

## **MID-TERM REVIEW**

### ***Capacity Building and Institutional Strengthening of the National Framework for Access and Benefit Sharing under the Nagoya Protocol (GEF ID: 5760)***

#### ***Project ATN/FM-16166-BR (BRA/18/003)***

Project Area: Brazil

Implementing agency: Inter-American Development Bank (IDB)

Executing Agency: United Nations Development Programme (UNDP)

Technical Coordination: Ministry of the Environment

**Guilherme Martins de Macedo**

**Consultant**

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Ministério do

**Meio Ambiente**



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## List of Abbreviations

BCA	Brazilian Cooperation Agency
ABS	Access and Benefit Sharing
MTR	Mid-Term Review
CBD	Convention on Biological Diversity
S&T	Science and Technology
CGen	Genetic Heritage Management Council
ATK	Associated Traditional Knowledge (with genetic heritage)
DCGen	Genetic Heritage Management Council Support Department
DGH	Department of Genetic Heritage (MMA)
DL	Distance Learning
NBSF	National Benefit Sharing Fund
GIZ	<i>Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH</i>
IBAMA	Brazilian Institute for the Environment and Renewable Natural Resources
M&E	Monitoring and Evaluation
MMA	Ministry of the Environment
MRE	Ministry of Foreign Affairs
IPTCFFs	Indigenous Peoples, Traditional Communities and Family Farmers
PIF	Project Identification Form
PIR	Project Information Report
NP	Nagoya Protocol
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
PRODOC	Project Document
AWP	Annual Work Plan
GRs	Genetic Resources
SBio	Biodiversity Secretariat
SisGen	National System for the Management of Genetic Heritage and Associated Traditional Knowledge
ToR	Term of Reference
TCU	Technical Coordination Unit (of the project)
PMU	Project Management Unit

### **Executive Summary**

Project Name: Capacity Building and Institutional Strengthening of the National Framework for Access and Benefit Sharing under the Nagoya Protocol

<b>Country:</b>	Brazil	<b>GEF Project ID: 1</b>	5760
<b>Agency implementing the GEF:</b>	Inter-American Development Bank	<b>GEF Agency Project ID:</b>	BR-T1304
<b>Execution partners:</b>	Ministry of the Environment  Genetic Heritage Management Council	<b>Submission date:</b>  <b>Project start date:</b>	7th March, 2014  April 2018
<b>GEF focal area</b>	Biodiversity	<b>Project duration (months)</b>	60
<b>Executing Agency</b>	United Nations Development Programme	<b>GEF Financing</b>	USD 4,401,931
<b>Co-financing Government of Brazil</b>	USD 4,401,931		

### **Summarized Project Description**

Brazil ratified the United Nations Convention on Biological Diversity through Decree nº 2.519 on 16<sup>th</sup> March, 1998. The Convention is structured on three main bases: the conservation of biological diversity, the sustainable use of biodiversity, and the fair and equitable sharing of the benefits arising from the use of genetic resources.

The Convention also started negotiation on an International Regime on Access to Genetic Resources and Benefit Sharing resulting from this access, through the Nagoya Protocol (NP) in force since October 2014, and ratified by Brazil in March 2021.

The aim of the project is to build capacities and institutional strengthening for the effective implementation of the new legal Access and Benefit Sharing (ABS) framework in Brazil, with a view to guaranteeing access and sharing the benefits of genetic resources and associated traditional knowledge (ATK). Its actions strive to raise awareness and increase the capacity and skills of different stakeholders in Brazil, particularly indigenous peoples, traditional communities, and family farmers, on ABS mechanisms and procedures, so they may take full advantage of the opportunities the ABS regime has to offer.

In order to achieve this objective, the project was structured in four components, directed towards (1) supporting formulation and enacting regulations that enable implementation of the new national law to regulate ABS and the Nagoya Protocol by Brazil; (2) supporting the development and implementation of the essential legal, administrative and technological instruments and institutional capacity to share information and administer the national ABS

mechanism; (3) expanding the knowledge and capacity of the main stakeholders in Brazil, also through the exchange of information at a regional and international level; and (4), efficiently managing the project, and carrying out continuous monitoring and mid-term and final reviews, in order to guarantee registration of the results achieved within the scope of the project, highlighting the importance of each in the advances observed in implementing new ABS legislation in Brazil related to the Nagoya Protocol, and systematizing best practices and lessons learned during project execution.

#### Summary of Project progress: April 2018 to June 2021

The project started with a five month delay between its signature and the first disbursement, which took place in August 2018. In general, the project alternated between periods of greater execution and the slowdown of activities. The start of 2019 (due to the transition in government) and last quarter of 2020 onwards (due to a change in Ministry of the Environment (MMA) management) were periods with a decreased rhythm with executing activities.

Component 1 activities were then started, with the financing of participation at side events at COP-MOP 2018 and workshops, including an international one. The seminars envisaged for the following years were not held due to the Covid-19 pandemic. However, the Nagoya Protocol was ratified in March 2021, with the project having fulfilled an important goal of Component 1. The National Benefit Sharing Fund (NBSF), another objective of the same component, was structured but is still not in operation. And the Genetic Heritage Management Council is active, adopting resolutions and other regulations to harmonize national standards with the Nagoya Protocol.

Component 2 activities focus on two important systems: one of disseminating information, with the construction and circulation of a channel via the internet that mirrors the ABS Clearing House set out in the Nagoya Protocol, and national information. And preparation of the second version of the National System for the Management of Genetic Heritage and Associated Traditional Knowledge (SisGen), with the improvement of modules and integration with other systems. SisGen related activities were in execution in this component by mid-2021. Activities related to the information dissemination channel were not carried out.

The major focus of Component 3 is on capacity building for public enforcement officers, companies and academic researchers (Genetic Resource (GR) and ATK users), legal practitioners and representatives of indigenous peoples, traditional communities and family farmers, so that they know about and multiply the knowledge required to operate the access system and benefit sharing use of GR and ATK among their groups. This is the most complex component.

The training activities conducted in 2019 were directed towards the Brazilian Institute for the Environment and Renewable Natural Resources (IBAMA) staff members and other bodies (public officials) and researchers (academia). Until this time there have not been initiatives for legal practitioners and companies. The training process for indigenous peoples, traditional communities and family farmers (IPTCFFs) is more complex and, although it started with the production of training methodology, and preparation of the pilot Community Protocol in 2020, activities have been interrupted.

The first semester of 2021 was marked by the interruption of various activities and a lack of planning. There was a considerable delay in execution, since 2021 is the end of the project. It should be highlighted that Component 3 has not yet presented a clear development perspective

until the preparation of this report, mainly considering the most challenging group to be trained, the IPTCFFs.

#### Summarized Chart of Project Component Evaluation

Project Strategy		Description
<b>Progress against results<sup>1</sup></b>	Component 1 Classification <b>MS</b>	Ratification of the Nagoya Protocol, project support for the Genetic Heritage Management Council (CGen), and establishment of the NBSF were important achievements. However, interruption of the work with key sectors hindered achieving the goals.
	Component 2 Classification <b>MU</b>	Preparation of version 2 of SisGen is underway. However, cancellation of contracts supporting SisGen and the initiative to prepare an information site has compromised the results expected for the Component.
	Component 3 Classification <b>U</b>	Although the initial training for public officials and researchers was successful, the project did not demonstrate any continuity, and did not present planning for training legal practitioners, companies and indigenous and traditional peoples, and family farmers, seriously damaging the prospect of achieving its goals.
<b>Project Implementation and Adaptive Management<sup>2</sup></b>	Classification <b>U</b>	The Project teams sought to compensate for the delays in 2018 and 2019 with the endeavours of a “task force” to accelerate execution. However, the departure of MMA technical staff from project activities, requests to cancel processes and hiring staff without justification, and the lack of a well-founded Work Plan for 2021, have seriously affected project implementation.
<b>Sustainability<sup>3</sup></b>	Classification <b>MU</b>	Operation of the NBSF and new version of SisGen, although they are expressive results which should be maintained, they will not be enough to provide the sustainability required for the PN to operate, since other fundamental activities have been interrupted, and do not have any prospect of continuing.

<sup>1</sup> Classification caption: HS – Highly Satisfactory S – Satisfactory MS – Moderately Satisfactory MU – Moderately unsatisfactory UI – Unsatisfactory HU – Highly Unsatisfactory.

<sup>2</sup> Consider the caption above.

<sup>3</sup> Classification captions of “sustainability”: P – Probable; MP – Moderately Probable; MI Moderately Improbable; I – Improbable

## Summary of conclusions of the Mid-Term Review

The project has indicators coherent with the subject although two, in particular, present problems: one of these is not linked to project action (ratification of the Nagoya Protocol already achieved). The other does not have clarity and measurability conditions (“harmonized sectors with the ABS regime”), since it correctly indicates target groups for training, but does not quantify achieving this goal.

The management structure, having resolved bureaucratic issues between the implementation and execution agencies, displayed the support required for the project, since the partners have kept communication flowing, and there is rapid and efficient liaison, to solve pending project matters.

There was a set of distinct factors that produced delays in execution: the need to harmonize bureaucracy at the implementing and executing agencies (IDB and the United Nations Development Programme (UNDP)) in 2018, the change in government in 2019, Covid-19 pandemic in 2020 and until now, and change in management at the Ministry of the Environment in 2020.

It was identified that the Project Management Unit - PMU/UNDP had the initiative to minimize the negative impacts of these situations, and make up for the period of little project activity. The current PMU/UNDP technical teams and Technical Coordination Unit - TCU/Department of Genetic Heritage - DGH/Biodiversity Secretariat - SBio/MMA have the knowledge required to develop the activities and achieve the results, as planned. The training

held with IBAMA inspectors and academia are positively highlighted, although it was not enough to totally achieve the goal, and preparation of version 2 of SisGen System, and NBSF compliance required to operate the ABS system in Brazil are underway.

However, the project is at a period of uncertainty with regards to achieving the expected results. Until the present time, some of the essential activities do not have the planning required, indicating that they will be carried out effectively. Achieving the results of Component 3, and the topic of disseminating information in Component 2 should be prioritized, which will require intensive and coordinated activity from the partners.

It is clear that possible achievement of the main project results will only be possible with an extension of its execution deadline. A commitment from partners to efficiently and effectively execute the activities that were interrupted, with real impacts and widely acknowledged by the beneficiary groups, will also be required. Greater participation of all the beneficiary groups and broader dissemination of planning and the results achieved is recommended.

## Main findings

Topic	Findings
Strategy/Design/Project Logical Matrix	The project is aligned with national priorities related to implementation of the Nagoya Protocol, particularly the fair and equitable system to share benefits, related to the use of genetic resources and associated traditional knowledge.

	Configuration of the activities envisaged and the results to be achieved is satisfactory, despite problems with some indicators that should be corrected. The activities are correctly focused on results, which are in compliance with the impacts and Theory of Change presented in the project description.
Project implementation and progress	The mid-term review is being carried out in the last year of execution. Project activities are delayed in relation to the execution schedule. Despite PMU efforts to execute the activities, there was an interruption of various initiatives during the second half of 2020, and first six-months of 2021 on the initiative of the Project Technical Coordination Unit (DPB/SBio/MMA). Annual Planning for 2021 has not been prepared until the date of this review. The majority of the objectives have not been achieved, and there are clear risks to achieving these, due to appropriation difficulties and project continuity arising from the TCU.
Adaptive management	The project team worked tirelessly to by-pass obstacles and delays. Adaptations and hiring technical reinforcement to support execution were made. However, in the 2020/21 period, there was a clear mismatch between PMU/ UNDP and new TCU management, and evidence of this is presented in this report. Requests for cancelling contracts and interrupting programmed activities are outside the scope of management efforts by the PMU.
Financing	Project execution has been delayed, and there is an expressive amount of resources which have not been disbursed. Devaluation of the real against the dollar during the period 2018 – 2021, and the slowdown in carrying out the activities envisaged meant that only two disbursements have been made until the time of this report. The lack of annual planning for 2021 prevents a forecast of expenditure for this year, as well as planning for the co-financing.
Stakeholder engagement	Representatives of indigenous peoples, traditional communities and family farmers on the CGen, and CGen Sector Chamber, demonstrated a great lack of knowledge on the project, its objectives and logic. There was a lack of distribution of project information, within the scope of the CGen, to group representatives. The research institute representatives on the CGen demonstrated a little more project knowledge, but there are no periodic updates on the project on this council. There was little dissemination of the project to civil society. There was good coordination of operational partners for the training that has been held.

#### Chart Summarizing Recommendations

Results	Recommendation	Responsible
C1	ABS National Regulatory Framework	
C1.3	Resume contracting a study to investigate the Brazilian biodiversity market, and potential of the resources to be invested in the National Benefit Sharing Fund	MMA/ UNDP



Results	Recommendation	Responsible
	Alter the goal of result/product 1.3, defining a <b>number of people to be trained</b> from IPTCFF groups, legal practitioners, company representatives, public officials and academic researchers, to quantify what is understood by “harmonized sectors”.	MMA/ UNDP / IDB
	Include training activities on ABS for the business sector and legal practitioners.	MMA/ UNDP / IDB
C2	Management of Knowledge and Information	
C2.1	Resume hiring process to prepare an Access and Benefit Sharing site, and other related contracts. The site could host Distance Learning (DL) courses, links and manuals for SisGen, links to articles and documents on national legislation, exchanges of experiences, and relevant Convention on Biological Diversity (CBD) material.	MMA/ UNDP
C2.2	Resume hiring process: <ul style="list-style-type: none"> <li>• Prepare SisGen manuals</li> <li>• Digital Certification Services</li> <li>• SisGen compatibility with other information systems</li> </ul>	MMA/ UNDP
C3	Capacity Building and Institutional Strengthening	
C3.1	Resume the contract to produce ABS content for the training cycles for key actors.	MMA/ UNDP
	Resume preparing online modules for continued ABS training programme, and maintain support during the training cycles.	MMA/ UNDP
	Resume activities to prepare the Pedagogical Training Plan (methodology) on Access and Benefit Sharing for indigenous peoples, traditional communities, and family farmers.	MMA/ UNDP
	Resume activities to prepare a pilot Community Protocol.	MMA/ UNDP
	Resume hiring process to negotiate materials for ABS contracts for IPTCFF and ATK users.	MMA/ UNDP
	Project Implementation and Adaptive Management	
	Resume the DGH technical team’s direct and official participation in project activities.	MMA
	Encourage the DGH technical team to have direct, daily communication with the PMU.	MMA/ UNDP
	Establishment of a “task force” with DGH /MMA analysts, along the lines of the first six months of 2020, together with PMU’s contribution to resume processes which were interrupted in 2020/2021.	MMA/ UNDP
	Planning (and incorporation into the logical matrix/work plan) of support activities for peer-educators , with support for specific regional workshops for indigenous peoples, traditional communities, and family farmers.	MMA/ UNDP / IDB
	Planning a workshop on the results of the Community Protocol establishment process, with mass participation by	MMA/ UNDP

Results	Recommendation	Responsible
	environmental analysts who should/could guide other processes, appropriating knowledge.	
	Closer and constant follow-up of the implementing agency on project execution.	IDB
	Sustainability	
	Engagement of CGen members and sector chambers in the Project, with six-monthly presentations on activity development and achievement of results.	MMA
	Preparation of an IPTCFF peer-educator action plan	MMA/ UNDP

## 1. Introduction

### 1.1 – Objective of the Mid-Term Review.

Reviews carried out during execution of a project are monitoring instruments which aim to identify challenges and prepare correction measures, to ensure that the project is on target to achieve the results expected with its execution. Therefore, the review should, necessarily, indicate the progress and advances made by the project by executing its activities, towards the expected results; clearly identify the problems found during execution, and to propose actions for any corrections required, within a wide range of areas.

At the end, the mid-term review report should map the project's history, update the risks, identify any problems, and the paths to be taken, so the project may achieve the planned results, which meet the concrete requirements of the country which executes it.

Thus, the mid-term review report should focus on:

- Evaluating progress against results.
- Monitoring implementation and adaptive management to guarantee results.
- Clear and opportune identification of risks to project sustainability.
- Emphasis on recommendations to correct problems, and starting discussions for project modifications, if necessary.

In turn, the measurements taken during the evaluation process were focused on advances in the delivery of results, to what extent the goals were achieved, and what are the chances of achieving them, considering the current implementation status. The report should provide an independent viewpoint and be prepared in a transparent way, and with broad participation from the teams engaged. However, its results will reflect the perspective of the consultant responsible for the analyses.

In the case of Project BRA/18/003, as part of the monitoring and evaluation policy of projects that are funded by the Global Environment Facility, this mapping of executing activities, results and the obstacles to be overcome is a coordinated set of information related to the performance of three components, which will be presented throughout the report.

### 1.2 - Scope and Methodology

#### Scope

In accordance with the term of reference that guides the mid-term review of Project BRA/18/003 (see appendix 1), its scope is made up of the content provided below. In order to facilitate identification of the items throughout the document, the table below lists the points requested in the Term of Reference (ToR), and the respective pages:

Scope items (ToR)	Sections
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a. Determine and evaluate project progress, qualitatively and quantitatively identifying the physical and financial results <sup>4</sup> of the products achieved. The GEF evaluation criteria should be considered: efficiency, effectiveness, relevance, sustainability, and impact;	3.4 3.7 3.13 4
b. Evaluate the efficacy and efficiency of project execution, identifying any obstacles to its satisfactory and timely execution, with proposals for any adjustments to the design, and any other aspects required to achieve the objectives agreed within the project scope. Conduct an analysis of the sustainability of investments, and efficacy in its development, and the positive added values.	3 4 5
c. Carry out an analysis of compliance with the results matrix and vertical logic of the project: establish a relation between the results obtained mid-term, and what was planned, in order to identify if what was proposed for the project will effectively contribute to achieving its objectives; evaluate the design and indicators formulated for the project and monitoring instruments.	2.4 3.1 3.2 3.3 3.4
d. Analyse the reach of the projected performance indicators and objectives, considering: (i) comparison of performance in relation to the projected indicators and goals; (ii) if current performance indicates the probability of achieving the purpose of the project (specific objective); (iii) whether there were any unplanned effects, or not; (iv) the main issues that affect project implementation; (v) the adjustments made or proposed for the project to accommodate these problems, including technical, institutional, financial and economic considerations.	3.4 3.5 3.6 3.12 3.13 4 4.3
e. Analyse the <i>pari passu</i> of the application of parallel funding (co-financing), and adequate coordination between the activities financed by the IDB/GEF Fund, and those executed with resources from beneficiaries' parallel funding.	3.7
f. Evaluate the relevance and contribution the activities envisaged in the project to implement public policies, correlated plans and programmes, and identify any measures to increase the synergy between the project and initiatives with converging objectives. The evaluation should consider: (i) if the project design is adequate for solving the problem(s) in question; and (ii) the internal and external factors that influenced the capacity of beneficiary groups and stakeholders of achieving the intended objectives;	2.2 2.4 2.4 3.9 3.11 3.12 3.13 4.1
g. Evaluate evidence of the sustainability of actions and direct and indirect project results, in environmental, institutional and financial terms, by their incorporation in public policies. The following should be evaluated: (i) if the mid-term financial, environmental, socio-economic and institutional risks have changed; and (ii) if this could be an obstacle to bringing the project to a close;	3.12 3.13 4
h. Analyse the institutional arrangements defined for project implementation, identifying any restrictions to executing the activities and opportunities to improve the operational and monitoring instruments. The evaluation should also analyze the level of collaboration and project complementarity with partners and local actors (environmental companies, community organisations, and civil society organisations, among others), highlighting the commitments, roles and responsibilities they have acquired;	2.5 2.6 3.5 3.6
i. Review the Tracking Tools (TTs) of the focal area of the original biodiversity approved during CEO Endorsement, and update them based on investigations undertaken with corresponding stakeholders <sup>5</sup> .	
j. Present the lessons learned in the framework of the mid-term review undertaken, identifying possible alternatives to improve the project, which may include adjustments to	5

<sup>4</sup> Including the total project value, stipulated in the only appendix of the Cooperation Agreement (IDB/GEF Funds, Contribution and Co-financing).

<sup>5</sup> - This project received and exemption from preparation and follow-up GEF Tracking Tools, as demonstrated in Appendix 10.

the project's schedule of activities, and implementation and budget arrangements, among others.	
k. Analyze and propose an update of the risks identified in the project, and an update of the Risk Management Matrix (RMM);	3.12
l. If pertinent, evaluate if the project gender strategy and its implementation plan are aligned with GEF Gender Policy and the Action Plan.	3.3
m. Based on the analyses above, the consultancy services should prepare key-recommendations, focused on the modifications required for the project to overcome obstacles, in order to ensure implementation of the instruments developed by the project, and the sustainability of its benefits. The recommendations should contain proposals of adjustments required in the design, technical, financial, economic and institutional structure to execute the project.	5
n. Identify or propose the corrective and strategic actions required to efficiently achieve the planned products, including adjustments to the institutional arrangements, the operational and monitoring instruments of each component and measures, to improve supervision.	5
o. Identify or propose/present any adjustments to the objectives, strategies, components and activities, with a view to readjusting the project, also considering the current legal, institutional, political and sanitary context in the country related to the Covid-19 pandemic.	5
p. Present a readjustment of physical and financial targets, also considering the availability of financial resources.	5

The final result includes the conclusions based on evidence, linked to a set of objective recommendations of measures to overcome the obstacles to Project development.

## Methodology

The working methodology, i.e. the way of developing activities and approach of the mid-term review is organised from two central sources of information: analysis of project documents, and semi-structured interviews with the actors engaged in the activities, and beneficiaries.

The analysis of documents (project documents, six-monthly reports, products, institutional letters, and exchanges of messages, etc) aims to provide documented evidence of project development, the difficulties identified, and advances in relation to the expected results.

This information is complemented by interviews conducted with various actors and project beneficiaries. The interviews provide the context of the actions and dynamics for executing the activities.

The combination of document analysis with interviews enables the information registered in the reports to be clarified, to contextualize the processes and situations experienced by the project team, identify the need for complementary data and qualify the information recorded in the six-monthly Project Information Reports. Appendix 2 presents the matrix of guiding questions for the Mid-Term Review (MTR), in line with Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF – Financed Projects.

