positive or negative environmental impacts of the project or main partners been observed during the field trips in the pilot areas?	• Environmental positive and negative impacts of the project or main partners observed during field	• Observations during field trips to pilot areas
18	Are there any environmental factors, positive or negative, that may influence the future flow of project benefits?	• Positive and negative environmental factors that may affect the future flow of project benefits	• Project Document • Results Framework • Evaluation of project design (Annex C) • M&E system and tracking tools • EIA's, environmental assessments and environmental screening reports • PIRs

			• Risk matrix • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Observations during field visits
19	Are there any project outputs or higher-level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?	• Project outputs or outcomes that may affect the environment	• Project Document • Results Framework • M&E system and tracking tools • EIA's, environmental assessments and environmental screening reports • PIRs • Risk matrix • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Observations during field visits
20	Are there any foreseeable negative environmental impacts that may occur, as the project results are being up-scaled?	• Foreseeable negative environmental impacts as results of up-scaling of the project results	• Project Document • Results Framework • Evaluation of project design (Annex C) • TOC • M&E system and tracking tools • EIA's, environmental assessments and environmental screening reports • PIRs • Risk matrix • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
	Institutional Sustainability		
21	What is the degree of participation and ownership of the Main partner organisations in the project implementation process?	• NEAs' and partner organizations' degree of participation and ownership of the project implementation process	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PPG Report • Baseline study • PIRs

			• Websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials • Local workshops and interviews with local stakeholders
22	What is the capacity of the Main partner organisations to continue the activities and progress of appropriation and maintenance?	• Institutional capacity of the Main partners to continue and maintain the project activities	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PIRs • Risk matrix • Websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
23	To what extent is the sustainability of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance?	• Institutional frameworks and governance of BIOVERSITY, BIOVERSITY members and main partners to progress towards sustainable impacts based on project outcomes	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
24	How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?	• Institutional achievements as result of the project that would impact on human behaviour and environmental resources, goods and services	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners

			• Interviews with Government and other public officials
25	To what degree did the main government and public sector agencies participate or collaborate with the project? (review to be made for main public agencies mentioned in the stakeholder analysis)	• Degree of public sector participation or collaboration with the project	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
26	How and how well did the project achieve country ownership of project outputs and outcomes?	• Strength of country ownership of project outputs and outcomes in the pilot countries	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
27	To what extent have Government and public institutions assumed responsibility for the project results, providing adequate support during project implementation?	• Financial (US$), technical and political support from the public sector to project implementation	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
28	Has the project contributed to long-term institutional changes, e.g. uptake of project-demonstrated tools, practices or management approaches?	• Long-term institutional changes (beyond implementation period) as a result of project contribution	• Project Document • Results Framework • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Project website and websites for main partners • Signed agreements with partners (collaboration and financing)

			• Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
	Economic-financial Sustainability		
29	What are the costs and benefits of the project outcomes and impacts within a long-term perspective?	• Cost/benefit of project outcomes in a long-term perspective, considering expected ex-post benefits	• Project Document and all appendixes • Results Framework • Evaluation of project design (Annex C) • TOC • Work plans and budgets • PIRs • Project website and websites for main partners • Pilot country statistics (Internet) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
30	Would certification of biodiversity and other ecosystems services be economically sustainable in the future from the land owners point of view without project donations?	• Future economic/financial sustainability of certification of biodiversity and other ecosystems services	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PIRs • Project website and websites for main partners • Pilot country statistics (Internet) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
31	Do the NEAs have sustainable financing strategies, or are they very dependent on donation funds?	• Content of NEAs existing sustainable financing strategies	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • PIRs • Project website and websites for main partners • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials

32	What is the likelihood that adequate financial resources would become available to use capacities built by the project?	• Likelihood of adequate financial resources being available to use capacities built by the project	• Project Document • Evaluation of project design (Annex C) • TOC • PIRs • Project website and websites for main partners • Pilot country statistics (Internet) • Websites for major financing agencies • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
33	Are there any financial risks that may jeopardize sustainability of project results and onward progress towards impact?	• Financial risks that may jeopardize sustainability of project results between outcomes and impacts	• Project Document • Results Framework • Financial statements and audits • Evaluation of project design (Annex C) • TOC • PIRs • Project website and websites for main partners • Pilot country statistics (Internet) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
34	Has the project contributed to sustained follow-on financing from government, private sector, donors etc.?	• Sustainable financing for scaling up of project activities after project termination	• Project Document and budget • Results Framework • Evaluation of project design (Annex C) • TOC • PIRs • Project website and websites for main partners • Pilot country statistics (Internet) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
	Replication and scaling up		
35	What is the approach adopted by the project to promote replication effects?	• Approach to promote replication of project results	• Project Document • Evaluation of project design (Annex C)