The methods and sources of information were categorized in the following way:

Sources/Methods	Evaluation use
Analysis of Project documents: Project Identification Form (PIF), UNDP Project Document (PRODOC), IDB and GEF documents.	Basic information on the project objectives, products and results expected, project planning matrix, management configuration and project alignment with the country's sectoral policy.
Analysis of UNDP planning and monitoring tools: six-monthly Project Information Reports (PIRs), Annual Work Plans, audit reports, disbursement request form and accounts.	Development of project activities over time, planning changes, reach of results and goals, disbursements and costs in relation to the execution of activities, identification of risks and measures taken to avoid them, and corrections made to guarantee execution.
Samples of activity reports and activities and documents generated by contracts.	Verify the development and impact of planned activities.
Interviews with teams engaged in the Project. Group and individual interviews: PMU, TCU, and IDB teams.	Obtain the context of project development during execution, clarify information, obtain different points of view to understand the challenges and difficulties in executing and/or planning the project, and identify the sustainability context.
Interviews with partner agencies (Brazilian Cooperation Agency and other relevant partners) and institutions contracted by the Project).	Verify project alignment with national sectoral policy, confirm partner participation, obtain the vision of developing activities by entities and consultancy firms contracted by the project.
Interviews with beneficiaries.	Evaluate project initiatives and results, identify the envisaged and unforeseen impacts of the activities, verify the audience's awareness level of the project, and links made to achieve the expected results.

#### **Limitations related to the methodology used and the work context of this mid-term review:**

The mid-term review was conducted between April and June 2021, and was completely online due to the travel restrictions caused by the Covid-19 pandemic. Face-to-face interviews were not possible with the project teams or beneficiaries. Face-to-face interviews were replaced by online interviews. However, no disadvantage was noticeable in the flow of information with the replacement of face-to-face interviews by online meetings. It is possible that the online meetings also made the interviewees more at ease to freely express their impressions of the project. Two of the interviewees preferred to not turn on their cameras, and were more comfortable about speaking as a result.

On the other hand, all the documentation requested for the MTR process was promptly made available by the UNDP team. Other complementary documents (emails) were sent by stakeholders. No gaps in documentation were noted during the evaluation process.

The greatest limitation was the time available to evaluate consultancy and contract products. However, this type of evaluation is secondary, since the products and contracts had already been validated by the PMU and TCU teams, and an external audit.

The consultancy work was guided by United Nations Evaluation Group (UNEG) evaluation best practices. The texts used as a reference are available in Appendix 20.

### **1.3 Mid-Term Review Report Structure.**

This report is organised in accordance with the Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF-Financed Projects, prepared by the UNDP and GEF in 2014. Thus, the report is divided into the following parts:

- Executive summary: with a summary of the mid-term review.
- Presentation of the way of developing the mid-term review, its methodology and objectives.
- A summarised description of the project structure, including problems on which the project seeks to act, objectives to be achieved, indicators established, and the main stakeholders;
- Findings (project achievements): includes analysis of the project strategy and design, its progress against planned results, description of the various aspects of its implementation (planning, financing, management arrangements, partner engagement, challenges faced and schedule) and sustainability perspectives.
- The objective conclusions and recommendations prepared in the evaluation process, based on concrete evidence and related to the various implementation aspects.

The appendices contain the summarized project information tables, lists of interviewees and documents used, mid-term review guidance documents, and concrete evidence of evaluation conclusions, which form the basis of the recommendations.

### **1.4 Evaluation Criteria and Key Issues Analysed**

The mid-term review is based on four evaluation criteria which are applied in the project development analysis:

**Relevance** – This criterion is related to the role of the project in the effective implementation process of the Nagoya Protocol in Brazil, which is an international commitment signed by the country together with the Convention on Biological Diversity. It seeks to identify the point to which the design of the intervention and intended results are consistent with local and national environmental priorities and policies, and GEF strategic priorities and objectives, and remains coherent, despite changes in the context during execution.

**Efficiency** – Evaluation of efficiency includes a preliminary analysis of the results and impacts in relation to inputs, implementation costs and time, considering if the project was economical and the cost -v- time relation of its execution. Until what point the intervention produced benefits, considering the resources used. Was the project able to convert the inputs (funds, staff, experience and equipment, etc.) into results in the most appropriate and less onerous way possible?

Effectiveness – The evaluation aims to understand up to which point the intervention achieved, or expects to achieve, results (products, results and impacts, including global environmental benefits), taking the main influencing factors into consideration.

Sustainability – The continuation or probable continuity of the positive effects of the intervention after its completion and its potential for being scaled-up and/or replicated; the interventions need to be environmentally, institutionally, financially, politically, culturally and socially sustainable.

## **2. Project Description and its Development Context**

### **2.1 - Context**

The Convention on Biological Diversity (CBD) was opened for signature at the 'Earth Summit' held in Rio de Janeiro in 1992, coming into effect in 1993. The CBD is guided by three objectives: the conservation of biological diversity; sustainable use of its components; and the fair and equitable sharing of benefits arising from the use of genetic resources. The CBD explicitly recognizes the sovereign right of states to discipline the use of genetic resources under its jurisdiction, in accordance with its environmental policies. In addition, it requires all signatory parties to take legislative, administrative or political measures to guarantee the fair and equitable sharing of the results of research and development and benefits resulting from the use of genetic resources.

In order to put the third CBD objective into practice, Access and Benefit Sharing (ABS), the Nagoya Protocol (NP) was approved on 29<sup>th</sup> October, 2010, coming into effect on 12<sup>th</sup> October, 2014. The NP provides a set of international regulations, which may facilitate access and benefit sharing, decisively contributing to the conservation and sustainable use of biodiversity.

The NP provided greater legal security and transparency to providing countries and users of genetic resources and associated traditional knowledge. In addition, it establishes provisions on access to the traditional knowledge of indigenous peoples and local communities which are associated with genetic resources, improving the perspectives of these communities benefiting from the use of their knowledge and practices.

Its approval by National Congress took place on 8<sup>th</sup> August, 2020. On 4<sup>th</sup> March 2021, Brazil deposited the ratification instrument of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization at the United Nations, which came into effect nationally on 2<sup>nd</sup> June, 2021.



## **2.2 Problems the Project Sought to Address.**

Ratification of the Nagoya Protocol obligated the country to establish a transparent regulatory framework to implement a national ABS regime. Thus, the country should harmonize its national regulations on access, the use of genetic resources and associated traditional knowledge and sharing the benefits produced, and disseminate the knowledge required between the relevant actors, who are as follows:

- providers (also called holders) of associated traditional knowledge of genetic heritage – indigenous peoples, traditional peoples and communities, and family farmers;
- users, research institutions and companies with interests in the development of products utilizing genetic resources;
- government enforcement authorities and legal practitioners who regulate processes to access, utilize and share the benefits of genetic resources and associated traditional knowledge.

The new ABS regime was proposed with the aim of making procedures to access genetic resources and associated traditional knowledge less bureaucratic, promoting and encouraging the advance of scientific research and national industry, and protecting the knowledge of the indigenous peoples, traditional peoples, communities, and family farmers identified in legislation as holders of associated traditional knowledge. In its preparation, it was understood that the establishment of clear rules on accessing and sharing benefits would reduce transaction costs, resulting in high values raised as benefit sharing, which should be applied to sustainable use strategies, the conservation of biodiversity, and the protection and safeguard of associated traditional knowledge.

The “Capacity Building and Institutional Strengthening of the National Framework for Access and Benefit Sharing under the Nagoya Protocol” Project, is a partnership between the Inter-American Development Bank (IDB), Ministry of the Environment (MMA) and United Nations Development Programme (UNDP). Its objective is to support Brazil in the effective implementation of its new legal and national regulatory framework, and the institutional capacity and governance required for the management of access and benefit sharing arising from the economic exploitation of finished products or reproductive material obtained from access to genetic heritage and/or associated traditional knowledge (ATK). It has the additional purpose of supporting the advancement of knowledge of public officials, holders of associated traditional knowledge, and users of genetic heritage and ATK, enabling the country to fulfil the terms set out in the Convention on Biological Diversity and Nagoya Protocol, which is now in effect.

The mid-term review considered the purpose of the Project, considering the context and national demand due to the highly relevant and coherent need for the effective implementation of the Nagoya Protocol in Brazil.

## **2.3 Project Objectives and Expected Results**

The project foresees the achievement of the following specific objectives:

- I. supporting the formulation and enactment of regulations that allow the new national law that regulates ABS to be implemented, which favour ratification of the Nagoya Protocol by Brazil;
- II. supporting the development and implementation of essential legal, administrative and technological instruments and the institutional capacity to share information, and administer the national ABS mechanism; and
- III. increasing main stakeholder knowledge and capacity in Brazil, including the exchange of information at the regional and international level.

The objectives should be achieved by developing activities organised in three components:

### **1. ABS National Regulatory Framework.**

This component aims to establish the new Regulatory Framework for Access and Benefit Sharing, through a combination of key-instruments and studies, increasing awareness and the creation of capacity, which form the fundamental factors for the effective implementation of the Nagoya Protocol by Brazil, and new ABS legislation.

The activities executed are: (i) national, regional and international dialogue meetings, awareness campaigns, and strengthening institutional capacity, focused on stakeholders, in order to promote an environment favourable to the implementation of new ABS legislation and the Nagoya Protocol by Brazil; (ii) development of two key provisions of the national ABS law and Nagoya Protocol: the National Benefit Sharing Fund (NBSF) and regulations to harmonize the Nagoya Protocol, with national laws and standards in key sectors, including traceability mechanisms (e.g., control points and authorization for the government and indigenous peoples and local communities to monitor the use and sale of genetic resources, as per the terms of Articles 15 and 17 of the Nagoya Protocol); (iii) technical studies to support improvement of the ABS Institutional System, focusing on new competencies and activities for the Genetic Heritage Management Council (CGen), and integrating its systems with databases and systems of other government bodies with responsibilities within the scope of the national ABS law; and (iv) strengthening the institutional structure to support the CGen.

### **2. Management of Knowledge and Information.**

This component aims to provide the appropriate conditions and management instruments to facilitate the dissemination of knowledge, to encourage the registration processes and authorisation of access activities, and make available the notification channels coherent with the requirements of the Nagoya Protocol, through development and implementation of the internet-based digital instruments required. The following activities, among others, are envisaged: (i) development, implementation and improvement of the National System for the Management of Genetic Heritage and Associated Traditional Knowledge – SisGen, and an integrated and advanced internet-based ABS site (national information exchange mechanism), which mirrors and complements the Access and Benefit Sharing Clearing House, established in accordance with Article 14 of the Nagoya Protocol; (ii) collection and organisation of information on ABS required to feed the ABS site and SisGen; (iii) development of an access traceability system; (iv) manuals and instructions for users and providers of both systems and the site; and (v) technical requirements to incorporate the management system and site.

## **Capacity Building and Institutional Strengthening.**

This component aims to increase the awareness, capacity and skills of the various stakeholders in Brazil, so they may take full advantage of the opportunities that the ABS regime has to offer. In order to maximise its effectiveness, the training will concentrate on training peer-educators on knowledge and information on the new ABS system and the main stakeholders: male and female representatives of indigenous peoples, traditional communities, and family farmers, as providers of associated traditional knowledge (ATK), and potential local users of genetic heritage and associated traditional knowledge, such as researchers, entrepreneurs, and start-ups.

Training activities will focus on improving the capacity to negotiate ABS contracts, the benefits and implications of a new ABS legal and administrative framework, and operation of the system. Key government staff and employees of the Judiciary should also receive training to operate as peer-educators in the creation of regulatory and administrative capacity in ABS procedures.

The activities to be carried out, among others, are as follows: (i) instruction and training materials on the new Brazilian legal framework for all the key actors of the national ABS system, such as public officials, legal practitioners, researchers and science and technology institutions, companies and indigenous peoples, traditional communities, and family farmers; (ii) awareness campaigns and peer-educator training programmes for indigenous peoples, traditional communities, family farmers, and other stakeholders, in ABS operation, negotiation skills, and participation in benefit sharing projects; (iii) methodological guidelines as a tool to acquire prior informed consent; and (iv) formulation and preparation of a pilot Community Protocol as the basic model for ABS agreements involving associated traditional knowledge, with prior informed consent, mutually agreed terms, and benefit sharing, according to the terms of the national ABS law and Nagoya Protocol.

## **2.4 Project Logic**

The project facilitates implementation of the Nagoya Protocol, with the fair and equitable sharing of the benefits arising from the utilization of the genetic resources of biodiversity and associated traditional knowledge, within the scope of legislation and the Brazilian context.

In order to achieve this objective, the project operates in three areas:

- Structuring the components required set out in national legislation to operate the ABS system: supporting the organisation and operation of the National Benefit Sharing Fund, strengthen the institutional capacity of the Genetic Heritage Management Council (CGen), and supporting harmonization between the protocol and national standards.
- 
- Development and support of management mechanisms and dissemination of information to guarantee the legal use of genetic resources and associated traditional knowledge: the National System for the Management of Genetic Heritage and Associated Traditional Knowledge (SisGen) and information site to guide providers and users.

- Train public officials (enforcement), members of research institutions (users) and indigenous peoples, traditional communities, and family farmers (holders of associated traditional knowledge and genetic resources).

## **2.5 Project Implementation Arrangements**

The project is executed by the UNDP in the form of Direct Implementation, in partnership with the Inter-American Development Bank – IDB, the project's implementing agent, together with the GEF. The Ministry of the Environment, the main project beneficiary, operates as the Technical Coordinator, through the Department of Genetic Heritage at the Biodiversity Secretariat.

The UNDP is responsible for project planning, administrative and financial management, technical follow-up, monitoring and evaluation.

The MMA is responsible for guaranteeing general strategic guidance and technical coordination of the project, in addition to coordination with local and indigenous communities for awareness-raising and training activities, as envisaged in Component 3, and with other government agencies relevant to project implementation.

Preparation of planning documents, terms of reference, and six-monthly reports is a joint UNDP and MMA activity.

In addition to the partners described above, the Brazilian Cooperation Agency (BCA), a body of the Ministry of Foreign Affairs, is responsible for following-up the development of project activities and meetings between the implementing (IDB), executing (UNDP) and technical guidance (MMA) agencies.

The project budget is USD 4,401,931 (four million, four hundred and one thousand, nine hundred and thirty-one American dollars), funded by the Inter-American Development Bank – IDB (IDB /GEF Fund). A further USD 4,401,931 (four million, four hundred and one thousand, nine hundred and thirty-one American dollars) of a non-financial nature were mobilised by the Ministry of the Environment, which are not listed in this budget, and are reported by the MMA to the IDB, through co-financing reports.

The time for execution envisaged for the project is 48 months, in accordance with the Project Identification Form (PIF). The first year of execution was 2018, and its completion was originally envisaged as 2021.

## 2.6 Main Stakeholders

Implementation of the Nagoya Protocol is of interest to a wide range of diverse actors, all related to the access, utilization and benefit sharing of genetic resources, and associated traditional knowledge.

The table below presents a list of project stakeholders.

Stakeholders	Position/interest
Providers	
Indigenous peoples, traditional peoples and communities, and family farmers	The groups produce and master the traditional knowledge associated with genetic heritage, which means a dominion of knowledge that serves as shortcut for research on genetic resources. Therefore, these groups should benefit from sharing the commercial utilization of GRs, through benefit sharing agreements. Thus, the group is a priority in project execution
Supervision and control on access, use, and benefit sharing	
IBAMA and the Federal Police.	Enforcement bodies
Department of Genetic Heritage of the MMA, Biological Diversity Secretariat	Responsible for chairmanship of the Genetic Heritage Management Council (CGen), a deliberative body that regulates the National Framework for Access and Benefit sharing originating from GRs.
FUNAI	Body of the executive power responsible for guaranteeing the rights of indigenous peoples.
6th Chamber of the Federal Public Prosecution Service	Bodies which defend minority rights.
Users of Genetic Resources	
Academia	National and international research institutions interested in investigation and development
Companies	Private national and international companies that develop GR products

## 2.7 – Review of Safeguards

### Analysis of the Project's socio-environmental safeguards

The analysis provided below is an update of the Social and Environmental Screening Template document (see Appendix 6).

a – Project alignment in relation to a human right based approach.

PRODOC description is coherent with the approach, which respects and values human rights. No deviation from this approach was identified during project activities.

Among other objectives, the project aims to guarantee the rights of minorities related to associated traditional knowledge of genetic heritage, ensuring the fair and equitable sharing of the benefits produced from their use.

b – Project relation with gender equity and women's empowerment.

PRODOC satisfactorily describes the topic. The project supports the access mechanisms, protection and sharing the benefits produced by the use of genetic resources and associated traditional knowledge. Therefore, it does not have any relevant impacts on gender issues. In its planning, the project incorporates concern with ensuring the equal participation of men and women who have benefited from their activities, mainly the training processes. Holding these activities has demonstrated that this concern has been put into practice.

Implementation was carried out in accordance with the alignments described.

The project equally includes men and women as its beneficiaries. The *in locu* training activities for peoples and traditional communities include adaptation for equal gender participation.

c – Description of the project's environmental sustainability approach.

On account of the topic and its approach, the project received category C from the Inter-American Development Bank, which requires implementing environmental monitoring. The activities do not have a direct relation with the environment.

The project aims to strengthen a system of biological diversity protection mechanisms, in accordance with the Convention on Biological Diversity and Nagoya Protocol, ratified by Brazil.

**Project's position in relation to IDB Operational Policies on Indigenous Peoples (PPI).**

The project is categorized in "Positive Inclusion Projects: which are operations or projects in any sector, for which there is the possibility of including indigenous peoples as the target audience (having positive impacts or benefits for indigenous peoples) through specific components or actions and without any major potential adverse impacts for these peoples."<sup>6</sup>

The table below updates the project classification in the IDB safeguards related to indigenous peoples

IDB Safeguards	Relation with the project
<b>Territories, land and natural resources.</b> The operations which directly or indirectly affect the legal situation, ownership or management of territories, land, or natural resources traditionally occupied or used by indigenous peoples	The project is not developed on indigenous land and territories. The project includes a set of protection mechanisms for traditional knowledge associated with biological diversity. Therefore, it should positively affect the lives of indigenous peoples, traditional communities, and family farmers.
<b>Indigenous rights.</b>	The project aims to strengthen the mechanism that ensures the rights of

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<sup>6</sup> IDB - OPERATIONAL GUIDELINES. OPERATIONAL POLICY FOR INDIGENOUS PEOPLES (PPI), 6<sup>th</sup> October, 2006, item 2.17 - b (p12). This document presents the following description for projects of this type: "The promotion of positive inclusion in the PPI. When these opportunities are identified, these projects will seek to promote and support the beneficiary countries or the proponents of these projects, to make the appropriate adjustments to meet the needs and opportunities of the development of indigenous peoples, mainly with regards to: (a) respect for traditional knowledge and cultural, natural and social heritage, and their specific systems in the social, economic, linguistic, spiritual and legal spheres; and (b) adapting services and other activities to facilitate the access of indigenous beneficiaries, including equal treatment and, when feasible, the adaptation of procedures, criteria, training programmes and compensation due to exclusion "(p.15).

	indigenous peoples, traditional communities, and family farmers, on the fair sharing of the benefits arising from the use of traditional knowledge associated with genetic resources.
<b>Prevention of exclusion for ethnic reasons</b>	Not applicable.
<b>Culture, identity, language and traditional knowledge of indigenous peoples</b>	<i>Idem</i> indigenous rights
<b>Cross-border indigenous peoples</b>	Not applicable
<b>Indigenous peoples not contacted</b>	Not applicable.

Monitoring in accordance with the GEF instrument – tracking tools was not required, according to a review of the project design carried out by the GEF (Appendix 10).

### 3. Mid-Term Review (Findings)

#### 3.1 Project Strategy

The question which guides analysis of the project design is as follows: “How was the original project planning prepared to achieve the expected results?”

Three types of document were analysed to answer this question: the Results Matrix (see Appendix 7) which organises the components by expected results, indicators and goals; the Acquisition Plan, which presents the specific activities to be carried out throughout the project, and six-monthly execution reports.

The activities planned in the project documents were verified in relation to the level of coherence with the results expected. The table below presents an overview of the general and specific activities organised, in accordance with the results expected for each component. The numbering used is the same as for project documents.

Analysis of adequacy of the project design

Results expected	Activities	Specific activities	Analysis
1.1. Nagoya Protocol (NP) ratified by the legislative authority	1.1.1 Dialogue meetings, awareness-raising campaigns, capacity building and institutional strengthening addressed at stakeholders and policy formulators, to promote an environment favourable to implementation of new ABS legislation and the Nagoya Protocol by Brazil.	4 international workshops to exchange experiences with best practices and management of the ABS system and NP.	Coherent with project objectives. The exchange of experiences adds knowledge to the national system and provides support to other countries. However, the project needs to advance with planned execution, to retain the coherency of conducting exchanges.
		Side-events: international workshops at COP-MOP 2018 to present the project.	Coherent with project objectives. The exchange of experiences adds knowledge to the national system and provides support to other countries.
		Side-event at SBSTTA to present the GEF-ABS project.	Coherent with project objectives. The exchange of experiences adds knowledge to the national system, and provides support to other countries.
1.2. Regulatory and national institutional framework approved and operational	1.2.1 Development of two key provisions of the national ABS law and Nagoya Protocol: the National Benefit Sharing Fund (NBSF) and regulations to harmonize the Nagoya Protocol with national laws and standards in key sectors.	Consultancy services propose rules for operation of the National Benefit Sharing Fund (NBSF)	Coherent with project objectives. The establishment of a national fund that centralizes resources is required, in order to share the benefits of the use of GR and ATK.



Results expected	Activities	Specific Activities	Analysis
1.3 Key productive sectors with standardised regulations and procedures harmonized with ABS law, and the NP	1.3.1 Technical studies to support improvement of the institutional ABS system, with a focus on new competencies and activities of the Genetic Heritage Management Council (CGen) and integration of its systems with databases and systems of other government bodies with responsibilities within the scope of national ABS law	Hold 2 training cycles for public officials; 1 training cycle for researchers and technological institutions; 1 workshop for indigenous peoples and traditional communities, and 1 interface symposium between holders of ATK, academia, companies, and the government.	Coherent with project objectives. Considering the target audience of the CGen sectoral chambers and CGen, continuity of the council strengthening process is required.  Component goal: “5 sectors harmonized with the Nagoya Protocol (public officials, legal practitioners, traditional peoples and communities, researchers and the business sector)”.
	1.3.2 Strengthen the CGen institutional support structure		
2.1 ABS Clearing-House Mechanism notification channels accessible to users and in operation	2.1.1 Development and introduction of the National System for the Management of Genetic Heritage and Associated Traditional Knowledge – SisGen, and an integrated, advanced internet-based ABS site (national information exchange mechanism) which mirrors and complements the Access and Benefit Sharing Clearing House	Hire a company to develop the site.	Coherent with project objectives. The site is an important instrument to disseminate ABS information. It has multiple uses, and may reach a wide audience, with general and specific content for researchers, companies, and peoples holding traditional knowledge, etc. Preparation and operation of the site are essential for the result expected.
	2.1.2 Collect and organize information on ABS required to feed the ABS site and SisGen	Contract consultancy services to prepare specific material for the site.	Coherent with project objectives. Activity complements the previous one.

Expected results	Activities	Specific activities	Analysis
2.2 National ABS Electronic Management Systems in use by stakeholders.	2.2.1 Development of an Access Traceability System	Hire a consultancy firm	Coherent with project objectives. SisGen improvement is essential to control access to GRs and ATK.
	2.2.2 Instruction manuals for users and providers of both the systems and site	Hire a consultancy firm	Coherent with project objectives. Activity complements the previous one.
	2.2.3 Technical requirements to incorporate the management system and the site	Hire a consultancy firm	Coherent with project objectives. Activity complements the previous ones.
3.1 Public officials, legal practitioners, researchers and science and technology institutions, companies and indigenous peoples, traditional communities and family farmers trained on ABS mechanisms and procedures on face-to-face and DL courses.	3.1.1 Instruction materials and training for the participation of holders of associated traditional knowledge in local ABS projects.	Hire a consultancy firm to develop training materials.	Coherent with project objectives. IPTCFF training requires specific materials for this group of beneficiaries.
	3.1.2 Awareness-raising campaigns and programmes to train peer-educators for indigenous peoples, traditional communities, family farmers, and other stakeholders on implementing ABS and negotiation skills	Hold training cycles. Hire a consultancy firm to prepare materials for peer-educators. Planning and support for peer-educator activities.	Coherent with project objectives. The dissemination of knowledge on prior informed consent and negotiating benefit sharing agreements is essential for the operation of the Nagoya Protocol. This process will be started by the project, with the training of peer-educators among the IPTCFFs.
	3.1.3 Methodological guidelines as a tool to disseminate best practices, in order to acquire prior informed consent	Hire a consultancy firm for participative preparation of the Pedagogical Training Plan.	Coherent with project objectives. The base for IPTCFF training and establishment of peer-educators peer-educators should be a participatively constructed pedagogical project, in order to adapt the methodologies for the various groups of beneficiaries.

	3.1.4 Formulation and preparation of a pilot Community Protocol, as the basic model for ABS agreements involving associated traditional knowledge, with prior informed consent, mutually agreed terms, and benefit sharing, in accordance with the terms of the national ABS law and Nagoya Protocol.	Hire a consultancy firm for the participative preparation of the Community Protocol	Coherent with project objectives. The Community Protocol is an instrument that will make viable authorized access to ATK related to genetic resources. It is a base to make the NP feasible.
4.1 Management, Monitoring and Evaluation systems are implemented	4.1.1 Conduct project management and monitoring	Hire an auditing firm. Preparation of Project Information Reports. Hire an assessment consultant.	Coherent with project objectives.

### 3.2 Analysis of the Guiding Questions<sup>7</sup> on the Original Project Design.

The following questions provide complementary information on project design. The coloured marking at the side signals a positive or negative response in relation to the specific content.

- ✓ a. To what extent were lessons from other relevant projects were incorporated into the design of the evaluated project?

The Project Identification Form (PIF) and PRODOC do not mention any links with others relevant projects. However, the PIF mentions an accumulation of experience related to the objectives of Component 3, with regards to training indigenous peoples and traditional communities to prepare Community Protocols, ABS training processes addressed at these peoples, and other actors. The initiatives identified involve various government organizations (MMA, Ministry of Foreign Affairs (MRE), FUNAI and the Ministry of Agrarian Development – dissolved), private sector (Avina Foundation and Companhia Vale – mining company), Amazon Cooperation Treaty Organization (ACTO) and the NGO: Amazon Working Group (GTA). b. To what extent is the project focused on national development priorities?

- ✓ The project supports the concrete implementation of an international commitment of Brazilian interest, ratified by Parliament, and approved by the Executive Authority. Brazil is a provider country and user of genetic resources and associated traditional knowledge, with a concrete interest in regulating the access, use and benefit sharing generated by its GR. The project is clearly aligned with national priorities on the topic.

- ✓ c. What is the prospect of project sustainability and viability (considering its original planning) and what are the relevant externalities that may interfere in its execution strategy?

- ✓ The original project design demonstrated viable execution, due to the coherence of activities in relation to the expected results. The results to be produced have great sustainability potential, since the CGen strengthening activities, SisGen improvement, making information available on ABS on a site, and stakeholder training courses (including the establishment of peer-educators among indigenous peoples, traditional communities, and family farmers) are all structuring activities to disseminate knowledge. The relevant externalities which may negatively interfere in the execution are analysed in the risks section (Item 3.12, risks update). d. Verifying the project position in relation to issues on the “Social and Environmental Screening Template” (see Appendix 6 for Project Document responses).

This session aims to verify the relation between the project structural and social and environmental risks previously listed by the UNDP. Verification is achieved using questions in chapter 3 of Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF-Financed Projects<sup>8</sup>.

#### **First part: integrating comprehensive principles to strengthen social and environmental sustainability**

- ✗ d.1 – Is the project correctly aligned with a human right based approach?

PRODOC description: coherent.

<sup>7</sup> - Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF – Financed Projects.

<sup>8</sup> - [https://procurement-notice.undp.org/view\\_file.cfm?doc\\_id=49928](https://procurement-notice.undp.org/view_file.cfm?doc_id=49928)

Among other objectives, the project aims to guarantee the rights of minorities related to their traditional knowledge, associated with genetic heritage, ensuring the fair and equitable sharing of the benefits produced from their utilization.

d.2 - Project relation with gender equality and women's empowerment.



Satisfactorily answered in PRODOC.

The project equally includes both men and women among its beneficiaries. The *in locu* training initiatives for peoples and traditional communities is adapted for equal gender participation.

d.3 – Description of the project environmental sustainability approach.

Satisfactorily answered in PRODOC.

The project aims to strengthen a system of mechanisms to protect biological diversity, in accordance with the Convention on Biological Diversity and Nagoya Protocol, ratified by Brazil.

## **Second part: identification and management of social and environmental risks in the Project Document.**

d.4 – Will the project involve the use of genetic resources?

Satisfactorily answered in PRODOC.

Low level of importance. The project includes a comprehensive protection system for GR, not directly working with any GR.

d.5 – Could the project affect communities' human rights, land, natural resources and traditional ways of life?

Satisfactorily answered in PRODOC.

Moderate level of importance. The project includes a set of mechanisms to protect the traditional knowledge associated with biological diversity. Therefore, it should positively affect the lives of indigenous peoples, traditional communities, and family farmers.

d.6 – Does the project involve the use or commercial development of natural resources, or land related to indigenous peoples?

The level of importance marked by the Project Document is low. For this mid-term review: moderate level of importance, with positive impacts and probabilities. Although the project does not act in the direct use of natural resources, the mechanisms to protect and disseminate knowledge on ABS processes directed towards indigenous peoples and traditional communities will operate to produce the capacity for these groups to negotiate and protect their traditions. In other words, the project aims to positively impact IPTCFFs in the regulation and negotiation of their traditional knowledge associated with GR, considering its commercial use, to avoid improper access and use.

d.7 – Could the project affect the cultural heritage of indigenous peoples, traditional communities and family farmers through the sale or use of their traditional and practical knowledge?

The level of importance signalled by the Project Document is moderate. For this mid-term review: high level of importance. The project intends to act directly to protect traditional knowledge associated with biodiversity, which will impact the way that these peoples and groups deal with ATK. Strengthening and disseminating knowledge of free, prior and informed consent to access ATK, Community Protocols which provide the basis for possible consent, and negotiation to share the benefits, are fundamental parts of the project (Component 3). Production of this knowledge is a guarantee to protect the traditions of IPTCFFs related to genetic resources.

e. Decision-making processes: were the prospects of those who will be affected by project decisions, which may influence the expected results, and may contribute with information or other resources, considered during the preparation process?

The PRODOC advises that there was a considerable construction process on the control mechanisms to access genetic resources, in line with discussions that culminated in the approval of the Nagoya Protocol by the CBD. Brazilian legislation on the topic was prepared, incorporating a NP logic, which facilitated the preparation of Brazil for its ratification. The control and public policy preparation bodies, such as the CGen, were evolving with national legislation and incorporating representatives of process participants (traditional peoples, civil society, government, and research institutions, etc), in addition to expanding debates in the Sectoral Chambers that assist CGen deliberations.

However, the interviews with IPTCFF representatives on the CGen, and holders of ATK sectoral chamber, indicated that during discussions with the MMA and IDB consultant with these groups, at the time of its preparation, the objectives and reach of the results were presented in an overestimated way, as if they were the solution to demands for training, and the preparation of Community Protocols for indigenous and traditional peoples. The final project text and its reach were more restricted than the images that illustrate the negotiations, which generated a certain level of detachment and distrust by IPTCFF CGen representatives, who are one of the most important groups of project beneficiaries. The text presented in the PRODOC “Beneficiary Engagement” does not reflect the reality of the participation of this group during the project preparation process.



f. Gender relations in the project design

The project includes supporting mechanisms for access, protecting and sharing the benefits generated by the utilization of genetic resources and associated traditional knowledge. Therefore, it does not have any relevant impact on gender issues. In its planning, the project incorporates the concern for ensuring the equal participation of men and women who have benefited from its activities, mainly the training processes. Holding the activities demonstrated that this concern was considered.

### **3.3 SMART Analysis of the Project Logical matrix.**

The main focus of analysis of the project’s logical matrix was formulating the indicators and their respective goals. It is based on the following indicator qualities, and the initials form the word SMART:

- Specific: the indicators need to be clearly formulated and specify a future condition.
- Measurable: the indicators need to be formulated in such a way that they can be measured, allowing the provision of information on achieving the goals.
- Achievable: the indicators and goals need to be within the capacity and reach of partners who are committed to the project.
- Relevant: the indicators need to be related to a contribution towards national development priorities.
- Time-bound: the indicators and goals need to establish clear timeframes to be achieved, within the project duration.

The table below verifies the indicators and goals in the logical matrix, according to the original project design in the PRODOC.

## SMART analysis of the indicators and goals

### Component 1: Nacional ABS regulatory framework.

Results	Indicator	Goals	SMART	Comments
1.1. Nagoya Protocol (NP) ratified by the legislative authority*	Legal instrument approved	Year 1: not applicable. Year 2: Ratification of the protocol by the legislative authority, published in the Official Federal Gazette. Year 3: not applicable. Year 4: not applicable. Total: 01 legal instrument (ratification) approved.	✓	The indicator is in accordance with SMART criteria. However, the reach of the indicator is not directly related to project activities and cannot be attributed to project actions.
1.2. Regulatory and national institutional framework approved and operational	Number of approved regulations	Year 1: 01 (resolution by CGen and/or the NBSF Management Committee). Year 2: 01 (resolution by CGen and/or the NBSF Management Committee). Year 3: 01 (resolution by CGen and/or the NBSF Management Committee). Total: 03 regulations approved.	✓	The indicator is in accordance with SMART criteria. However, the reach of the indicator is only partially related to project activities (in the case of establishing the NBSF) and cannot be totally attributed to project actions. Resolutions by CGen or the National Benefit Sharing Fund (NBSF) Management Committee are independent of project activities. The indicator is not clear.
1.3 Key productive sectors with regulations and procedures which are standardized and harmonized with ABS legislation and the NP	Number of sectors [public officials, legal practitioners, Science & Technology (S&T) institutions, companies, and IPTCFFs] harmonized with the Nagoya Protocol	Year 1: not applicable. Year 2: 05 sectors harmonized with the Nagoya Protocol (1. public officials; 2. legal practitioners; 3. Researchers and science and technology institutions; 4. Business sector; 5. Indigenous peoples, traditional communities and family farmers) registered on the Project Information Reports. Year 3: not applicable. Year 4: not applicable.	✗	The indicator is not specific: "key productive sectors harmonized". The indicator is not measurable or achievable, due to the lack of objectivity. Although the sectors are named, the goals do not advise of the number of people who should take part in a project action in order to be considered "harmonized". The term "harmonized" does not define the change intended by the project. It would be "having knowledge" and "able to operate the NP"? The indicator is relevant in the project context, but lacks precision.



Component 2: Management of Knowledge and Information.

Results	Indicator	Goals	SMART	Comments
2.1 ABS Clearing-House mechanism notification channels are accessible to users and in operation	Number of visits to the ABS site: 410	Year 1: 80,000 visits/year to the site. Year 2: 100,000 visits/year to the site . Year 3: 110,000 visits/year to the site . Year 4: 120,000 visits/year to the site . Total: 410,000 visits/year to the site during the four years of project execution.	✓	The indicator is in accordance with SMART criteria. The reach of the goal stipulated for the first year is impaired by the time required to prepare and launch the ABS site. The goal should be counted from year 2 or 3, giving time for development of the ABS site.
2.2 National ABS Electronic Management Systems in use by stakeholders	Number of accumulated registers and notifications on SisGen: 9,119	Year 1: 1,715 registers (of access and/or remittance) and notifications. Year 2: 2,340 registers (of access and/or remittance) and notifications. Year 3: 2, registers (of access and/or remittance) and notifications. Year 4: 2,600 registers (of access and/or remittance) and notifications. Total: 9,119 registers (of access and/or remittance) and notifications Registered on SisGen during four years of project execution.	✓	The indicator is in accordance with SMART criteria. However, an old version of SisGen existed before the new one, which is being prepared within the project scope.

Component 3. Capacity Building and Institutional Strengthening.

Results	Indicator	Goals	SMART	Comments
3.1 Public officials, legal practitioners, researchers and science and technology institutions, companies and indigenous peoples, traditional communities and family farmers trained on ABS mechanisms and associated procedures on face-to-face and DL courses.	Number of male and female representatives from academia, companies and the government trained per year. Total: 232	Academia, company and government representatives: Total: 232 people trained during the four years of project execution. UNDP recommendation: a minimum of 30% of the people trained should be women.	✓	<p>The indicator is in accordance with SMART criteria. However, there is a disconnection between the expected results and the indicator. The expected results (and project logic) indicate the various groups to be trained:</p> <ul style="list-style-type: none"> <li>• public officials</li> <li>• legal practitioners</li> <li>• Researchers and S&amp;T institutions</li> <li>• companies</li> <li>• Indigenous peoples, traditional communities and family farmers.</li> </ul> <p>The indicator does not reflect all of the above-mentioned groups, removing some of them.</p>
	Number of male and female representatives of indigenous peoples, traditional peoples and communities and family farmers trained per year. Total: 300	Number of male and female representatives of indigenous peoples, traditional peoples and communities and family farmers trained per year. Total: 300	✓	<p>The indicator is in accordance with SMART criteria.</p> <p>Note that the goal presents a total number, without itemizing the number of people in each group who will be trained.</p>

#### Component 4: Management, Monitoring and Evaluation

Results	Indicator	Goals	SMART	Comments
4.1 Management, Monitoring and Evaluation Systems implemented	Percentage of compliance of the Annual Work Plan (AWP) established for the project.	Minimum of 70% of each AWP executed.	✓	The indicator is in accordance with SMART criteria.  It is understood that the unit to be measured for fulfilment of the AWP (minimum of 70%) are the lines of activities to be executed, and not the sum planned -v- expenditure.
	Annual Project Information Reports (PIR) prepared.	3 Annual Project Information Reports prepared.	✓	The indicator is in accordance with SMART criteria.
	Frequency of monitoring meetings between the MMA and UNDP technical teams.	4 monitoring meetings held per year.	✓	The indicator is in accordance with SMART criteria.
	Mid-term and final reviews conducted.	MTR conducted in year 2.  Final review conducted at the end of year 4.	✓	The indicator is in accordance with SMART criteria.  There is an error in the Results Matrix in which the above indicator goals are repeated in this indicator. It is understood that there will be two reviews during the project.
	Audit conducted.	An annual audit has been conducted.		The indicator is in accordance with SMART criteria.

### 3.4 Analysis of Progress Against the Expected Results

The table below demonstrate the level of achievement of the indicator goals evaluated in the previous section. The source of information was the Project Information Form (PIF) and Project Document, which were compared to the five six-monthly Project Information Reports. The table captions are provided at the end of the item.

#### Component 1: National ABS Regulatory Framework.

Result Expected	Indicators	Baseline	Mid-Term Goal	End goal	Evaluation goal	Evaluation of reach	Justification
1.1. Nagoya Protocol (NP) ratified by the legislative authority	Legal instrument approved	1	1	1		HS	The Nagoya Protocol was ratified in March 2021
1.2. Regulatory and national institutional framework approved and operational	Number of approved regulations	1	3	3		HS	The indicator mixes project objectives with CGen operation obligations. The NBSF has been established and the CGen has ordinarily approved more than 66 resolutions.
1.3 Key productive sectors with regulations and procedures standardized and harmonized with ABS legislation and the NP	Number of sectors [public officials, legal practitioners, S&T institutions, business sector, and IPTCFF] harmonized with the Nagoya Protocol	0	5 sectors	5 sectors		U	There is no clarity on how many people should be trained so that the “key sector” can be considered “harmonized”. There were expressive training efforts for public enforcement officials (IBAMA) and researchers (S&T). <b>Current project planning does not include continuation of the activities envisaged of disseminating information to the IPTCFF sectors and legal practitioners.</b>

Component 2: Management of Knowledge and Information.




Expected Result	Indicators	Baseline	Mid-term Goal	End Goal	Goal Evaluation	Evaluation of reach	Justification
2.1 ABS Clearing-House mechanism notification channels accessible to users and in operation	Number of visits to the ABS site	0	180	410		HU	After 34 months of project execution, considering the first disbursement, the hiring process for the activity was interrupted <sup>9</sup> in the phase for receiving proposals, at the request of the MMA.
2.2 ABS National Electronic Management Systems in use by stakeholders	Number of accumulated registers and notifications on SisGen: 2,600	680	4,055	9,119		U	Although maintaining the contract for preparing the SisGen version 2 modules, the MMA also requested cancellation of contracting system compatibility with those of other bodies, digital certification services, and SisGen manuals.

<sup>9</sup> The complete list of interrupted contracts and cancelled contracting processes is provided in Appendix 13.

### Component 3. Capacity Building and Institutional Strengthening.

Expected Result	Indicators	Baseline	Mid-Term Goal	End goal	Evaluation of goal	Evaluation of reach	Justification
3.1 Public officials, legal practitioners, researchers and science and technology institutions, companies, indigenous peoples, traditional communities and family farmers trained on ABS mechanisms and associated procedures on face-to-face and DL courses	Number of male and female representatives from academia, companies and the government trained per year.	0	60	232		MS	The training initiatives started very well, with actions with IBAMA staff and researchers. However, there was no continuity in the process, which is one of the objectives and requires the project's attention. Training was not held for companies and legal practitioners.
	Number of male and female representatives of indigenous peoples, traditional peoples and communities and family farmers trained per year.	0	140	300		HU	Due to the reality of the traditional populations, the training initiative focused on these groups requires more attention and effort, since it needs to be pedagogically appropriate. The contract to prepare specific training methodology has been interrupted at the request of the MMA. The contract to prepare a pilot Community Protocol, which is at the base of the process to place these communities in the NP has also been interrupted at the request of the MMA. Until this time, there has been no justification or demonstration of how to achieve the results which are crucial for the project with the cancellations of planned activities.

#### Component 4: Management, Monitoring and Evaluation

Expected Result	Indicators	Baseline	Mid-Term Goal	End goal final	Evaluation of goal	Evaluation of reach	Justification
Management, Monitoring and Evaluation Systems implemented	Percentage of fulfilment of the Annual Work Plan (AWP) established for the project.	0	Minimum 70% execution of the AWP	Minimum 70% execution of the AWP		U	Execution of the 2018, 2019, 2020 and 2021 Work Plans experienced various delays, and activities were interrupted from the second half of 2020.
	Annual Project Information Reports (PIR) prepared.	0				HS <sup>10</sup>	The Project Information Reports are presented every six months and contain the information required to understand project evolution.
	Frequency of the monitoring meetings between MMA and UNDP technical teams.	0				MU	The monitoring meetings between the teams of the two units were frequent until the second half of 2020. Following this period, they were not held with the frequency required, with various cancellations despite initiatives of meetings held by the UNDP team.
	Mid-term and final reviews conducted.	0				MS	The mid-term review was conducted but with a considerable delay.
Captions for the Mid-term Review (half of the project execution period):					Captions for evaluation of achievement:		
<ul style="list-style-type: none"> <li>Goal achieved </li> <li>Goal in the process of being achieved </li> <li>Goal not within the process of being achieved </li> </ul>					HS – Highly Satisfactory S – Satisfactory MS – Moderately satisfactory MU – Moderately unsatisfactory U – Unsatisfactory HU – Highly Unsatisfactory		

<sup>10</sup> Since the review of fulfilling the goal and the project have not come to an end, we opted to use the colour yellow to indicate that the PIRs are being satisfactorily prepared. See more about the Project Information Reports in the specific item below.