			• Stakeholder analysis (Annex F) • TOC • Meeting memos for PSCs • PIRs • Project publications • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
36	What are the factors that may influence replication and scaling up of project results and lessons learned?	• Factors that may influence replication and scaling up of results and lessons learned from the project implementation	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Meeting memos for PSCs • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
37	Has replication partly occurred already, or is likely to occur in the near future?	• Examples of replication of project results that have already occurred or would occur soon	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Meeting memos for PSCs • PIRs • Project publications • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials

38	Is the project expected to play a catalytic role in terms of use and application of tools and methods produced, and capacities developed?	• Examples of the project's catalytic role through the use of tools, methods and capacities developed	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Meeting memos for PSCs • PIRs • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
39	What are the incentives (social, economic, market based, competencies etc.) provided by the project to contribute to catalysing changes in stakeholder behaviour?	• Project incentives to changes in stakeholder behaviours	• Project Document • Results Framework • Financial statements and audits • M&E system and tracking tools • Evaluation of project design (Annex C) • Stakeholder analysis (Annex F) • TOC • Meeting memos for PSCs • PIRs • Project publications • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with BIOVERSITY Board members • Interviews with Main international/national partners • Interviews with Government and other public officials
I	**Coordination, Coherence and Complementarity**		
1	What is the degree of ownership of the knowledge and tools developed and disseminated through the project (considering geographic, thematic and institutional differences)?	• Degree of ownership of knowledge and tools developed through the project, by country, topic and partner agency	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis • TOC • PPG Report • PIRs • Project publications • Training materials and tools • Memos from workshops and seminars • Project website and websites for main partners

			• Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
2	Have the Main participating actors been empowered through the knowledge and tools they have obtained through the project?	• Degree of empowerment of Main actors through knowledge and tools obtained through the project	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis • TOC • PPG Report • PIRs • Project publications • Training materials and tools • Memos from workshops and seminars • Project website and websites for main partners • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
3	Did the collaborative structure of many organizations in the project strengthen the project implementation and results?	• Areas of strengthened project results due to collaboration with partner organizations	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis • TOC • PPG Report • PIRs • Project publications • Training materials and tools • Memos from workshops and seminars • Project website and websites for main partners • Websites of major donor agencies (UNDP, WB) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
4	Has there been any form of national donor coordination for forestry and biodiversity in the pilot countries, and did the project or NEAs participate in these efforts?	• National donor coordination for forestry and biodiversity in the pilot countries and the roles of the NEAs in these initiatives	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis • TOC • PPG Report

			• PIRs • Project publications • Training materials and tools • Memos from workshops and seminars • Project website and websites for main partners • Websites of major donor agencies (UNDP, WB) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials
5	Are there any indications that national donor coordination in the sector improved effectiveness and efficiency and reduced transaction costs?	• Indicators of improved effectiveness or efficiency due to national donor sector coordination in the pilot countries	• Project Document • Evaluation of project design (Annex C) • Stakeholder analysis • TOC • PPG Report • PIRs • Project publications • Training materials and tools • Memos from workshops and seminars • Project website and websites for main partners • Websites of major donor agencies (UNDP, WB) • Signed agreements with partners (collaboration and financing) • Interviews with UNEP TM and staff • Interviews with BIOVERSITY PROJECT TEAM • Interviews with Main international/national partners • Interviews with Government and other public officials

ANNEX VII. QUALITY ASSESSMENT OF THE EVALUATION REPORT

Evaluand Title:

Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change" - GEF ID Number 4150

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	Final report: Exeutive Summary gives a concise overview of the evaluand and report. The recommendations are expanded in the Conclusions section although, given there is no follow on phase, all the recommendations relate to UNEP as an institution and are for its overall improvement.	**5**
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	Final report: Good introduction to the evaluand, including purpose of evaluation and intended audience.	**6**
II. Evaluation Methods A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section. The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.	Final report: This evaluation process took place as the Evaluation Office was introducing updated guidance to strengthen the Methods section inits reports. The consultant responded to some additional requests in this section.	**5**