### 3.5 Project Implementation and Adaptive Management.

During project evaluation, information related to various aspects of its implementation and management were identified. Conclusions and recommendations on each item are provided below:

#### a) Management arrangements.

In this project, the UNDP is responsible for the management unit (PMU), which executes the activities, and acts in liaison with the Project Coordination Unit, responsible for providing technical guidance, and is under the responsibility of the Department of Genetic Heritage (DGH), MMA, Biodiversity Secretariat.

The IDB is the implementing unit.

In relation to the actions of the three actors, interviews held with the teams, and analysis of communication between partners, produced the following conclusions:

- There was difficulty in harmonizing the rules for accounting and disbursements between the IDB and UNDP in the first year of the project, resulting in a delay in the first disbursement, which only took place in August 2018 (and not in April of that year, the month the project was signed). Both of the institutions' teams acted collaboratively and flexibly to be able to solve the problems. However, the project start, scheduled for April 2018, only occurred in August of that year.
- The change in the MMA management team, which took place at the start of 2019, due to the change in government, also delayed the schedule for this year.
- During 2018, 2019, and start of 2020, the control meetings between the MMA and UNDP took place as normal. The 2018 and 2019 reports identified the importance of constant communication between the teams (MMA, UNDP and IDB) for the fluid execution of activities, based on adaptive management.
- The initial delays were administered with the UNDP initiative of establishing a "task force" between 2019 and 2020, to accelerate execution, preparing terms of reference and selection processes for companies and consultants. A number of contracts were started. However, again, there was a decline in execution, produced on account of the new change of DGH /SBio/MMA management in September 2020.
- From the above date, the execution of activities decreased at the request of the MMA, with the justification that the new management needed some time to become familiar with and analyze the project, generating an interruption in the hiring processes. There was less communication between the units until February 2021. The difficulty required prompt intervention by the implementing agency in relation to the project. The PMU (UNDP) informed the IDB team of the communication difficulties, and an interruption in activities by the TCU (MMA).
- The delay in project execution was due to several reasons: change in the 2018/2019 ministerial team, the Covid-19 pandemic, and change in DGH/SBio/MMA management. In this context, the unjustified interruption of contracts and hiring processes for previously agreed activities raised questions from the UNDP and IDB.
- During the period between November 2020 onwards, there were considerable efforts by the executing agency to mobilize the TCU, with the knowledge of the IDB, to solve the problems of delays, and the paralysis of contracts.



- The context of delays, the stoppage of activities at the request of the TCU, and interruption of processes, are partially related to the change in MMA teams. This risk had been previously identified in the PRODOC Risk Analysis framework, and categorized as high probability of high impact. Despite prior identification, and UNDP efforts to maintain liaison with the MMA, the problem continued solely due to the TCU.
- The IDB and UNDP's attempts to jointly discuss and reschedule planning for 2021 were frustrated, due to the unilateral cancellation of meetings between the three teams at the request of the MMA, including a tripartite meeting scheduled for December 2020, re-scheduled for January 2021, and cancelled once more at the Ministry's request<sup>11</sup>. A preliminary meeting was finally held in early June 2021. Until the time of writing this report, the project did not have a justified 2021 annual Work Plan, or evidence that numerous and unjustified cancellations of contracts would be corrected, in order to ensure achieving the results expected.
- The six-monthly Project Information Reports and exchange of electronic messages analyzed clearly demonstrated the PMU's concern with the situation of delays, and the interruption of activities, in addition to the lack of a technically justified planning instrument approved by partners.
- There was a coherent project initiative to reinforce technical capacity by hiring a professional specialized in the topic to join the team. However, the benefit produced by the initiative (which took place in 2021), was not able to compensate for the departure of DGH/SBio technicians from project activities, due to a decision by MMA management (Appendix 13). All of the interviews with members of the MMA technical team and other partners confirmed this departure. This problem is demonstrated in a letter to the UNDP notifying a change in the technical team responsible at the MMA, dated March 2021 (see Appendix 12). Equally, all communication between DGH technical staff and the PMU/UNDP was discontinued, at the request of the new Department management.

### 3.6 Analysis of Work Planning.

The annual PRODOC work plans, Acquisition plan, and the six-monthly Project Information Reports were reviewed. The evaluation arrived at the following conclusions:

- Project planning is structured in accordance with the results to be achieved. The planning instruments reflected the activities and contracts required to achieve the objectives.
- Despite solid planning, there was a series of contingencies that negatively impacted the execution of activities in accordance with the timeframes envisaged:
  - The initial delay to the start of the project, envisaged for the first two months of 2018, which took place in the fifth bimester of that year. This delay took place due to the need to align the rules for execution, disbursement, auditing and accounting for the implementing (IDB) and executing agencies (UNDP). The teams worked in a coordinated manner to overcome the difficulties. The majority of the consultancy contracts envisaged for 2018 were delayed until the following year.
  - Another factor which produced delays to execution is related to the alteration to the MMA management team, on account of the change of government

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<sup>11</sup> See [Appendix 11](#) for the exchange of messages to arrange and cancel tripartite meetings.

between 2018 and 2019. The risk was correctly envisaged in the project documents, and the PMU/UNDP and MMA technicians acted in order to reduce the time for the new management responsible for the DGP to transition and become familiar with the project. Following a period to fully understand the project, the UNDP formed a “task force” of staff, with DGH technicians, to accelerate execution of the planned activities. Holding training for public officials and a contract to prepare the NBSF are highlighted for 2019. Even with concentrated efforts, several activities scheduled for the first and second year of execution were accumulated for 2020.

- In 2020, the Covid-19 pandemic affected holding face-to-face training. In a letter to the UNDP, dated 11<sup>th</sup> June, 2020 the director of DGH /MMA at the time advised the PMU of the IPTCFFs` decision to pause the process of preparing an Pedagogical Training Plan (see Appendix 15). There was a new delay in execution in the second semester, generated by the change in the SBio/ DGH management team. From November 2020 onwards, cancellations of ongoing contracts and the interruption of ongoing hiring processes were requested<sup>12</sup>.
- Specifically, with regards to the planning process, despite the PMU and IDB`s efforts to resume preparation of the 2021 Annual Work Plan, this was not produced until June this year, when this report was prepared<sup>13</sup>. Correspondence with email exchanges demonstrate two cancellations of tripartite meetings (December 2020 and January 2021) requested by the MMA (Appendix 11). The tripartite meeting had not been held by May 2021. Even following direct action from the UNDP Deputy Resident Representative to hold a planning meeting for the new 2021 AWP, this document had not been prepared by June this year<sup>14</sup>.
- The planning instruments analyzed were all results-orientated, defined in the PRODOC, and considered relevant for this review.
- The MMA presented suggestions for alterations to activities, and the reassignment of resources which were evaluated by the UNDP in terms of viability and impacts on the reach of the indicators (see Appendix 16). Until the time of this review, there were no alterations to the original project results matrix, which was maintained as the guiding instrument for execution.

### 3.7 Financing and Co-Financing

As highlighted, the first project disbursement was considerably delayed. Delays in execution, interruptions to contracts and hiring requested by the MMA, and the foreign exchange gain, with the devaluation of the real against the American dollar, had an impact on reducing the expenditure envisaged. The tables below present the project`s financial situation until the last six-month report of January 2021.

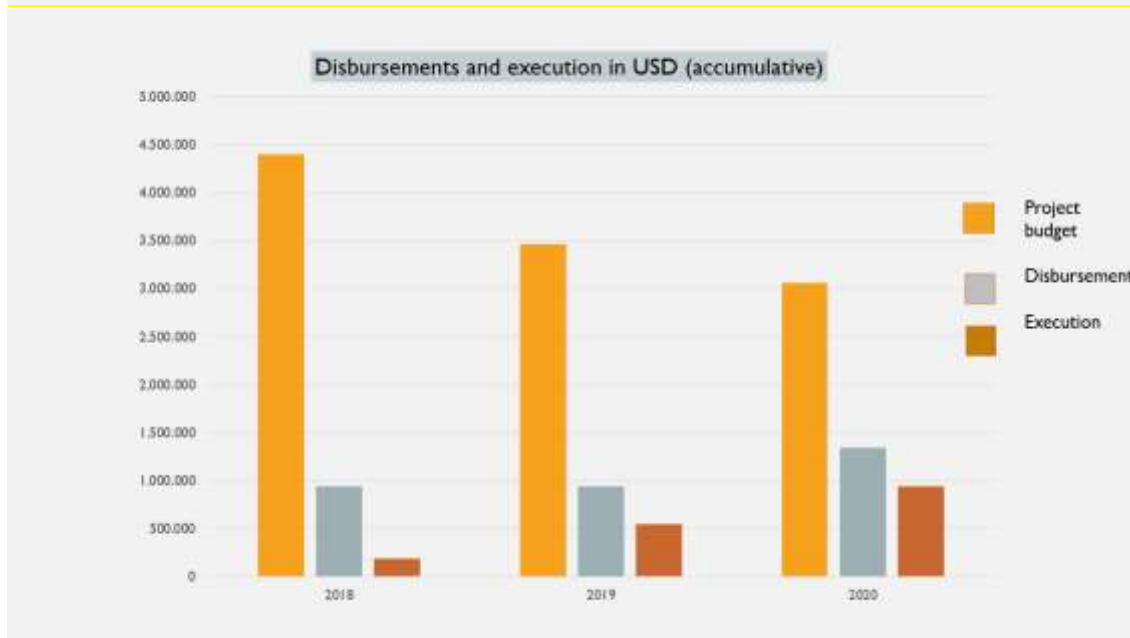
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<sup>12</sup> The list of contract cancellations is available in Appendix 13.

<sup>13</sup> - To prove the attempts to correct gaps in the project and PMU/UNDP`s concern, see Appendix 9.

<sup>14</sup> - *idem*.

Disbursements and execution (USD): until January 2021				
Component	Total budget	Disbursed	Executed	IDB budget balance
C1	387,500	169,127	123,953	218,373
C2	1,045,900	672,153	280,140	373,747
C3	2,518,300	393,834	449,220	2,124,466
Monitoring & Evaluation	70,000	6,000	5,061	63,000
Contingencies	54,161	-	-	54,161
Project Management	326,070	99,288	83,408	226,782
Total	4,401,931	1,340,402	941,781	3,061,526 (69%)



The PMU demonstrated that it has full control of project expenditure, which was confirmed by the audits which were conducted. The low level of expenditure is due to the above-mentioned reasons. The expenditure made was within the forecasts registered in the planning instruments. There was no need to request the reassignment of resources.

With regards to co-financing, the reports presented begin in 2016, two years before the start of the project. The first co-financing report mentions that it was agreed between the MMA, UNDP and IDB that accounting for the balancing entry of activities directly related to project results, would start in 2016:

*“In a meeting held on 9<sup>th</sup> March, 2018, in the Maria da Penha room, UNDP head offices in Brasília, the Inter-American Development Bank - IDB was questioned on the timeframe for providing information on the balancing entry. According to information presented at the meeting, complemented by an email dated 9<sup>th</sup> March, 2018 (SEI 0336426 e 0336429), accounting for the balancing entries in this report was*

*conducted from 29<sup>th</sup> April, 2016, date of Official Letter n° 153/2016/SBF/MMA to the project donor, the Global Environment Fund - GEF.*<sup>15</sup>

The balancing entry was provided in financial and non-financial forms, in accordance with the lines provided below:

- a) financial resources from non-government institutions, acting in association with the MMA, and directly used to execute activities;
- b) hours of public officials and other workers involved with the coordination and execution of project activities;
- c) resources stemming from other national and international projects, which contribute towards the execution of the activities envisaged in Project BRA/18/003, with the exception of resources from other projects with GEF resources;
- d) costs related to the use of infrastructure and equipment to execute project activities (equipment, digital programs and platforms, and physical structures, etc.);
- e) state budget resources applied in programmes or actions correlated to project activities.

According to the PRODOC, the balancing entries precisely mirror the GEF financing sums envisaged in each project component (see the table above in this report). The co-financing reports presented by the MMA did not follow the format requested by the GEF/UNDP, and did not specify expenditure per project component.

Table C (Indicative co-financing for the Project by Source and Name, if Available) of the PIF (Project Identification Form) was not completed in the document and, therefore, does not record the co-financing sources identified, partner names, type of balancing entry, and the sums involved. On the other hand, the PRODOC Pluri-Annual Work Plan only registers the source of the IDB resources for all the activities, not presenting the co-financing.

The balancing entry reports presented did not use the categorization envisaged in the GEF Co-Financing Guidelines<sup>16</sup>. The MTR analyzed the reports and classified the data in accordance with the above-mentioned document. The summarized table provided below systematizes the expenditure, in accordance with the de GEF/UNDP report model, with the information available. The descriptive tables of the original co-financing reports are attached, organized chronologically from 2016 to 2020 (see Appendix 14), which were sent by the MMA.

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<sup>15</sup> - MMA Co-financing report (SEI n° 0421884)

<sup>16</sup> - GEF: GUIDELINES ON CO-FINANCING. Policy: FI/GN/01 Approved on June 26, 2018.

Consolidated co-financing table: 2016 to 2020

Sources of Co-financing	Name of Co-funder	Type of Co-financing	Sum Confirmed in the CEO Endorsement	Real sum materialized in the Project Mid-Term
National government	DCGen/Sbio/MMA	In kind	Not recorded on the PIF	USD 631,226
Multilateral agency	GIZ*	In kind	Not recorded on the PIF	USD 4,438
National government	DCGen/Sbio/MMA	In kind	Not recorded on the PIF	USD 227,110
Multilateral agency	UNEP** – Project	In kind	Not recorded on the PIF	UDS 77,730
Multilateral agency	GIZ*	In kind	Not recorded on the PIF	USD 4,248
Multilateral agency	UNEP** - Project	In kind	Not recorded on the PIF	USD 55,593
Multilateral agency	FAO - REAF	In kind	Not recorded on the PIF	USD 32,734
National government	DCGen/Sbio/MMA	In kind	Not recorded on the PIF	USD 671
National government	FUNAI	In kind	Not recorded on the PIF	USD 18,446
		<b>Total</b>	Not recorded on the PIF	<b>USD 1,052,196</b>

\* *Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH*

\*\* *United Nations Environment Programme*

**Financing sources:** Bilateral agencies, Foundations, GEF Agency, local and national government, civil society organizations, other multilateral agencies, and the private sector, among others

**Type of co-financing:** grant, loans, guarantee, in kind, and others.

The MTR, comparing the activities conducted with the records in the co-financing reports, came to the conclusion that not all of the balancing entry activities were recorded. It is likely that some of the partners did not send the record of sums related to activity expenditure.

The co-financing reports do not present a calculation of the “real percentage in relation to that expected in the project”, nor do they show any future balancing entry commitments.

The expectation of co-financing information provided in the UNDP/GEF report model could not be fully met, since the reports do not follow the model defined by the UNDP/GEF, and do not link the balancing entries to the project components. There was no planning on how the balancing entries would be made, and the reports gathered *a posteriori* information.

The MTR registers that, despite omissions in information, the balancing entry expenditure presented is in align with that defined for the project in the PRODOC. The sums spent with the funding until January 2021 (USD 1,340,402) and co-financing between 2016 and 2020 (USD 1,052,196) are reasonably balanced until this time. It may be considered that the co-financing accompanied the level of project execution during its course.

### **3.8 Project Monitoring and Evaluation.**

Analyses of monitoring and evaluation quality are based on guiding questions<sup>17</sup>:

a) Were and are the budgets allocated to the Monitoring and Evaluation (M&E) plan in the project planning and implementation sufficient?

**YES.** The monitoring and evaluation activities were adequately funded, and the planning forecast was correct.

b) Was the M&E planning appropriate for the project context?

**YES.** The project prepares six-monthly Project Information Reports, as per the implementing agency (IDB) rule. It is different to the usual annual reporting

c) Did the monitoring tools produce the information required? Do they involve key partners? Are they aligned with national systems? Are they effective and efficient?

**YES.** The tools used produce all the information required for the MTR, and project decision-making. These are: the logical matrix, work and acquisition plans, project information, and execution reports. The tools are effective and efficient.

d) Is the project using inclusive, innovative, and participative, monitoring systems?

**NO.** The project is using traditional monitoring tools, which are completely adequate for the context. Satisfaction research was used in a training activity (with public enforcement officials). The use of this type of survey is recommended in order to improve future training initiatives.

e) Were follow-up and adaptive management actions carried out in response to the project context?

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<sup>17</sup> *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF – Financed Projects.*

**YES.** There was no need for adaptive management in relation to the initial planning (PIR). However, in an effort to solve the issues of initial delays, the UNDP, together with the MMA, formed a “task force” to accelerate the hiring processes.

There was an activity involving the broader UNDP decision structure, with the direct involvement of the Deputy Resident Representative (see Appendix 9), with the goal of overcoming the communication and execution difficulties which had taken place from the second half of 2020, due to the TCU’s (MMA) position. In addition to the situations mentioned above, the MTR identified other evidence of initiatives that are in line with adaptive management, in so far that they are responses and efforts to overcome obstacles and uncertainties. The following are examples of this practice:

- Efforts to adapt the training planning with IPTCFF representatives (component 3 activity) due to the Covid-19 pandemic.
- Effort to support new DGH/SBio/MMA management to become familiar and acquire knowledge of the project objectives and logic.
- Action with the consultants who received informal requests to cancel their contracts, to extend the timeframes, and attempt to resume the initiatives.
- Hiring (not foreseen in the original planning) a specialist in legislation and processes related to the Nagoya Protocol to increase the project’s technical capacity.

f) How were the issues of gender and involving ethnic minorities dealt with in the project?

The project objectives are not directly related to gender issues. However, one of the main and more necessary project results in Component 3 directly involves male and female (equally) indigenous populations, traditional communities and peoples, and family farmers. Monitoring project development related to Component 3, the project is operating adequately in relation to the United Nations Development Goals.

g) How were the social and environmental risks identified in the UNDP Social Framework and Environmental Risk Screening Checklist dealt with? (see Appendix 6)

The MTR agrees with the content of the table registered in the PRODOC. The project activities conducted until this time did not require mitigation or management actions for the items of this specific risk table. However, there is the risk of the project promoting access and use of ATK of genetic resources without strengthening the capacity of indigenous peoples, traditional peoples and communities and family farmers, by not conducting the training activities and preparation of Community Protocols as planned.

### **3.9 Stakeholder Engagement**

Analysis of the level of stakeholder participation in the project is guided by the following points:

a) Did the project develop the appropriate partnerships required with direct and indirect stakeholders?

The management arrangement between the technical partners and project administration is appropriate for providing the technical guidance required for its execution.

The mobilization of partnership with the federal government for the training (IBAMA inspectors, and Federal Police, among others) and partnerships to train members of research institutions and universities were other demonstrations of appropriate engagement.

However, the IPTCFF group is the stakeholder that requires greater support, to ensure conditions to operate the Nagoya Protocol, in accordance with the national reality. Until this time, this group has had little participation in the project, ranging from planning to execution. In the “Beneficiary Engagement” session, the PRODOC mentions participation of a working group made up of indigenous, traditional community and family farmer representatives in discussions related to Law 13.123/2015, following its approval, to prepare the regulation text. However, no relevant participation or dialogue with IPTCFF representatives has been identified in the project preparation process, which took place between 2016 and 2018, under the leadership of the MMA and IDB.

Representatives from this group in the Sectoral Chamber and CGen have little familiarity with the project as a whole. From the second year of the project, they were mobilized to take part in the Component 3 training cycles, a process that had been delayed by two years, and was later cancelled, at the request of the MMA. The representatives of this group who are active on the CGen are fundamental for implementation of the Nagoya Protocol in the country, to form peer-educators of knowledge, which is the project strategy and objective. This mid-term review does not consider that the group is satisfactorily engaged, or has adequate information on project development.

b) Does the national government stakeholder support the project objectives? Does it continue to play an active role in decision-making, in order to provide effective and efficient support for project implementation?

**NO.** By September 2020, the Ministry of the Environment, under the Biodiversity Secretariat at the Department of Genetic Heritage, which is the technical guidance unit for the project, acted in order to support its implementation. However, the change in the SBio and DGH management team was accompanied by the removal of technical staff members from project activities, who were at the centre of all communication with the UNDP (see Appendix 17), under the Department Director, and there were a set of interruptions to ongoing activities and previously planned hiring processes. Cancellation of the tripartite meeting dates (two cancellations), and the lack of preparation of a work plan for 2021 should be added to these actions.

c) How has the involvement of stakeholders and public knowledge of the project contributed towards achieving its objectives? Are there limitations to the stakeholders` knowledge of the project objectives and results? How is the stakeholders` interest in the project`s long-term success and sustainability?

The interviews held demonstrated that the CGen members group has little information on the project. Although strengthening the CGen is one of its objectives, there are no periodical updates for the council and sectoral chamber members on its execution. The IPTCFF representatives in particular demonstrated disbelief in relation to the project really achieving the results which are associated with them.

### **3.10 Project Information Reports**



Firstly, it should be highlighted that the Project Management Unit (UNDP) prepares six-monthly reports, fulfilling the regulations of the implementing agency (IDB).

The Project Information Reports analyzed follow the UNDP model and contain the information required to understand the evolution of the project, and the actions taken by the teams to overcome the obstacles which have arisen during its execution. The reports provided a clear and objective description of the project difficulties, mainly the interruptions in activities requested by the technical partner (MMA), and the impacts these cancellation requests would have on the results expected.

The Project Information Reports prepared are shared with the partner agencies (IDB, MMA and BCA).

### **3.11 Communication**

As mentioned above, primarily, project communication took place between the two units, Management (PMU) and technical coordination (TCU), and between the PMU and IDB. The main group of project stakeholders, the members of the Genetic Heritage Management Council had limited information on project development.

As registered above, despite PM efforts in the second half of 2020, project communication reduced noticeably, due to the TCU/MMA, from September 2020. The Ministry technical staff did not have permission to communicate directly with the UNDP and, lastly, in a MMA letter to the UNDP, the TCU project team was reduced to 3 people, including the DGH director, his deputy, and a member of staff who has now left the Ministry (see Appendix 12).

The exchange of messages reduced during this period, with meetings between the teams being cancelled.

The project has a number of activities that are directly linked to the dissemination of information: participation at events (which took place in the first year), the production of specific materials to train the key agents on the topic of protection, access and benefit sharing, the production of informational material on the Brazilian ABS system, also in foreign languages and, mainly, preparation of the information site with characteristics similar to the CBD Clearing House.

### **3.12 Project Risk Update**

The table below presents an update of the risks identified in the PRODOC, and new ones identified by the MTR.

**Risk analysis table**

Nº	Description	Impact/Probability (PRODOC)	Impact/Probability (MTR)	MTR Comments
Risks identified in the planning and registered in the PRODOC				
1	Uncertainty about ratification of the Nagoya Protocol by National Congress.	Impact: high Probability: low	Impact: high Probability: zero	Risk 1 was overcome with the ratification of the Nagoya Protocol in March 2021.
2	Lack of trained professionals with solid ABS knowledge, considering the relative uniqueness of the subject.	Impact: high Probability: high	Impact: high Probability: high	Although the topics covered in the project are very innovative, the PMU and TCU were able to hire consultancy firms and companies able to perform the tasks requested. The project team was also able to hire an ABS specialist in the second half of 2020, reinforcing its technical capacity. However, the risk is still present.
3	The indigenous peoples, traditional peoples, traditional communities, and family farmers, were concerned about the provisions of the national ABS law, and the obstacles for the full involvement of all stakeholders.	Impact: high Probability: average	Impact: high Probability: taking place	The IPTCFF representatives on the CGen and in the Sectoral Chamber had little knowledge and familiarity with the project, and they are the priority audience for the training actions. The Covid-19 pandemic also delayed the activity of constructing a pedagogical plan with this group for the training process, preventing face-to-face meetings in 2020 (Appendix 17). However, at the end of 2020, the group positively signalled the resumption of online activities. Unfortunately, the process was interrupted at the request of the DGH/MMA. The risk remains.
4	Changes in the Department to Support the CGen, MMA Genetic Heritage Department, and the project management team, causing project delays.	Impact: high Probability: high	Impact: high Probability: taking place	In addition to the delays, changes in DGH/SBio/MMA management resulted in the interruption of activities and, consequently, uncertainties about the possibility of the project achieving its results.
New risks identified by the MTR				
5	Changes in the current government's guidelines may impact execution of some of the activities previously envisaged, and the project implementation, due to the prioritization of activities by MMA.		Impact: high Probability: taking place	The change in SBio/MMA management generated the redirection of DGH technicians, with the intentional removal of the team which was working on the project. Government guidelines for indigenous peoples show that they may be responsible for the misalignment between what is planned in the project and intentions for 2021 onwards. New dialogue between partners is necessary to realign project priorities with

				the TCU, in order to ensure that the results are achieved. On the other hand, project logic is at risk, with regards to the cancellation requests mentioned above, without any reasonable justification, are accompanied with the intention to equally redistribute resources (see Appendices 13 and 16) <sup>18</sup> . Despite efforts by the PMU/UNDP, the occurrences related to risks IV and V are linked to the Ministry of the Environment and could not be overcome.
6	Insufficient time to implement the project within the schedule defined in the project design		Impact: high Probability: taking place	If it is decided to continue the activities, in order to achieve the expected results, an extension of the project timeframe would be required.
7	Devaluation of the real, reducing the percentage of financial implementation of the project		Impact: low Probability: taking place	Devaluation of the national currency against the dollar increases the capacity to execute activities to strengthen the processes responsible for the expected results. This increased capacity will only be positive in the case of a projection extension.
8	Uncertainties with regards to the activities that involve consultations, data investigation, and other field activities, resulting from social distancing measures and travel restrictions on account of the coronavirus pandemic.		Impact: high Probability: taking place	Every training component was altered due to social distancing to prevent Covid-19. In the case of project extension, it is expected that the vaccination advance allows activities with direct interaction, which cannot be replaced by on-line activities, at the risk of losing quality.

<sup>18</sup> - Also see item 3.13 on the relation between sustainability, the initial structure, and governance.

### 3.13 Sustainability.

Considering the concept of sustainability as the possibility to continue the benefits that the project produces following completion, the mid-term review works with the risks existing during half of the project's life, which may affect the reach and/or continuity of its results.

#### a) Risks to sustainability related to institutional structure and governance

The current government work concept line indicates a lack of interest and initiative in strengthening the specific rights of ethnic minorities for land, traditions, or traditional knowledge. This is demonstrated both in the stoppage of the processes of demarcating indigenous land in the country, set out in the current Constitution, and the numerous news reports of relaxing the territorial protection of indigenous peoples. Legislative Decree Project nº 177/2021 is highlighted, which authorizes the President of the Republic to denounce International Labour Organization (ILO) Convention 169, which defends indigenous rights, particularly the right to be consulted on actions that affect them in a free, prior, and informed way<sup>19</sup>.

The financial risks to the sustainability of project results, and the risks of little familiarization of the IPTCFF group (part of the set of stakeholders) are all related to the socio-political viewpoint that guides the above-mentioned government action.

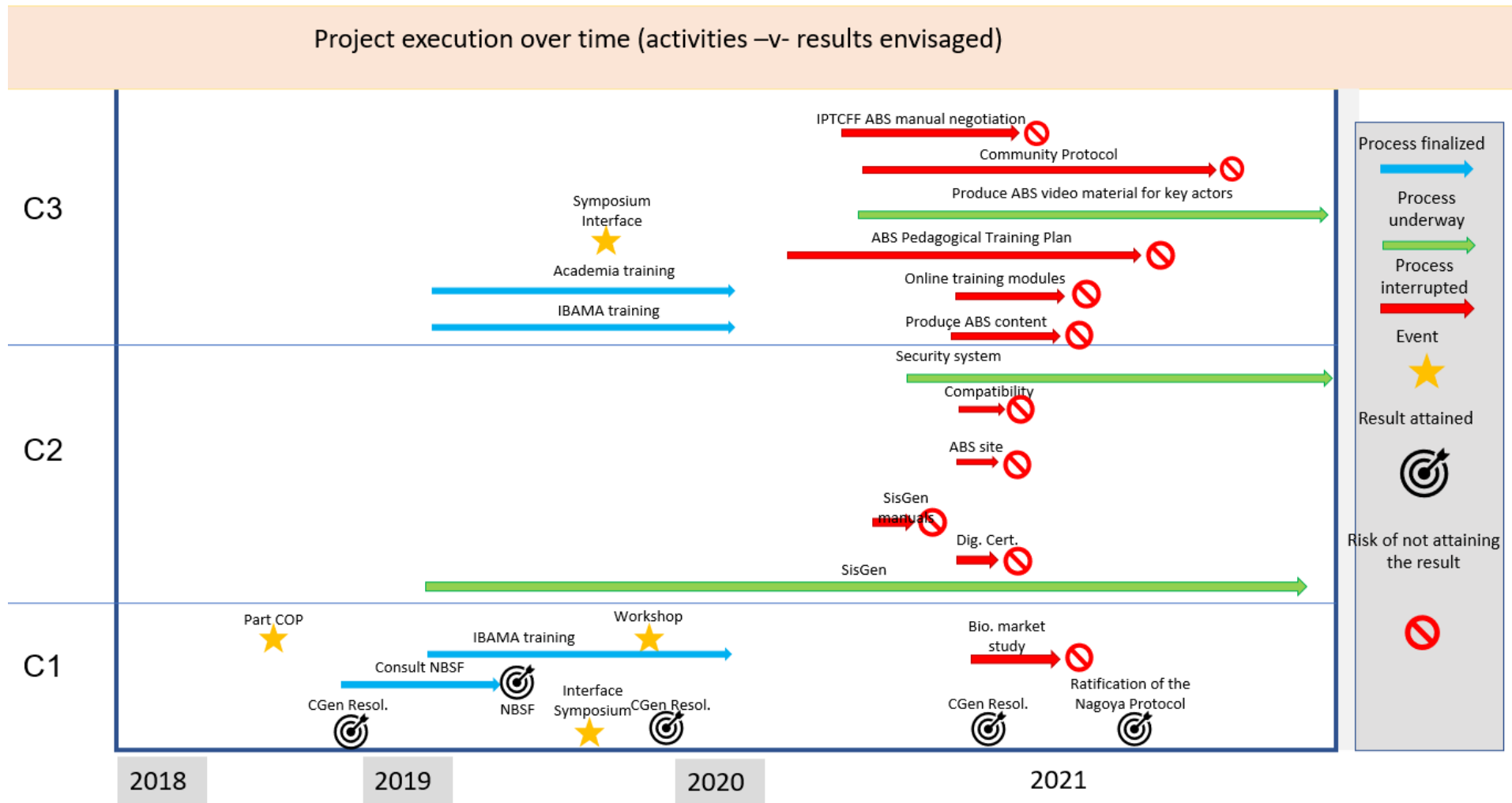
Thus, a broader position in relation to the specific rights of traditional peoples forms a context of risks for the project. The risks are mainly related to training these peoples on knowledge which will enable them to make decisions on researchers' access to knowledge related to biodiversity, and to negotiate benefit sharing agreements. This position is probably linked to the MMA action of interrupting processes and activities that would produce planned results.

The diagram below presents the impact of this position of cancelling contracts and hiring processes. Each arrow corresponds to a process, in line with prior project planning instruments:

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<sup>19</sup> Some of many examples of the current government's position in relation to ethnic minorities can be found at:  
<https://g1.globo.com/politica/noticia/2020/02/11/tamanho-de-area-indigena-e-abusivo-diz-bolsonaro-em-ato-do-conselho-da-amazonia.ghtml>  
[https://www.em.com.br/app/noticia/nacional/2020/09/30/interna\\_nacional,1190264/invasoes-em-terras-indigenas-crescem-135-no-governo-bolsonaro.shtml](https://www.em.com.br/app/noticia/nacional/2020/09/30/interna_nacional,1190264/invasoes-em-terras-indigenas-crescem-135-no-governo-bolsonaro.shtml)  
<https://apublica.org/2020/05/com-bolsonaro-fazendas-foram-certificadas-de-maneira-irregular-em-terras-indigenas-na-amazonia/>  
<https://brasil.elpais.com/brasil/2020-02-04/governo-bolsonaro-manobra-para-travar-a-demarcacao-de-terras-indigenas-no-brasil.html>  
<https://www.dw.com/pt-br/governo-tenta-intencionalmente-destruir-povos-ind%C3%ADgenas/a-55293910>  
<https://oglobo.globo.com/brasil/sob-bolsonaro-funai-ministerio-da-justica-travam-demarcacao-de-terras-indigenas-24820597>  
[https://www.camara.leg.br/proposicoesWeb/prop\\_mostrarintegra?codteor=1999797](https://www.camara.leg.br/proposicoesWeb/prop_mostrarintegra?codteor=1999797)

## Demonstration of project activity cancellations and their impacts



Classification of project sustainability possibilities established by the MTR:

Moderately improbable

Comments on sustainability, by result.

Result 1.1. (Nagoya Protocol (NP) ratified by the legislative authority) was achieved with the possibilities of it being sustainable. It is an international agreement that should be maintained by the country.

Result 1.2. (Regulatory and national institutional framework approved and operational) was also achieved, but operation of the National Benefit Sharing Fund is linked to the management committee. With the start of the NBSF management committee's work, it is expected that the system operates regularly.

Result 1.3 (Key productive sectors with regulations and procedures standardized and harmonized with ABS legislation and the NP) was partially achieved, but the cancellation of continuity of activities, and inaccuracy of the indicator, complicates achieving the goal.

Result 2.1 (ABS Clearing-House mechanism notification channels accessible to users and in operation) activities have been interrupted. There are no plans for their resumption.

Result 2.2 (National ABS Electronic Management Systems in use by stakeholders) has the possibility of being sustainable, since preparation of version 2 of SisGen is ongoing. However, support activities, with the employment of integration and other systems, and the preparation of SisGen manuals, have not been carried out.

Finally, result 3.1 (public officials, legal practitioners, researchers and science and technology institutions, companies, indigenous peoples, traditional communities, and family farmers, trained on ABS mechanisms and their procedures on face-to-face and DL courses) activities were cancelled.

#### 4. Conclusions

Until this time, the project has experienced two distinct phases. The first, marked by delays in partner liaison, due to the change in government and the Technical Coordination Unit management team, and being affected by the Covid-19 pandemic, which mainly hindered Component 3 activities. This phase started with the first disbursement in August 2018 (delay in relation to the schedule) and ended in August 2020.

Despite three distinct delaying factors, there was adequate liaison between the PMU and TCU, with concentrated efforts so that the administrative technical staff in both units could overcome the problems, to ensure execution of the activities which were programmed and not carried out. Many of the processes envisaged for years 1 and 2 of the project were postponed to year 3 (2020). The hiring processes were launched in the first six months of this year.

The second phase starts in September 2020 until the present time. It is marked by the change in the DGH and Ministry of the Environment SBio management staff. The phase is marked by a new type of a vision of the project by the new DGH management. Communication between the MMA technicians and the UNDP stopped taking place and, lastly the technicians have been officially removed from the project team (see Appendix 12).

There are requests to cancel contracts and hiring processes (see Appendix 8) by the Technical Coordination Unit. There was no formal justification for the cancellation requests. The 2020 tripartite meeting was cancelled and postponed until January of the following year, and then cancelled (see Appendix 11). The 2020 work plan has not been prepared until this time, despite the PMU's attempts to hold meetings and discuss the situation. Both the PMU/UNDP and IDB intervened, to try and reorganize the project's direction with the MMA in the first six months of 2021, but the national partner was not available.

The following project strong points are highlighted:

- Its structure is coherent with the country's needs and national demands to be able to implement the Nagoya Protocol.
- Adequate distribution of resources through the components, to achieve the expected results.
- Agility of the PMU/UNDP in forwarding solutions for the problems, where resolution is within its reach.
- An accumulation of essential knowledge for full execution, both at the PMU/UNDP, and among the TCU /MMA technicians.
- Achieving the expressive results of structuring the NBSF, and continuing with the preparation of version 2 of SisGen.

However, the project has little time to achieve the results expected. The need to extend international cooperation projects is not uncommon. However, a clear indication of the commitment of achieving the results and project logic by the actors engaged is essential for the project to be extended. Unfortunately, this mid-term review mission found evidence in opposition to this commitment, both in the institutional political environment, demonstrations of a break with project coherency, and the lack of technical background with a minimum of reasonableness for the requests of extensive changes to the planning, which indicates the probable non-achievement of a fundamental part of the expected results.

#### **4.1. Relevance**

This criterion is related to the project's role in the effective implementation process of the Nagoya Protocol in Brazil, which is an international commitment assumed by the country under the Convention on Biological Diversity. It seeks to the point to which the intervention design and the intended results are consistent with GEF's priorities, and local and national environmental policies, priorities, and strategic objectives, and remain coherent, despite changes in the context during its execution.

With this context in mind, the project was considered highly relevant by the mid-term review. Its actions will have a fundamental impact on operationalization of the Nagoya Protocol in Brazil, as planned.

#### **4.2 Efficiency**

The level of project execution was relatively low, due to the factors of the delays and interruption of activities. Expenditure related to the hiring of contractors who completed their tasks, was efficient, and this evaluation did not find any signs of a waste of resources in the processes that were fully completed, or are ongoing.

However, the interruption of various contracts without any justification impacts project efficiency, since some of the products were paid for, but do not have the respective conclusions of consultancy actions. This negatively affected the relation of expenditure versus results, in so far that the activities should be resumed at a later date, with delays, or new contracts. Therefore, the project action until this time is classified as moderately efficient.

#### **4.3 Effectiveness**

Considering the analyses made, and the problems identified and tackled by the project, the mid-term review did not consider it effective.

A number of the objectives were reached, or are on the way to being achieved (as is the case of the improved version of SisGen). However, with the delays that have occurred, added to the change in the project perspective reflected in the set of unjustified cancellations of activities and contracts, and the lack of planning, suggest the non-achievement of the fundamental results of the project, and the creation of disturbing omission in the process of the fair and equitable sharing of benefits arising from the exploration of national genetic resources.

In order to operate, the ABS system should function while interlocked with various parties playing a number of roles. The base of the chain is access to genetic resources, and using, or not, traditional knowledge associated with biodiversity. In this case, the Nagoya Protocol envisages a participative discussion process in the communities holding ATK, to authorize this access. Therefore, the project must work intensely on various aspects, to disseminate information among the communities, to materialize the base of this chain.

Other processes of equal importance, related to training and information on ABS knowledge for various actors (companies, legal practitioners, and academic researchers) need to be held, or continued. And information tools, as set out in the NP, need to be prepared. The interruption of



these actions clearly indicates the probable lack of project effectiveness, if these problems are not corrected.

## **5. Lessons Learned**

Based on the analyses and conclusions off the mid-term review process, the following lessons are highlighted:

### The importance of project partners' actions, to deal with management changes.

Managerial changes in the government executing bodies are envisaged, with the impacts having been identified in the project documents. The new managerial groups which occupy the ministries and other government agencies have difficulties in continuing previous established projects for various reasons: new plans and approaches of new governments, parties or managers, questions of ideological consideration, the need to become familiar with the project, and changes in the bodies' priorities, among others. In order to minimize these difficulties, and guarantee good project continuity, early action by the execution and implementation teams is important, to show project coherence and the importance of its results. This action does not mean a guarantee of neutralizing the risks. The MTR identified extensive mobilization by the UNDP team, to work together with the new MMA management, which was successful in the first change.

The more coherent, objective, and connected, the mobilization of the partners responsible with the new managers are, the more chances the project has of being understood and absorbed.

### Project coherence to overcome execution difficulties.

The clear link between the chain of activities and results expected is essential, so that the project is able to coordinate the various partners and beneficiaries. This interlock of activities put forward for the results is fundamental for defence of the project with any changes in management, to incorporate new strategic partners and mobilize stakeholders. Project information should be clear and available, strengthening its action in the various areas of execution. In the case of the GEF/ABS project, the results matrix, with the exception of individual questions which have been identified, is extremely clear, which facilitates visualization of the project logic and ownership.

### Dissemination of project information.

In a specific case, project information was not widely disclosed among beneficiaries. Ownership of the project logic by the beneficiary groups is also a factor that defends its continuity and sustainability. The basic information, results, and lines of action, should be disseminated among partners and beneficiaries, to clarify the role of the project and its impacts, increasing collaboration and engagement.

### Prioritizing the execution of longer processes and/or of greater complexity.

The activities which require various products (as in the case of version 2.0 of SisGen) and processes that involve learning and training, which are complex and mobilize various beneficiaries (Component 3 activities), need to be prioritized and executed at the start of activities. Thus, the risk of not being conducted for issues of a lack of adequate time to organize all of the related processes is reduced.

## 6. Recommendations.

The recommendations below, based on the conclusions of the mid-term review, seek to support the decision-making process and are presented related to the respective contexts. Considering the information and analyses made, the MTR registers the following recommendations:

### a) Situation:

Removal of the team of MMA analysts from their duties on the project.

The DPB/MMA technical analysis officially stopped working on the project in the second half of 2020.

Official Letter No 196/2021/MMA (18/01/21) indicates that the current technical unit is formed of three people. Of these, the current coordinator is absent, and the information management specialist no longer works at the ministry. The previous technical team, detailed in a letter in September 2020 (6413/2020/MMA), was made up of a coordinator and four technical analysts.

### Recommendation

The DGH technical team should officially resume its responsibilities. The analysts' knowledge of the project, its activities and objectives, is essential for its execution.

### b) Situation

Low project execution was affected by distinct factors:

- 1 – The change in government, in which the new MMA management needed time to familiarize themselves with the initiatives and project logic, and to implement operational reviews.
- 2 – The reduced MMA operational team, a situation which was partially remedied with the appointment of a legislation specialist, and implementation of the Nagoya Protocol.
- 3 – Delays in communication (and consequent execution) between the technical and management teams since September 2020.
- 4 – The Covid-19 pandemic, which particularly affected training with the indigenous people, traditional community and family farmer representatives of the CGen sectoral chamber.

### Recommendation

The establishment of a "task force" with DGH /MMA and PMU analysts, in the format of the first semester of 2020, to resume the processes which were interrupted in 2020/2021. The DPB/SBio/MMA should prioritize execution of the project activities envisaged.

### c) Situation

Centralized communication with the DGH/MMA through the director (see Appendix 17).

There was concentrated technical dialogue between the UNDP and the project technical coordinator (DGH) during the same period. Daily communication between the management and technical units was addressed to Department Management, making decision-making more difficult, and producing delays in the planning and execution processes.

#### Recommendation

Re-forming the team of project analysts and encouraging direct, daily communication with the management unit. The project technical coordination and DGH/MMA management should work on joint planning with the analysts and PMU, to authorize and supervise the processes which have been defined, supported by the analysts' knowledge.

#### d) Situation

Cancellation of the study to investigate the Brazilian biodiversity market and potential of the resources to be invested in the National Benefit Sharing Fund.

#### Recommendation

The study will produce valuable information to highlight the use of legal ways to access biodiversity. Its product will provide guidance to decision-makers on the Fund's operations and the needs of the biodiversity market. We recommend resuming the contracting process.

#### e) Situation

Absence of actions to disseminate legal and practical ABS knowledge to the business sector and legal practitioners.

#### Recommendation

Include activities that focus on these two sectors in project planning. Specify the planning and results on the Project Information Reports.

#### f) Situation

Lack of clarity of result 1.3 ("Key productive sectors with regulations and procedures standardized and harmonized with the ABS law and NP").

#### Recommendation

Alter the goal for the number of people from IPTCFF groups, legal practitioners, company representatives, public officials and academic researchers who take part in training.

#### g) Situation

Cancellation of the contracting process to prepare the Access and Benefit Sharing site, mirroring the CBD Clearing House. The site can host DL courses, links to SisGen, SisGen manuals, links to articles and national legislation texts, an exchange of experiences, and relevant CBD material.

#### Recommendation

Resume preparing the site, which is a tool to be used by users/researchers/academics, companies, providers and public officials. The multiple purposes of the site could be integrated with the MMA site, producing considerable added value for the activity.