It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?		
III. The Project This section should include: • Context: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • Results framework: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • Stakeholders: Description of groups of targeted stakeholders organised according to relevant common characteristics • Project implementation structure and partners: A description of the implementation structure with diagram and a list of key project partners • Changes in design during implementation: Any key events that affected the project's scope or parameters should be described in brief in chronological order • Project financing: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing	Final report: Detailed section giving the reader a sound understanding of the evaluand.	**6**
IV. Theory of Change The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. This section should include a description of how the TOC at Evaluation[32] was designed (who was involved etc.) and applied to the context of the project? Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.	Final report: Good presentation and discussion of the TOR, including caual pathways, drivers and assumptions.	**6**

[32] During the Inception Phase of the evaluation process a TOC at Evaluation Inception is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the TOC at Evaluation.

V. Key Findings **A. Strategic relevance:** This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation[33]), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: v. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) vi. Alignment to Donor/GEF Strategic Priorities vii. Relevance to Regional, Sub-regional and National Environmental Priorities viii. Complementarity with Existing Interventions	Final report: All elements adequately covered.	**5**
B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively summarized?	Final report: Good summary of project design strengths and weaknesses.	**5**
C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval[34]), and how they affected performance, should be described.	Final report: Useful discussion of the broad environmental and political context.	**6**
D. Effectiveness **(i) Outputs and Project Outcomes:** How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention. The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.	Final report: Clear and detailed analysis of performance at output and outcome levels, supported by extensive material in tables.	**6**
(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed? Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.	Final report: Detailed and supported analysis of likelihood of impact.	**6**
E. Financial Management	Final report: All elements appropriately covered.	**6**

[33] A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

[34] Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following: • Adherence to UNEP's financial policies and procedures • completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used • communication between financial and project management staff		
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint.	Final report: Detailed discussion of dimensions of efficiency.	**6**
G. Monitoring and Reporting How well does the report assess: • Monitoring design and budgeting (including SMART results with measurable indicators, resources for MTE/R etc.) • Monitoring of project implementation (including use of monitoring data for adaptive management) • Project reporting (e.g. PIMS and donor reports)	Final report: All elements appropriately covered	**6**
H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including: • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability	Final report: Extensive discussion of sustainability.	**6**
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are **integrated in criteria A-H as appropriate**. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: • Preparation and readiness • Quality of project management and supervision[35] • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Environmental and social safeguards	Final report: All elements appropriately covered	**6**

[35] In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

• Country ownership and driven-ness • Communication and public awareness		
VI. Conclusions and Recommendations **i.Quality of the conclusions:** The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Final report: Brief conclusion that brings the main insights to the fore.	**5.5**
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons are intended to be adopted any time they are deemed to be relevant in the future and must have the potential for wider application (replication and generalization) and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report: Appropriate lessons	**5**
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations. In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance. Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.	Final report: Appropriate recommendations at institutional level.	**5**
VII. Report Structure and Presentation Quality		
i)Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: . Follws UNEP Evaluation Office guidance and requirements.	**6**

ii)**Quality of writing and formatting:** Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: Well-written – clear and professional writing throughout	**6**
OVERALL REPORT QUALITY RATING		**5.7**

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. All questions with negative compliance must be explained further in the table below.

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	**Y**	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	**Y**	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	**Y**	
4. Was the evaluator contracted directly by the Evaluation Office?	**Y**	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	**Y**	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		**N**
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?	**N/A**	
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	**Y**	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	**Y**	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	**Y**	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?		**N**
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	**Y** (Delays due to COVID)	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	**Y**	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	**Y**	
15. Did the project make available all required/requested documents?	**Y**	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?	**Y**	
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	**Y**	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	**Y**	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	**Y**	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	**Y**	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	**Y**	
22. Was the TOC in the inception report peer-reviewed?	**Y**	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	**Y**	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	**Y**	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	**Y**	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	**Y**	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit	**Y**	

formal comments?		
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	**Y**	
29. Did the Evaluation Consultant(s) respond adequately to all factual corrections and comments?	**Y**	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	**Y**	

Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.

Process Criterion Number	**Evaluation Office Comments**
28 and 29	An unusually high number of comments were received, largely from a single source. Many were not what the Evaluation Office would consider 'substantial'. This number of comments is unusual given that the project received a Satisfactory rating and has contributed to UNEP Evaluation Office providing further guidance on the nature and number of comments that can be reasonably responded to during an independent evaluation process.