#### h) Situation

Suspension of the following activities:

- Preparation of SisGen manuals
- Digital Certification services
- SisGen compatibilization with other information systems

#### Recommendation

Resume the contracting processes. Although version 2.0 of SisGen has not been finalized, the preparation of manuals is possible, linked to the products that have already been delivered. The other services will provide more security to the system, and facilitate the enforcement activity with other government bodies.

i) Situation

Cancellation of the contract to produce ABS content for the training cycles for key actors.

Recommendation

The production of content adapted to the Brazilian reality is fundamental to support the training cycles, and other types of training, such as DL courses and thematic guidance to be hosted on the site. There is no specific systematization for providers, users, and legal practitioners in the country. We recommend that the activity is resumed.

j) Situation

Cancellation of preparation of the online modules of continued ABS training programmes, and maintenance of support during the training cycles.

Recommendation

The use of DL to disseminate information, and build capacity, will be essential to implement the Nagoya Protocol in the country. The learning modules should be specific for each audience, and could also be used by key actors following cycle completion, producing product sustainability. We recommend that the activity is resumed.

k) Situation

Cancellation of preparation of the Pedagogical Training Plan (methodology) for Access and Benefit Sharing for indigenous peoples, traditional communities and family farmers, enabling the training of peer-educators on negotiating access to traditional knowledge associated with biodiversity.

Recommendation

We strongly recommend resuming the activity. The diversity of groups and cultures demands the preparation of participative training methodology, which is flexible, to be used in various situations and different communities. The production of a negotiating capacity in accordance with the NP and national laws is a highly complex task and requires extensive efforts. We recommend that the activity is resumed.

l) Situation

Cancellation of preparation of a pilot Community Protocol, with systematization of the methodology to replicate the process in other communities, in order to create the base negotiation mechanism and authorization to access associated traditional knowledge.

Recommendation

Resume the activity. Creation of a Community Protocol focused on access to biodiversity is a basic process to operationalize the Nagoya Protocol. Although there are some experiences in this area, the MMA should follow-up the process for use in the different ethnic and social groups which safeguard traditional knowledge.

m) Situation

Cancellation of consultancy services to prepare ABS contract negotiation materials for IPTCFF and ATK users.

Recommendation

Resume the activity. Understood as a specific activity, unlike the ABS content systematization (broader). The preparation of specific contract negotiation materials to train IPTCFF will provide one of the supports, so that communities may authorize the use of biodiversity through a contract.

n) Situation

Lack of direction in the original project design, to support the actions of peer-educators who have been qualified in the training cycles. Although it is envisaged that materials will be prepared that may be used by the peer-educators, there is a lack of activities to support their actions, in order to guarantee dissemination of the knowledge acquired.

Recommendation

Planning (and incorporation into the logic matrix/work plan) of activities to support the peer-educators, such as support for specific regional workshops for indigenous peoples, traditional communities and family farmers. The project needs to clarify the strategy and training process for academia, IPTCFFs, legal practitioners, public officials and companies.

o) Situation

Lack of planning/forecast to replicate/incorporate Community Protocol construction methodology (institutionalize knowledge at the MMA).

Recommendation

Planning workshop on the results of the Community Protocol construction process, with mass participation by environmental analysts, who should/could guide other processes, appropriating the knowledge. The project needs to clarify the sustainability of the instrument constructed, to be used in national public policy, as a tool to implement the Nagoya Protocol.

p) Situation

The problems faced by the project and insecurity in relation to its future direction. The majority of the results have not been achieved, and the project is in the last year of execution. There are various uncertainties with regards to planning, and the reliable execution of activities which should still be correctly described.

Recommendation

In this type of situation, we recommend that the implementing agency closely follows-up the development of activities with the PMU/UNDP and TCU/MMA, to be able to act in a timely manner when required.

## 7. Mid-Term Review Report Appendices.

### 7.1 List of Appendices

Number	Appendix
1	Mid-term review term of reference.
2	Matrix of guiding questions for the mid-term review process: Project BRA/18/003
3	Guide for the interviews used in the mid-term review mission.
4	Project classification scale
5	List of people interviewed
6	Social and Environmental Screening Template
7	Results Matrix
8	Exchange of correspondence between the MMA and UNDP on the cancellation of activities.
9	UNDP Official Letter to the MMA dated April 2021 requesting the resumption of project activities, planning for the 2021 work plan, and the tripartite meeting.
10	Evidence of exemption from preparation and follow-up of GEF Tracking Tools.
11	Message exchange sequence between the UNDP and MMA teams, both scheduling and cancelling the tripartite meeting
12	MMA Official Letters to the UNDP advising of alterations in the technical team responsible for the project at the TCU.
13	List of processes cancelled/interrupted at the request of the MMA
14	Balancing entry report tables prepared by the MMA
15	DGH/MMA letters to the UNDP advising of the need to interrupt the process of preparing an IPTCFF Pedagogical training plan
16	PMU/UNDP analysis of the proposals to alter activities on the 2021/2022 Work Plan
17	E-mail reiterating the direction of all message exchanges between the PMU and TCU to the TCU/MMA Director and replacement Director
18	Mid-Term Review Evaluative Matrix
19	List of documents revised for the mid-term review
20	ToR ANNEX D: UNEG Code of Conduct for Evaluators/Mid-Term Review Consultants
21	MTR Final Report Clearance Form
22	Comments and observations of the PMU and TCU teams on the preliminary evaluation report (in a separate file).

## APPENDIX 1 – Mid-Term Review Terms of Reference

### TERMS OF REFERENCE

RC 346742

#### NATIONAL CONSULTANT - Individual Contractor (IC)

#### UNITED NATIONS DEVELOPMENT PROGRAMME

**Specialized consultancy services to conduct a mid-term review of Project ATN/FM-16166-BR (BRA/18/003) “Capacity Building and Institutional Strengthening of the National Framework for Access and Benefit Sharing under the Nagoya Protocol” (GEF ID: 5760)**

### 1. CONTEXT

The Convention on Biological Diversity (CBD) was opened for signature at the “Earth Summit” in Rio de Janeiro in 1992, entering into effect in 1993. The CBD is guided by three objectives: the conservation of biological diversity; the sustainable use of its components; and fair and equitable sharing of the benefits arising from the utilization of genetic resources.

The CBD explicitly recognizes the sovereign right of states to discipline the utilization of genetic resources under their jurisdiction, in accordance with environmental policies. In addition, it requires all signatory parties to take legislative, administrative, or political, measures to guarantee fair and equitable sharing of the results of research and development, and the benefits arising from the utilization of genetic resources.

To put into place the third CBD objective, Access and Benefit Sharing (ABS), the Nagoya Protocol (NP) was approved on 29<sup>th</sup> October, 2010, entering into effect on 12<sup>th</sup> October, 2014. The NP provides a set of international regulations which may facilitate access and benefit sharing, decisively contributing towards conservation, and the sustainable use of biodiversity.

The NP provided greater legal security and transparency to providing countries, and users of genetic resources and associated traditional knowledge. It anticipates the establishment of an ABS Clearing-House mechanism, the introduction of International Compliance Certificates, and the possibility of creating a Global Multilateral Benefit Sharing mechanism. In addition, the NP establishes provisions on access to the traditional knowledge of indigenous peoples and local communities who are associated with genetic resources, improving the prospects for these communities to benefit from the use of their knowledge and practices.

The Protocol, ratified by Congress on 8<sup>th</sup> August, 2020, establishes a transparent regulatory framework for parties to implement their national ABS regimes. National efforts should be centred on the application of ABS regulations, and significant awareness-raising of stakeholders.

In 2001, Brazil established its first national ABS regulatory framework through Provisional Measure n° 2.186-16 (Public Prosecution Service).

In 2015, the new federal law on access and benefit sharing was approved - Law n° 13.123 and, in 2016, Decree n° 8.772 was published, which regulates this law. The new legal framework began to establish a new approach, to try to swiftly meet the objectives of the CBD, facilitating technological research and development from access to Brazilian genetic heritage

and associated traditional knowledge. The new ABS regime was proposed, with the aim of making the procedures to access genetic resources and associated traditional knowledge less bureaucratic, promoting and encouraging the advance of scientific research and national industry, and protecting the knowledge of indigenous peoples, traditional peoples and communities, and family farmers, identified in legislation as holders of associated traditional knowledge. In its preparation, it was understood that the establishment of clear regulations on access and benefit sharing would decrease transaction costs, promoting higher values gathered as sharing benefits, which should be applied in sustainable use strategies, to conserve biodiversity, and protect and safeguard associated traditional knowledge.

In order to support achieving these objectives, and the implementation of national legislation, the “Capacity Building and Institutional Strengthening of the National Framework for Access and Benefit Sharing under the Nagoya Protocol” Project was signed through a partnership established between the Inter-American Development Bank (IDB), Ministry of the Environment (MMA) and United Nations Development Programme (UNDP).

The aim of the project is to support Brazil with the effective implementation of its new legal and national regulatory framework, and the institutional capacity and governance required to manage the access and benefit sharing arising from the economic exploration of a finished product, or reproductive material, which originated from access to genetic heritage and/or associated traditional knowledge (ATK). It also has the goal of improving the knowledge of public officials, holders of associated traditional knowledge, and users of genetic heritage and ATK, enabling the country to meet the terms set out in the Convention on Biological Diversity and Nagoya Protocol, when this is ratified by National Congress.

The project envisages the achievement of the following specific objectives: (i) supporting the formulation and enactment of regulation that allows implementation of the new national law that regulates ABS, and favours ratification of the Nagoya Protocol by Brazil; (ii) supporting the development and implementation of the essential legal, administrative and technological instruments and institutional capacity to share information and administer the national ABS mechanism; and (iii) expanding knowledge and the capacity of the main stakeholders in Brazil, also through the exchange of information at regional and international levels.

In order to achieve these objectives, the project was structured in three technical components, as follows:

### 1. ABS National Regulatory Framework.

This component aims to establish the new Access and Benefit Sharing Regulatory Framework, through a combination of key instruments, studies, awareness-raising and capacity building, which form essential factors for the effective implementation of the Nagoya Protocol by Brazil, and new ABS legislation.

The following activities, among others, will be funded: (i) national, regional and international dialogue meetings, awareness-raising campaigns, and strengthening institutional capacity addressed at stakeholders, to promote an environment favourable to the implementation of new ABS legislation and the Nagoya Protocol by Brazil; (ii) development of two key provisions of the national ABS law and Nagoya Protocol: the National Benefit Sharing Fund (NBSF), and regulations to harmonize the Nagoya Protocol with national laws and standards in key sectors, including traceability mechanisms (e.g., control points and authorization, so that the government, indigenous peoples and local communities monitor the use and sale of genetic resources, in accordance with the terms of Articles 15 – 17 of the Nagoya Protocol); (iii) technical studies to support improvement of the ABS Institutional System, focusing on new competencies and activities of the Genetic Heritage Management Council (CGen), and the integration of their systems with databases and systems of other government bodies with responsibilities within the scope of the national ABS law; and (iv) strengthening the institutional support structure of CGen.

### 2. Management of Knowledge and Information.



This component aims to provide the appropriate conditions and management instruments to facilitate the sharing of knowledge, to encourage registration processes, authorize access activities, and make available coherent notification channels according to the requirements of the Nagoya Protocol, through the development and implementation of the necessary internet-based digital instruments.

The following activities, among others, will be funded: (i) development, implementation and improvement of the National System for the Management of Genetic Heritage and Associated Traditional Knowledge SisGen, and an integrated, advanced, ABS internet-based site, (national information exchange mechanism), which mirrors and complements the Access and Benefit Sharing Clearing-House, established in accordance with article 1s of the Nagoya Protocol; (ii) gather and organize the ABS information required to feed the ABS site and SisGen; (iii) development of an access traceability system; (iv) manuals and instructions for users and providers of both the systems and site; and (v) technical requirements to incorporate the management system and site.

### 3. Capacity Building and Institutional Strengthening.

This area of work aims to expand the awareness, capacity and skills of various stakeholders in Brazil, so they can make total use of the opportunities that the ABS regime has to offer. In order to maximize its effectiveness, the training will concentrate on establishing peer-educators of knowledge and information on the new ABS system among the main stakeholders: male and female representatives of indigenous peoples, traditional communities, and family farmers, as the providers of associated traditional knowledge (ATK), and potential local users of genetic heritage and associated traditional knowledge, such as researchers, entrepreneurs and start-ups.

The training activities will focus on improving the capacity to negotiate ABS contracts, the benefits and implications of the new legal and administrative ABS framework, and operation of the system. Key government and judiciary staff will also receive training, to act as peer-educators, to create a regulatory and administrative capacity in ABS procedures.

The following activities, among others, will be funded: (i) instruction and training materials on the new Brazilian legal framework for all the key actors in the national ABS system, such as public officials, legal practitioners, and science and technology institutions, companies and indigenous peoples, traditional communities, and family farmers; (ii) awareness-raising campaigns and training programmes for peer-educators, for indigenous peoples, traditional communities and family farmers, and other stakeholders, in ABS operations, negotiation skills, and participation in benefit sharing projects; (iii) methodological guidelines, as a tool to obtain prior informed consent; and (iv) formulation and preparation of a pilot “Community Protocol”, as a basic model for ABS agreements involving associated traditional knowledge, with prior informed consent, mutually agreed terms and benefit sharing, according to the terms of the national ABS law and Nagoya Protocol.

In addition, the project envisages resources for its management, monitoring and evaluation, with a view to following-up progress, and to periodically evaluate performance in relation to the expected results.

The project is executed by the UNDP in the UNDP Direct Implementation Modality (DIM), in partnership with the Inter-American Development Bank – IDB, the project implementing agent with GEF. The Ministry of the Environment, the main project beneficiary, acts as the Project Technical Coordinator, through the Biodiversity Secretariat, Department of Genetic Heritage. The MMA is responsible for guaranteeing strategic guidance and general technical coordination of the project, in addition to coordination with local and indigenous communities, to raise their awareness, for training activities, as envisaged in Component 3, and with other government agencies relevant to project implementation.

The Project Document was signed with the MMA, through an agreement signed between the IDB and UNDP Brazil, through which non-refundable technical cooperation is established, in which the UNDP acts as the Project Executing Agency.

The project has a budget of USD 4,401,931 (four million, four hundred and one thousand and nine hundred and thirty-one American dollars), funded by the Inter-American Development Bank – IDB (IDB/GEF Fund). A further USD 4,401,931 (four million, four hundred and one thousand and nine hundred and thirty-one American dollars) of a non-financial nature were mobilized by the Ministry of the Environment – MMA, which are not included in this budget, and are reported by the MMA to the IDB, through co-financing reports.

Budget in USD:

<b>Component – Activity</b>	<b>IDB/GEF (USD)</b>	<b>Parallel Funding<sup>20</sup> (USD)</b>	<b>Total</b>
<u>Component 1. ABS National Legal Framework</u>	387,500	1,705,530	2,093,030
<u>Component 2: Management of Knowledge and Information</u>	1,045,900	496,401	1,542,301
<u>Component 3: Capacity Building and Institutional Strengthening</u>	2,518,300	1,875,000	4,393,300
<u>Management, monitoring, evaluation and auditing</u>	70,000	-	70,000
<u>Contingencies</u>	54,161	-	54,161
<u>Project Management</u>	326,070	325,000	651,070
<b>Total Cost</b>	<b>4,401,931</b>	<b>4,401,931</b>	<b>8,803,862</b>

## **2. OBJECTIVE**

The objective of these consultancy services is to conduct the **Mid-Term Review (MTR) of Project ATN/FM-16166-BR, BRA/18/003 – Capacity Building and Institutional Strengthening of the National Framework for Access and Benefit Sharing under the Nagoya Protocol.**

The consultant will evaluate progress towards achieving the project objectives and results, as specified in the Project Document (PRODOC), and will evaluate the first signs of success, or failure, of the project, with the aim of identifying the changes that need to be made to put the project on the right path, to achieve the results. The MTR will also review the project strategy, the risks to sustainability, and preparation of an exit strategy for when the project ends. If the project does not have a defined exit strategy, the consultancy services will assist in its preparation halfway through the period.

## **3. SCOPE**

The BRA/18/003 Project Mid-Term Review should:

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<sup>20</sup> Parallel financing will be provided by the Ministry of the Environment (MMA), through reports presented to the bank.

- a. Determine and evaluate project progress, qualitatively and quantitatively identifying the physical and financial results<sup>21</sup> of the products achieved. GED evaluation criteria should be considered: efficiency, effectiveness, relevance, sustainability and impact.
- b. Evaluate the efficacy and efficiency of project execution, identifying any obstacles for its satisfactory and timely execution, with proposals for any adjustments to the design, and any other aspects required to achieve the objectives agreed within the project scope. Conduct an analysis of the sustainability of the investments and efficacy in its development, and positive added values. The efficiency evaluation should include a preliminary analysis of the results and impacts in relation to input, costs and the implementation period, and answer the following: (i) if the project was economical; (ii) with the project cost/time relation compared with the results of similar projects, and (iii) if project implementation was delayed due to bureaucratic, administrative or political problems, and if this affected the cost/benefit relation.
- c. Conduct an analysis of compliance with the project results matrix and its vertical logic: establish a relation between the results obtained mid-term, and what had been planned, in order to identify if what was proposed for the project will effectively contribute to achieving its objectives; evaluate the design and indicators formulated for the project and monitoring instruments. Evaluation of project effectiveness should also consider the following: (i) if project activities are in accordance with the schedule of activities defined by the six-monthly reports and annual operational plans; (ii) if the project disbursements and expenditure are in line with the budget plans, and monitoring mechanisms;
- d. Analyze the reach of the indicators and objectives of the projected performance, considering the following: (i) comparison of performance in relation to the indicators and projected goals; (ii) if current performance indicates the probability of achieving the purpose of the project (specific objective); (iii) whether there has been an unplanned effect, or not; (iv) the main issues that affect project implementation; (v) which adjustments were made, or proposed, to the project to accommodate these problems, including technical, institutional, financial, and economic, considerations.
- e. Analyse the *pari passu* of the parallel financial application (co-financing), and adequate coordination between the activities funded by the IDB/GEF fund, and those executed with parallel financing resources for beneficiaries. A comparative table should be presented of the original co-financing (as approved by the GEF), in relation to what was disbursed mid-term (see model in Appendix of this ToR);
- f. Evaluate the relevance and contribution of the activities envisaged in the project to implement public policies, correlated plans, and programmes, and identify any measures to increase synergy between the project and initiatives with converging objectives. The evaluation should consider the following: (i) if the project design is adequate to solve the problem(s) in question; (ii) which internal and external factors influenced the capacity of the beneficiary groups and stakeholders to achieve the intended objectives; (iii) if the project is still relevant, considering possible changes in context, and (iv) if there is a need to reformulate the project design, given the changes in the country, sector, environment and operational context;
- g. Evaluate evidence of the sustainability of actions, and direct and indirect project results, in environmental, institutional and financial terms, through their incorporation in public policies. The following should be evaluated: (i) if the financial, environmental, socio-economic and institutional risks have changed mid-term; and (ii) if this could be an obstacle to the project close;
- h. Analyze the institutional arrangements defined to implement the project, identifying restrictions to the execution of activities, and opportunities to improve the operational and monitoring instruments. The evaluation should also analyze the degree of project collaboration and complementarity with partners and local actors (environmental companies, community organizations, and civil society organizations, among others), highlighting the commitments, roles and responsibilities they have acquired;

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<sup>21</sup> Includes the total project value stipulated in the sole appendix of the Cooperation Agreement (IDB/GEF Funds, Balancing Entry, and Co-financing).

i. Review the Tracking Tools (TTs) of the original focal area of biodiversity approved during the CEO Endorsement and update them, based on investigations conducted with the corresponding stakeholders.

j. Present the lessons learned in the mid-term review framework conducted, identifying possible alternatives to improve the project, which may include adjustments to the project activity schedule, implementation, and budget arrangements, among others.

k. Analyze and propose an update on the risks identified in the project, and update the Risk Management Matrix (RMM);

l. If pertinent, evaluate if the project gender strategy and implementation plan are aligned with the GEF Gender Action Plan and Policy. How the gender indicators proposed align with the project assumptions until this time should also be analysed.

Based on the analyses above, the consultancy services should prepare key recommendations, focused on the project alterations required to overcome any obstacles, in order to ensure implementation of the instruments developed by the project, and the sustainability of its benefits. The recommendations should include proposals of any adjustments required in the design, technical, financial, economic, and institutional structure, to execute the project, including:

m. Identify, or propose, corrective actions and strategies required to efficiently achieve the planned products, including adjustments to the institutional arrangements, operational instruments and monitoring of each component, and measures to improve supervision;

n. Identify or propose/present any adjustments to the objectives, strategies, components, and activities, with the aim of readjusting the project, also considering the current legal, institutional, political and sanitary context of the country with regards to the Covid-19 pandemic;

o. Present a readjustment of the physical and financial goals, also considering the availability of financial resources.

The MTR consultant will include a section in the MTR report presenting the conclusions, based on MTR evidence, in the light of the findings.

In addition, it is expected that the MTR consultant makes recommendations to the Project team. These recommendations should be brief suggestions for specific, measurable, feasible and relevant critical interventions. A table of recommendations should be placed in the executive summary of the report.

The consultant should follow the criteria defined by the United Nations Evaluation Group (UNEG) evaluation best practices.

#### **4. ACTIVITIES AND PRODUCTS**

Document analyses, an investigation of secondary data, interviews and field surveys, among other activities, detailed in the following items, should be conducted to perform the services. When requested, the consultant should take part in meetings, online conferences, and other events, required to plan and execute the services. H/she should also take part in meetings with the UNDP, IDB and MMA representatives, to present the evaluation results.

The Work and Evaluation Methodology Plan should describe the stages of each activity to be developed, in detail, in order to subsidise the project review.

The document should include a clear, overall view of the MTR approach, including:

- Purpose, objective and scope of the review;
- Approach of the MTR, including a summary of the methodologies to be used to gather data, and the criteria followed to select these methodologies. This should include, for example, document analysis, stakeholder interviews, field visits, questionnaires, focal groups, and other participative techniques, to gather information;

- Principles and criteria used to select the interviewees. The interviews should take place online, on account of social distancing measures, due to the Covid-19 pandemic;
- Schedule of the proposed tasks and activities, and
- Evaluation matrix specifying the main criteria, indicators, and benchmarks, for the criteria to be evaluated.

The mid-term review report should be conducted from the:

a) **Review of literature/document analysis, including:**

- CEO Endorsement request;
- Project Identification Form – PIF;
- Original Tracking Tools of the focal area of biodiversity approved during the CEO Endorsement;
- Non-Reimbursable Technical Cooperation ATN/FM -16166-BR;
- Project Document (PRODOC) and results matrix;
- Six-monthly progress reports, and minutes of tripartite meetings;
- Project Operational Plan - POP/Acquisition Plan – AP;
- Periodic execution and follow-up reports;
- Monitoring and administration meeting memory aids;
- Reports of external audits conducted on the project;
- Technical and other documents produced by consultancy services financed by the project;
- Legislation and correlated standardization, especially the current ABS regime of Law 13.123/2015, and its regulatory decree, and
- Other relevant documents.

b) **Preliminary analysis:** from the guidelines established in the Work Plan and, based on a review of literature and interviews, a preliminary report should be prepared, which includes an integrated and systematized analysis of interviews with the project's key actors. The preliminary result should be presented to the UNDP, IDB, and MMA, at a workshop to present the preliminary conclusions, while considering the following activities:

*Interviews: the consultant should prepare and hold a schedule of interviews to obtain opinions and perceptions on project performance, consulting the relevant people who are directly or indirectly connected to the project, who should be contacted online, on account of social distancing measures, as a result of the Covid-19 pandemic. The following actors should be consulted, as a minimum:*

- The directors involved in project management;
- Technicians from the institutions involved in executing the project;
- Strategic partners to execute the components, such as CGen representatives, representatives of the Holders of associated traditional knowledge, government and academic representatives;
- The consultancy companies and individual consultants responsible for executing specific project studies and activities;

*An organized interview schedule, using resources such as spreadsheets, diagrams, and graphs; Executive summary of the actions conducted from project execution report records, and preliminary conclusions.*

c) Meeting to present the workshop structure, dynamics and processes.

d) Hold a workshop to present the preliminary conclusions: a workshop of up to 5 days should be held, following the close of the MTR mission, with specialists, technicians, project

managers, and partners, to discuss the main conclusions drawn from the interviews on the execution, results, impacts, and other topics related to the project objectives. The workshop will present the preliminary conclusions on the evaluation items (as per the above scope), and should be conducted to encourage discussion, based on guiding questions, with systematically compiled responses. The workshop will be held online, on account of the Covid19 pandemic.

e) Based on the results of the preliminary analysis, interviews and the workshop, a **draft Final Report** will be prepared. The draft report will be submitted to the UNDP and IDB for review and comments within two weeks after the evaluation has been concluded.

f) Once comments on the draft final report have been received from the institutions responsible for project management, the consultant should prepare the Mid-Term Review Consolidated Final Report.

*1. The consolidated Mid-Term Review Final Report should contain the following for all of the subjects proposed: (1) Main evaluation findings; (2) Analysis of the use of GEF resources and co-financing; (3) Problems and their causes, suggesting solutions; (4) Key success factors; (5) Challenges which have been overcome, and the remaining obstacles and challenges; (6) Lessons learned; (7) The strong and weak points, in terms of planning, management, implementation and monitoring; (8) Mid-term update on the original Tracking Tools for the area of biodiversity approved during the CEO Endorsement; (9) Conclusions and recommendations on the future approach of project actions to be conducted. They should list the actions required to efficiently achieve the planned products, including any adjustments to the monitoring indicators of each component, and measures to improve supervision. The Consolidated Final Report should also present an executive summary.*

## 5. **MID-TERM REVIEW SCHEDULE**

The total duration of the MTR will be 65 days. The provisional MTR schedule, starting on 15<sup>th</sup> March, 2021, is as follows:

Activity	Number of days	Completion date
Document review and prepare the Work Plan and evaluation methodology	10 days	25 <sup>th</sup> March, 2021
Meeting to finalize and approve the Work Plan	1 day	26 <sup>th</sup> March, 2021
Meetings with stakeholders, interviews, and preparation of a closing workshop	17 days	12 <sup>th</sup> April, 2021
Workshop to present the preliminary conclusions	1 day	13 <sup>th</sup> April, 2021
Preparation of a draft Final Report	15 days	28 <sup>th</sup> April, 2021
Review and comments from the UNDP and partners	13 days	11 <sup>th</sup> May, 2021
Preparation of the Consolidated MTR Final Report/Incorporation of feedback on the draft report	8 days	19 <sup>th</sup> May, 2021

## 6. **PRODUCT PAYMENT AND DELIVERY SCHEDULE**

PRODUCTS	DELIVERY DEADLINE	PAYMENT
Product 1 – Work Plan and Evaluation Methodology	11 days after the start of the contract	10%
Product 2 – Workshop report and draft MTR Final Report	44 days after the start of the contract	40%
Product 3 – Consolidated MTR Final Report and Executive Summary	65 days after the start of the contract	50%

## **7. FORM OF PRESENTING THE PRODUCTS**

The form of presenting the products should be:

- All the products should present content and language compatible with its destination, duly typed and formatted, and containing a list of works and documents which were consulted.
- All the files should be provided in an open format, without any passwords, and including the files inserted in the body of the report texts (such as diagrams, tables and graphs, etc.), which should also be delivered in their original format.
- All the reports should be prepared in “doc” format, in Microsoft Word, compatible with the Microsoft Office 2010 package. All the spreadsheets should be prepared in “xls” format in Microsoft Excel, compatible with the Microsoft Office 2010 package, including the spreadsheets inserted in the body of the report texts.
- All the databases should be prepared in “mdb” or “adp” format in Microsoft Access, or “xls” format in Microsoft Excel, compatible with import by Microsoft Access and the Microsoft Office 2010 package.

## **8. COPYRIGHT**

The copyright or any other rights, of any nature, on the materials (specifications, designs, projects, originals, files, programmes, reports, and other documents) produced within the scope of the contract should be returned directly to the IDB, UNDP, and MMA, being delivered before the date established for the end of the contract.

The consultant may retain a copy of the above-mentioned products, but their use for purposes other than the object of this instrument, and their total or partial reproduction, depends on prior and express authorization by the IDB, and UNDP, even after the contract has been completed.

## **9. MTR INSTITUTIONAL ARRANGEMENT**

The UNDP Project team will be responsible for providing all the relevant documents, and arranging interviews with the stakeholders.

Any travel expenses related to conducting the MTR will be covered by the project and should not be included in the applicant's financial proposal.

## **10. WORKING PERIOD**

The total duration of the work will be 65 consecutive days following signature of the contract.

## **11. PLACE OF WORK**

The consultant will mainly work at their own base. The consultant should be available for online meetings (Zoom or Teams). The MTR will not involve any travel to Brasília/Federal District and the project's areas of intervention, due to social distancing measures, as a result of the Covid-19 pandemic.

Any travel expenses, including accommodation and food, will be covered by the project.

## **12. SUPERVISION AND PAYMENT CONDITIONS**

Approval of the products resulting from this contract will be granted by the IDB. Product acceptance will take into consideration their quality and meeting the predicted criteria. Following

acceptance of the products described in these Terms of Reference by the IDB, the Project will make the payment.

### **13. AVAILABILITY**

The candidate should be available to start work immediately.

### **14. SELECTION PROCESS**

#### **14.1. Application procedure**

In accordance with the UNDP standards applicable to hiring Individual Consultants, applications should include a Technical (Curriculum Vitae – CV) and Price Proposal.

Technical Proposal: current, updated CV in an editable file compatible with Word, or in PDF format.

Price Proposal (in reais) indicating the global cost of the service, in PDF format (signed).

The technical proposal (CV) and signed Price Proposal (in PDF) should be presented in separate files. Any proposals sent that are not in compliance with the contents of this ToR will not be considered.

The UNDP applies a fair and transparent selection process, which will take into consideration the competencies/qualifications of the applicant(s), and their financial proposals. Qualified women and social minorities are encouraged to apply.

The consultant selected should not have taken part in the preparation and/or implementation of the project, and should not have a conflict of interest with project-related activities.

#### **14.2. Professional qualifications**

The consultant should hold the following qualifications (included on the CV):

##### *Compulsory criteria:*

- Degree in any area;
- Minimum experience of 2 (two) mid-term or final evaluations of international technical cooperation projects;

NB: Any candidate(s) who do not meet the above mandatory requirements will be disqualified.

##### *Grading Criteria:*

- Post-Graduation in any area;
- Additional experience to the minimum required of 2 (two) mid-term and/or final evaluations of international technical cooperation projects;
- Work experience with the GEF, or with GEF Project evaluations will be considered an asset;
- Minimum experience of 1 (one) Project on the subject of Access and Benefit Sharing;
- Minimum experience of 1 (one) Project related to the Convention on Biological Diversity, and/or Nagoya Protocol.
- Work experience and/or field evaluations with traditional peoples and/or rural communities, and/or small producers;



- Fluency in English, with good writing skills;

### 14.3. Evaluation procedure

#### Technical Qualification Classification (CV)

The maximum technical qualification score is 100 points.

The technical qualification criteria is divided into 3 (three) stages:

*a) 1<sup>st</sup> stage (eliminary/no score): Analysis of CV for fulfilment of the mandatory requirements in the Terms of Reference.*

Analysis of the curriculum will verify whether it meets the pre-requisites of the position, or not, as described in the Terms of Reference.

The candidate(s) who do not meet the minimum mandatory criteria set out in the Terms of Reference will be disqualified at this stage. The candidates who do not send a Price Proposal will also be disqualified in the 1<sup>st</sup> stage.

*b) 2<sup>nd</sup> stage (qualifying/scoring): Curriculum analysis.*

The criteria for the curriculum analysis are provided in the table below. Only the curriculum vitae of the candidate(s) classified in the 1<sup>st</sup> stage of the technical qualification will be analyzed.

Scoring Criteria – 2 <sup>nd</sup> Stage of Technical Qualification (Analysis of CV )			
CRITERIA	Score	Weight	Sub-total (max.)
<b>Curricular analysis (scoring requirements)</b>			
Post-Graduation in any area -No post-graduation: 0 points - Specialization: 2 points; - Master's: 3 points; - Doctorate: 5 points.	0 to 5	2	10
Additional experience to the minimum required of 2 (two) mid-term and/or final evaluations of international technical cooperation projects. - 3 evaluations: 5 points. - 4 evaluations: 7 points - 5 evaluations: 9 points - 6 evaluations or more: 10 points	5 to 10	2	20
Work experience with the GEF, or GEF project evaluations - 1 project carried out: 1 point - 1 point per additional project, up to 5 points	0 to 5	1	5
Minimum experience of 1 (one) Project related to the subject of Access and Benefit Sharing. - 1 project carried out: 1 point - 1 point per additional project, up to 5 points	0 to 5	1	5
Minimum experience of 1 (one) Project related to the Convention on Biological Diversity and/or Nagoya Protocol. - 1 project carried out: 2 points - 02 points per additional project, up to 10 points, or 4 additional projects	2 to 10	1	10
Experience of 1 (one) Project and/or field evaluations with traditional peoples, and/or rural communities, and/or small producers	2 to 10	2	20

Scoring Criteria – 2 <sup>nd</sup> Stage of Technical Qualification (Analysis of CV )			
CRITERIA	Score	Weight	Sub-total (max.)
- 1 project carried out: 2 points - 02 points per additional project, up to 10 points, or 4 additional projects			
<b>Total</b>			<b>70</b>

Information on the Evaluation Committee: The committee will be formed of a minimum of 3 members who will award individual evaluation scores. The candidate's final score will be the average of the evaluators' individual scores.

The individual scores will be awarded in accordance with the information presented by the candidate on their CV. Therefore, it is important that the candidate clearly indicates the professional experience required on their CV, both in the compulsory and scoring sections, so the Evaluation Committee may make the appropriate analysis.

*c) 3<sup>rd</sup> stage (qualifying/scoring): Interview.*

The candidate(s) who obtained a **minimum score of 40 points in the CV analysis** will be interviewed.

The candidate(s) will be individually evaluated by an examination panel. The interview will be held for a maximum of 30 (thirty) minutes per candidate, will include oral questions on topics and practical situations related to professional activities, and will deal with technical knowledge, including related contents and specific knowledge set out in the term of reference.

The following will be considered in the technical-situational evaluation:

Scoring Criteria – 3 <sup>rd</sup> Stage of Technical Qualification (Interview)			
Criteria	Score*	Weight	Sub-total (max.)
Command of the content of the topics covered	0 to 5	1	5
Demonstration of knowledge of project evaluation methodologies and tools	0 to 5	2	10
Demonstration of knowledge of international technical cooperation projects	0 to 5	2	10
Fluency in English	0 to 5	1	5
<b>Total</b>			<b>30</b>

\* Scoring for the interview will be awarded in accordance with the following scale: 1 – Poor; 2 – Reasonable; 3 – Good; 4 – Very Good; 5 – Excellent.

#### Commercial Proposal Classification (Price) – Final Classification

Only the commercial proposals of the candidates who obtained a **Final Technical Score with a minimum of 70 points in the Technical Qualification Stage (CV analysis and interview)** will be opened.

Commercial Proposal Score – CS will be calculated as follows:

$$CS = 100 \times \text{MinPP} / P_{pi}$$

Where:

CS = Commercial proposal score

MinPP = Lowest price proposal

P<sub>pi</sub> = Price proposal under evaluation

The proposal with the lowest price will be awarded a score of 100 (one hundred).

The Final Result - FR of the application process will be achieved by adding the Final Technical Score (TS) multiplied by the factor 0.70, with the Commercial Proposal Score (CS) multiplied by the factor 0.30, i.e.:

$$FR = (TS \times 0.70) + (CS \times 0.30)$$

**The proposal that achieves the highest Final Result will be selected.**

#### Special Considerations

This selection process will be conducted by the UNDP, following the standards and guidelines of this organisation (simplified selection, and employed as an Individual Contractor (IC)).

“In accordance with United Nations regulations, the direct or indirect employment of active civil servants from federal, state, federal district or municipal Public Administration, and employees of their subsidiaries or controlled enterprises, is only permitted under special conditions.”

APPENDIX 2 – Matrix of guiding questions for the mid-term review process: Project BRA/18/003

Evaluation Questions	Indicators	Sources	Methodology
<b>Project strategy: To which point is the project strategy relevant for the country's priorities? Is the project aligned with the country's policy and is its planning the best path to achieve the expected results?</b>			
Is the project aligned with Brazilian environmental public policies and the Nagoya Protocol?	Government approval	Interviews and project design documents.	Verify government participation in the preparation of the project through the analysis of documents and interviews.
Did the project receive government attention and support when it was being prepared?	Government approval and signed commitments.	Interviews and project related documents	Verify government participation in the preparation of the project through the analysis of documents and interviews.
Are there changes in government that represent risks or advantages for project development in relation to its objectives?	Achieves results and goals. Disbursements. Contracts executed. Level of coherence between the project design and implementation approach.	Interviews and project reports	Verify the development of activities registered on the PIRs, and listen to the engaged teams.
In what way can changes in government either support or hinder project development?	Achieves the results and goals. Disbursements. Contracts executed.	Interviews and project reports	Analyze the development of activities registered on the PIRs, and documents which present alterations to the proposals. Listen to the engaged teams.

Evaluation Questions	Indicators	Sources	Methodology
<b>Progress towards results: To what extent were the results and objectives expected from the project achieved until this time?</b>			
How many products and activities were completed by the project?	Contracts executed, disbursements and products delivered.	Annual Work Plan, Project results matrix	Review project documents
What is the real level of project disbursement?	Sum disbursed.	Disbursement request documents	Review project documents
To what extent were the expected results achieved?	Number of results achieved by each project component	PIRs	Review project documents
What is the activity execution status? Which activities should be executed this year?	Number of activities completed	PIRs and interviews	Review project documents, asking the Project team about the context of the activities.
Are there any obstacles which prevent the project from adequately executing the activities, and achieving the planned results?	Number of activities completed	PIRs and interviews	Review project documents, asking the Project team about the context of the activities.
<b>Project implementation and adaptive management: Was the project able to efficiently and economically adapt to any changing conditions until now? To which point do the project monitoring and evaluation systems, project reports, and communication, support implementation?</b>			
What were the changes during project execution that influenced its development?	Number of documents requesting changes officially received by the Project team	PIRs and interviews	Review project documents, and ask questions during the interviews.
What were the adaptations and corrections made by the Project team to adapt to the new context?	Number of alterations made to the planning.	PIRs and interviews	Review project documents, and ask questions during the interviews.

Evaluation Questions	Indicators	Sources	Methodology
Did these changes achieve the results expected?	Number of goals and results achieved following	PIRs and interviews	Review project documents, and ask questions during the interviews.

	alterations to the planning documents.		
The monitoring and evaluation systems, reports and communication are operating adequately to advise of and enable appropriate decisions to be made?	Number and efficacy of the monitoring systems.	PIRs and interviews	Review project documents, and ask questions during the interviews.
<b>Sustainability: To what point are there financial, institutional, socio-economic and/or environmental risks which threaten the long-term project results?</b>			
Are there any financial risks for the project? What are they?	Number and type of warnings of risks mentioned in reports and during interviews.	PIRs, communication documents of internal and external projects (for partners) on risks and interviews.	Review project documents, and ask questions during the interviews.
Are there any institutional risks for the project? What are they?	Number and type of warnings of risks mentioned in reports and during interviews.	PIRs, communication documents of internal and external projects (for partners) on risks and interviews.	Review project documents, and ask questions during the interviews.
Are there any socio-economic risks for the project? What are they?	Number and type of warnings of risks mentioned in reports and during interviews.	PIRs, communication documents of internal and external projects (for partners) on risks and interviews.	Review project documents, and ask questions during the interviews.

<b>Evaluative questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Are there any environmental risks for the project? What are they?	Number and type of warnings of risks mentioned in reports and during interviews.	PIRs, communication documents of internal and external projects (for partners) on risks and interviews.	Review project documents, and ask questions during the interviews.

Matrix completed in accordance with Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF – Financed Projects.

### APPENDIX 3 – Guide for the interviews used in the Mid-Term Review Mission

Obs: There was a variation in the questions according to the interviewee's role. The following questions served as a base for the interviews.

Name:

- Type of stakeholder: (Works on the project; hired by the project; beneficiary; partner)
- Interviewee's work history or project knowledge (since when has s/he been working on the project, or known about it, expectations, and what is their relationship with the project, etc).
- Results obtained by the project.
- Obstacles faced by the project.
- Specific questions on the stakeholder's relationship with the project.
- List of evidence/sources with regards to what was mentioned.

#### APPENDIX 4 – Project classification scale

Project Name: **Capacity Building and Institutional Strengthening on the National Framework of Access and Benefit Sharing (ABS) under the Nagoya Protocol;**

Project strategy		Description
Progress against results	Component 1 National ABS Regulatory Framework  Classification: <b>MS</b>	Ratification of the NP, later project support of CGen, and establishment of the NBSF were important achievements. The lack of prospects of working with key sectors hindered achievement of the goals.
	Component 2 Management of knowledge and Information  Classification: <b>MU</b>	Preparation of version 2 of SisGen is underway, but the cancellation of contracts to support SisGen, and the cancellation of the activity to prepare the Information site seriously affect the expected result.
	Component 3 Capacity Building and Institutional Strengthening  Classification: <b>U</b>	Although the initial training for public officials and researchers was a good start, the project stopped holding training for legal practitioners and companies, and interrupted planning for training and activities for IPTCFFs, stopping work in the group in most need, to operationalize the NP.
Project implementation and adaptive management.	Classification: <b>U</b>	The Project teams tried to compensate for the initial delays in 2018 and 2019, cohesively reacting in a “task force”. However, the removal of DGH technicians, and requests to cancel contracts and activities in the second half of 2020 onwards, are a concrete impediment to the project achieving a considerable part of the results, being precisely the segment which requires the greatest efforts for operation of the NP.
Sustainability	Classification: <b>U</b>	Operation of the NBSF and National System for the Management of Genetic Heritage and Associated Traditional Knowledge (SisGen): although they are expressive results, they will not be enough to produce sustainability of the project results, which is concrete implementation of the Nagoya Protocol in the country. The current lack of prospects for achieving the project results indicates impediments for its sustainability.

Description of progress against results classifications.

<b>Highly Satisfactory (HS)</b>	It is expected that the objective/result reaches or exceeds all of the project’s final goals, without any major deficiencies. Progress against the objective/result could be presented as “best practice”.
<b>Satisfactory (S)</b>	It is expected that the objective/result achieves the majority of the project’s final goals, with slight deficiencies.
<b>Moderately Satisfactory (MS)</b>	It is expected that the objective/result achieves the majority of the project’s final goals, but has significant deficiencies.
<b>Moderately Unsatisfactory (MU)</b>	It is expected that the objective/result achieves its goals at the end of the project, with major deficiencies.
<b>Unsatisfactory (U)</b>	It is expected that the objective/result does not achieve the majority of project’s final goals.
<b>Highly Unsatisfactory (HU)</b>	The objective/result did not achieve its mid-term goals, and is not expected to achieve any of the project’s final goals.

#### APPENDIX 5 – List of people interviewed



UNDP, IDB, and government personnel.

Name	Post
UNDP	
Luana Lopes	Sustainable Development Coordinator/UNDP Programme Officer
Renatha Calazans	Project Manager
Larissa Schmidt	Project Biodiversity Specialist
Rachel dos Santos	Project Assistant
Juliana Wenceslau	Planning Officer
IDB	
Luís Hernando Hintz	Team Leader
Gustavo Matsubara	Climate Change & Sustainable Development Consultant
Octavio Jorge Damiani	Senior Rural Development and Agriculture Specialist
Flavio Chaves	IDB Technical Specialist
MMA (Ministry of the Environment)	
Maria Beatriz Miliet	Biodiversity Secretariat – Ministry of the Environment (MMA)
José Renato Ferreira	Deputy Director (Department of Genetic Heritage)
Nilton Reis Batista Jr.	Environmental Analyst (MMA)
Ana Luísa Arraes Alencar Assis	Environmental Analyst (MMA)
Ana Carolina Mendes dos Santos	Environmental Analyst (MMA)
Nathalia Fidélis Araújo	Department of Genetic Heritage team
Thiego de Sousa Cotrim	Department of Genetic Heritage team
Henry Novion	Department of Genetic Heritage, member of Project design team at the MMA.
FUNAI (National Foundation of Indigenous Peoples)	
Maira Smith	Analyst, former member of the Project design team at the MMA.

Brazilian Cooperation Agency (ABC) and hired personnel and companies.

The role of the interviews with the people below was to verify the connection and alignment of the project's goals with the country environment and international cooperation policies (ABC), and to obtain information about the experience of product developers related to the project's main objectives.

Name	Task
Official responsible for project follow-up at ABC: Alessandra Ambrósio	Monitoring and approval of project design, implementation, results, and closure
Ticiane Imbrosi (consultant)	Responsible for the Pedagogic Plan for traditional communities and indigenous peoples.
Marília Gabriela Rezende (FINATEC)	Responsible for preparation of Community Protocol methodology.

### Interviews with direct beneficiaries

The interviews with beneficiaries were important to receive feedback about the quality of the activities, their knowledge about project objectives, and the sustainability perspectives of the training and workshops, considering the project results.

Beneficiaries	Names
Members of the Genetic Heritage Management Council (CGen)	Cristiane Pankararu (indigenous representative) Alberto Terena (indigenous representative) Cláudia de Pinho (Traditional Community representative) Dona Elizete (Condraf)
Government inspectors from the Ministry of the Environment who participated in the training workshops (IBAMA).	Isaque Medeiros Siqueira

## APPENDIX 6 – PRODOC Social and Environmental Screening Template

### P ; and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?  <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>		QUESTION 3: What is the level of significance of the potential social and environmental risks?  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	I = 1 P = 1	Low	The project does not entail the direct use of genetic resources, but rather the strengthening of national legislation and capacities to deal with the ABS under CBD and NP.	Indigenous Peoples and Traditional Communities participate at the National Council for Genetic Patrimony (CEGEN) which is the responsible entity for emitting authorizations for access and contracts under the national legislation for ABS. Thus, social control, and their representation, is guaranteed in the decision-making process. This goes beyond the actions of this specific project which is limited to institutional strengthening and promotion of capacity building initiatives on ABS for the public as a whole.
Risk 2: Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	I = 1 P = 3	Moderate	The project shall positively affect the traditional livelihoods of indigenous peoples by providing them with the necessary knowledge on their rights, mechanisms and procedures to undertake ABS initiatives under national legislation, undertaking the necessary requirements of free, prior and informed consent (FPIC). It should be noted that project will not deal with pilot or on the ground experiences.	

			but rather on a national scale, establishing systems and capacity building activities.	
Risk 3: Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	I = 1 P = 1	Low	The project does not entail direct utilization or commercial development of natural resources on indigenous peoples' lands, but rather their capacity building to deal with ABS and indirectly deal with use of natural resources in the long term.	
Risk 4: Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	I = 1 P = 4	Moderate	It is expected that in the long run, the project enables Indigenous Peoples in Brazil to make proper use of national ABS legislation to commercialize traditional knowledge, taking advantage of the national systems in place for making proper agreements and receiving adequate payment for for their traditional knowledge, having used FPIC and other tools necessary to protect their knowledge and traditions.	The project is designated to strengthen the capacity of IPs in relation to the national ABS legislation which foresees several mechanisms for guaranteeing the participation of traditional communities and indigenous peoples in the implementation of the legislation, its monitoring and benefiting. Thus, the project shall positively affect the cultural heritage of IPs by providing knowledge and capacity building to this specific public.
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>
	<div> <div>Low Risk</div> <input type="checkbox"/> </div>			
	<div> <div>Moderate Risk</div> <input checked="" type="checkbox"/> </div>			Given guidance on question 6.3 below, this project is categorized as moderate risk. However, the project shall bring a positive impact on indigenous peoples, promoting their knowledge and capacity to deal with ABS national legislation and systems in place in order to protect their

			traditional knowledge and guarantee the repartition of benefits throughout their population.
	High Risk	<input type="checkbox"/>	
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		
	Check all that apply		Comments
	Principle 1: Human Rights	<input type="checkbox"/>	
	Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>	
	1. Biodiversity Conservation and Natural Resource Management	X	
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	
	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	X	
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

# APPENDIX 7 – Results Matrix

Indicative Results	Products Expected	Product Indicators*	DATA SOURCE	Baseline		GOALS					Data Collection Method
				Value	Year	Year	Year	Years	Years	FINAL	
						1	2	3	4		
Result 1: ABS National Regulatory Framework	1.1 Nagoya Protocol ratified by the legislative authority	# of legal instruments approved	Official Gazette of the Federal Government	1	2017		1			1	Annual check of publications in the Official Gazette of the Federal Government
	1.2 National institutional regulatory framework approved and operational	# of regulations approved	Official Gazette of the Federal Government	1	2017	1	1	1		3	Annual check of publications in the Official Gazette of the Federal Government
	1.3 Key productive sectors with regulations, standardized procedures, and harmonized with the ABS law and Nagoya Protocol	# of sectors harmonized with the NP	Progress reports	0	2017		5			5	Annual check of progress reports
Result 2: Management of knowledge and Information	2.1 ABS Clearing-House Mechanism notification channels accessible to users and in operation	# (x 1,000/year) consultations of the National ABS site	ABS site statistics	0	2017	80	100	110	120	410	Annual check of ABS site statistics
	2.2 National ABS Electronic Management Systems in use by stakeholders	# Registrations and accumulated notifications on SisGen	SisGen database	680	2017	1,715	2,340	2,464	2,600	2,600	Annual check of SisGen database

<b>Result 3: Capacity Building and Institutional Strengthening</b>	3.1 Public officials, legal practitioners, researchers and science and technology institutions, companies, and indigenous peoples, traditional communities, and family farmers trained on ABS mechanisms and their procedures on face-to-face and Distance Learning (DL) courses.	<i># male and female representatives from academia, companies, and the government, trained per year</i>	Progress reports	0	2017	20	40	86	86	232	Annual check of progress reports
		<i># male and female representatives of indigenous peoples, traditional peoples and communities, and family farmers, trained per year</i>	Progress reports	0	2017	60	80	80	80	300	Annual check of progress reports
<b>Result 4: Management, Monitoring and Evaluation</b>	4.1 Management, Monitoring and Evaluation systems implemented	<i>Percentage of Annual Work Plan (AWP) fulfilment established for the project</i>	Management reports	0	2017	Minimum of 70% of the AWP	Minimum of 70% of the AWP	Minimum of 70% of the AWP	Minimum of 70% of the AWP	70%	Annual check
		<i>Annual Progress Reports (APR) prepared</i>	APR	0	2017		1	1	1	3	Preparation of APRs, from the first year of execution
		<i>Frequency of monitoring meetings between the MMA and UNDP technical teams</i>	Meetings minutes and attendance lists	0	2017	4	4	4	4	20	Preparation of minutes and attendance list for periodic meetings between the MMA and UNDP technical teams
		<i>Mid-term and final reviews conducted</i>	Evaluation reports	0	2017	4	4	4	4	12	Contract independent evaluations
		<i>Audit conducted</i>	Audit reports	0	2017	1	1	1	1	4	Contract an audit

Source: PRODOC BRA/18/003

Note: there is an error in the addition of values in the final goal of item 2.2. The correct value is 9,119 registrations at the end of the project, and not 2,600.

APPENDIX 8 – Exchange of correspondence between the MMA and UNDP on the cancellation of activities. E-mails in chronological order.

**From:** Fábio Brasileiro da Silva <[fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)>  
**Sent:** Wednesday, January 13, 2021 2:49 PM  
**To:** Renatha Karine Moreira Calazans <[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)>  
**Cc:** Jose Renato Barcellos Ferreira <[jose.barcellos@mma.gov.br](mailto:jose.barcellos@mma.gov.br)>  
**Subject:** GEF ABS - BRA/18/003 Contracts  
**Importance:** High

Dear Renatha, good afternoon.

I am writing to communicate the decision to cancel the following contracts, within the scope of the GEF ABS Project (BRA/18/003):

- Online Modules (Avante)
- Systematization of Content (GSS)
- Biodiversity Market Study (FCO)
- Pedagogic Policy Plan (Ticiania)

The balance of these resources, which would have been allocated to these contracts, will be used in other products and deliveries, to be defined and discussed with the UNDP in due course.

I am available for any queries you may have.

Thank you,

**Fabio Brasileiro**  
**Director**  
**Genetic Heritage**  
**Ministry of the Environment**  
**E-mail:** [fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)  
**Telephone:** +55 61 2028-2098 | +55 61 99698 6816

**From:** Renatha Karine Moreira Calazans [mailto:[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)]  
**Sent on:** Friday, 22nd January, 2021 16:44  
**To:** Fábio Brasileiro da Silva <[fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)>  
**Cc:** Jose Renato Barcellos Ferreira <[jose.barcellos@mma.gov.br](mailto:jose.barcellos@mma.gov.br)>; Rachel Freita Barcellos Dos Santos <[rachel.santos@undp.org](mailto:rachel.santos@undp.org)>; Luana Assis de Lucena Lopes <[luana.lopes@undp.org](mailto:luana.lopes@undp.org)>; Damiani Marti, Octavio Jorge <[OCTAVIOD@IADB.ORG](mailto:OCTAVIOD@IADB.ORG)>; Hintze, Luis Hernando <[LUISHH@iadb.org](mailto:LUISHH@iadb.org)>  
**Subject:** RE: GEF ABS - BRA/18/003 Contracts

Dear Fábio,

Considering that the cancellations requested impact the Work and Project Acquisitions Plans, we are sharing this request with the IDB, which is the Project Implementing Agency.



Therefore, we kindly request further information on the contract cancellations, considering that each of these has been planned to contribute towards achieving the project results and indicators.

As Project Manager, I should also advise you of the operational and financial costs to the project, as a result of cancelling ongoing contracts, since the companies may request compensation for any costs for keeping teams mobilized, or other related costs. As an example, we cite the consultant, Ticiana, who was already working on products and the FCO, presented product 1 in December, and is awaiting MMA analysis and comments.

The replacement of these actions at this time could preclude achieving the project results, considering the short timeframe that we have available, and any extension also depends on the bank's approval, and was conditioned to the implementation of actions that have already been started.

I take this opportunity to forward a spreadsheet (attached) who contains the aim of the contracts, products, and the project indicators to which they are linked.

Octavio Damiani and Hernando Hintze, responsible for the project at the IDB are copied on this email.

Yours sincerely,

**Renatha Calazans**  
Project Manager  
United Nations Development Programme | Brazil  
[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)  
Work +55 61 3038 9106  
[www.pnud.org.br](http://www.pnud.org.br)

**RE: GEF ABS - BRA/18/003 Contracts**

Fábio Brasileiro da Silva <fabio.brasiliano@mma.gov.br>

Monday, 01/02/2021 06:27

To:

- Renatha Karine Moreira Calazans

Cc:

- Jose Renato Barcellos Ferreira;
- Rachel Freita Barcellos Dos Santos;
- Luana Assis de Lucena Lopes;
- Damiani Marti, Octavio Jorge;
- Hintze, Luis Hernando;
- Luis Henrique Pigosso de França

Dear Renatha and other colleagues, good morning.

Thank you for your email and considerations.

As advised, in recent months genetic heritage management and the Biodiversity Secretariat have been conducting analyses on each of the components, products, and results proposed in the GEF-ABS project.

This information has contributed to the revised proposal that we will present to you in the coming weeks. The proposal that will be presented will completely respect the indicators proposed for each of the components, guaranteeing that the project does achieve the results proposed in the original project/PRODOC formulation.

Our review has indicated opportunities for improvements to the proposed contracts/those ongoing, and the respective results from these contracts. Therefore, on requesting the suspension of a contract, we aim to provide resources that will be redirected for actions that will not only meet the criteria established in the PRODOC/indicators, but also the MMA's expectations, and the current context and priorities of the ABS agenda in Brazil.

I would like to thank you for the support from the UNDP and IDB teams until now, and we will remain in touch with you in this new phase of the GEF-ABS project.

I am available for any queries you may have.

Yours sincerely,

**Fabio Brasiliano**

Director

Genetic Heritage

Ministry of the Environment

E-mail: [fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)

Telephone: +55 61 2028-2098 | +55 61 99698 6816

**From:** Renatha Karine Moreira Calazans [mailto:[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)]

**Sent on:** Tuesday, 2nd March, 2021 15:58

**To:** Fábio Brasiliano da Silva <[fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)>

**Cc:** Rachel Freita Barcellos Dos Santos <[rachel.santos@undp.org](mailto:rachel.santos@undp.org)>

**Subject:** ABS and Phytotherapeutic Project Work Plans

**Priority:** High

Good afternoon Fabio!

Firstly, I would like to thank you for your efforts and the excellent meeting.

To follow, I would like to once again make time available, to start to prepare the Project Work Plans. Considering the short timeframe we have until the next meetings: 10/3 for the ABS Project, and 18/03 for the Phytotherapeutic Project, I would like to reiterate the suggestion made by Carlos Arboleda, of working together, from the last version of the Project Work Plans, which we sent in December (which I am sharing again – files attached). I believe this will be quicker.

I am available to discuss the best strategy.

Kind regards,

**Renatha Calazans**  
Project Manager  
United Nations Development Programme | Brazil  
[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)  
Work +55 61 3038 9106  
[www.pnud.org.br](http://www.pnud.org.br)

**RE: ABS and Phytotherapeutic Project Work Plans**

Fábio Brasileiro da Silva <fabio.brasiliano@mma.gov.br>  
Weds, 03/03/2021 09:25

To:

- Renatha Karine Moreira Calazans;
- Rachel Freita Barcellos Dos Santos

Cc:

- Jose Renato Barcellos Ferreira;
- Luis Henrique Pigosso de França

Dear Renatha, good morning.

In order for us to expedite the **GEF ABS** activities, some of the general considerations aligned with the Secretary yesterday morning by result/component follow below:

**1. Result 1 (National ABS Regulatory Framework)**

- I confirm cancellation of the “Biodiversity Market Study” product. Considering this cancellation, what is the updated result/component balance on 28/02?

**2. Result 2 (Management of Knowledge and Information)**

- These resources (please update the component balance), will be completely dedicated to SisGen (Gluck/Every in progress, and development of the new version of SisGen – to be defined).
- With regards to the contract with **Every**, although we are maintaining the ongoing contract, (we will not use it, and it should be cancelled) the following **product 3** items require revision: Compliance, Risk, and Governance.
- In the **Every** product 4, we have to be certain that training and assisted operation refer to the tools required for the activities related to Security of Information (the contract focus is data privacy and the management of Security of Information incidents in the MMA/SisGen environment).

**3. Result 3 (Capacity Building and Institutional Strengthening)**

- The only delivery in progress that we will maintain in this component is the Cross-Content contract. All the others should be cancelled, including FINATEC.
- Please update the balance available in the component, considering this guideline.

**4. Result 4 (Management, Monitoring and Evaluation)**

- No alterations.

I would be grateful if you could analyze the above alterations, update the balances available (including commitments to payments), and when I have this information, we will schedule our meeting to close our activities.

Thank you,

**Fabio Brasiliano**

Director

Genetic Heritage

Ministry of the Environment

E-mail: [fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)

Telephone: +55 61 2028-2098 | +55 61 99698 6816

APPENDIX 9 – UNDP Official Letter to the MMA dated April 2021 requesting the resumption of project activities, planning the 2021 Work Plan, and the tripartite meeting.

Brasília, 22nd April, 2021.

Ref.: P/0304/21/LL/RC-rfbs

File: Programme (BRA/18/003/Correspondence)

Dear Madam,

Subject: BRA/18/003 – Strengthening the Institutional Capacity of the National Framework for Access and Benefit Sharing (ABS) under the Nagoya Protocol (ABS);

I hope you are well and refer to the above project, implemented with resources from the Global Environment Fund (GEF), and executed in partnership with the Department of Genetic Heritage at the Ministry of the Environment, and the Inter-American Development Bank (IDB).

I am writing to express our concern with project implementation, considering the repeated delays to its execution, which have impacted the achievement of the results, which were planned and agreed with the IDB, and the Donor.

Despite the major challenges faced on account of the Covid-19 pandemic during 2020, the UNDP and MMA teams have been working as a task force, in order to compensate for the delays which took place during 2019, on account of the impacts related to the transition in the Federal Government, and the restructuring of Public Administration. As a result of this joint collaboration, the project has been making progress with the preparation and launch of the main contracts envisaged in the Acquisition Plan for the period.

However, a new downturn was registered from the second half of 2020, with the MMA signalling their interest in conducting a review of the Project Work Plan, and suspension of the ongoing processes.

Therefore, various efforts have been made to facilitate the adaptation of the Work Plan to new MMA priorities and guidelines. However, on account of the MMA's scheduling difficulties, we were not able to complete this review exercise, and successive cancellations of meetings to continue with the planning, and validate the Work Plan, have been recorded since November 2020. I would also like to advise you of the cancellation of the Tripartite meeting (Management Committee), which is of great relevance in the project life cycle, considering that it would have the aim of analyzing the results achieved by the projects, budget execution, reviewing the Multi-Annual Plan, identifying risks during annual execution, as well as finding measures to mitigate, propose joint solutions, and register the lessons learned. I would like to emphasise that the Tripartite meeting should be held annually, as established in the Project Document.

In addition, the intention to cancel ongoing contracts within the project scope was registered in January and February this year, increasing the risks related to achieving the results and indicators, which were jointly agreed, and considering the short timescale. I am forwarding attached files for easy reference, including a table with information on the project duration and financial execution, and another demonstrating the impact of cancelling contracts in the project goals and indicators.

I would also like to draw your attention to the Project Mid-Term Review, which started on 9<sup>th</sup> April, 2021.

Lastly, I would like to highlight that the ABS Project is an important instrument to support the Ministry of the Environment and Brazil with the international commitments which have been assumed, particularly now, with ratification of the Nagoya Protocol. The project has resources allocated specifically to supporting Brazil with implementation of the ABS legal framework, so that the country meets the terms of the Nagoya Protocol, and Convention on Biological Diversity.

In view of this context, and considering the challenges related to project deadlines, I emphasise the need to immediately resume the implementation of activities, in order to avoid being unable to achieve the results envisaged, and agreed with the Donor. As discussed in a meeting held between the UNDP and MMA on 16<sup>th</sup> April, and striving to guarantee the results planned for the project in a timely manner, the UNDP recommends continuing with the signed contracts, which are now in progress.

Following-up on this meeting, the activities presented for the Work Plan, and discussed on the occasion, are attached. Considering the need for the bank's approval of the alterations proposed to the Project Work and Acquisition Plans, as agreed, we suggest scheduling a meeting between the UNDP, MMA and IDB for the week of 26<sup>th</sup> April.

Lastly, I would like to suggest scheduling the Tripartite meeting with the ABC and IDB, as soon as possible. In order to facilitate this arrangement, we are available on 6<sup>th</sup> May at 3:00 pm.

Confident in the MMA's actions and technical collaboration, in line with the responsibilities established in the Project Document, we hope to make progress in completing the Work Plan, and implementing the activities in April. We reiterate that our team remains available for the MMA.

I would like to take this opportunity to offer sincere wishes of the highest esteem and consideration.

Carlos Arboleda

Deputy Resident Representative

**For the attention of**

Maria Beatriz Palatinus Milliet  
Biodiversity Secretariat  
Ministry of the Environment  
Esplanada dos Ministérios, Bloco B, 8º andar, sala 800  
70068-900 - Brasília - DF

General Information on ABS Project (BRA/18/003)

Source of Resources	GEF
Implementing Agency	Inter-American Development Bank - IDB
Executing Agency	United Nations Development Programme – UNDP
Technical Coordination	Ministry of the Environment - MMA
Project Start Date	April 2018
Transfer of Resources	August 2018
Project Completion Date	November 2021
Total Project Budget	USD 4,401,931
Executed until this time (08.02.2021)	USD 1,001,888.13
Execution Percentage	22.76%

New Actions – 2021 and 2022 Work Plans

COMPONENT	New actions - DGH/SBIO 2021	New Action Budget	2021	2022	Risks
Component 1: ABS National Legal Framework	Exchange of ABS experiences, and support for the implementation of new ABS legislation and the Nagoya Protocol by Brazil;	76,547	49,880	26,667	
	Exchange of ABS experience activities held during the Bio-Economy Fair	40,000	13,333	26,667	High risks related to the pandemic context, especially for activities planned for 2021
	COP 15	36,547	36,547		High risks related to the pandemic context.
	Monitoring and Control actions of PG/CTA use (MMA/IBAMA) - 2021/2022	175,000	87,500	87,500	
	Acquisition of inspection equipment (x-ray)	175,000	87,500	87,500	
	Subtotal	251,547	137,380	114,167	



Component 2: Knowledge and Information Management	Development of a new version of SisGen	346,971	69,394	277,577	
	Company to develop a new version	346,971	69,394	277,577	Risks related to project duration. Further details are required on contract execution time for analysis.
	Subtotal	346,971	69,394	277,577	
Component 3: Capacity Building and Training	Bio-Economy Fair (3 editions)	1,109,618	362,331	747,287	
	Contract accommodation service, space rental, food, transport, simultaneous translation, and live transmission (LTA – individual contract)	564,956	152,331	412,625	High risks related to the pandemic context, especially for activities planned for 2021, including reputational risks, due to holding activities that promote agglomerations.  Further details are required on the size of the event, to estimate the amounts. The sum allocated to this activity is very high – approximately BRL 7 M
	Bio-Economy Fair (3 editions) - Travel	160,000	50,000	110,000	
	Bio-Economy Fair – ABS training actions for indigenous people and traditional communities	160,000	70,000	90,000	
	Bio-Economy Fair – ABS training actions for Conservation Units/National Park teams	224,662	90,000	134,662	
	Support start-up initiatives to develop sustainable and innovative solutions for services or products generated from genetic heritage and associated traditional knowledge;	500,000	150,000	350,000	

	Selection process for initiatives in progress	400,000	100,000	300,000	Activities proposed for consideration
	Creation of a network, involving researchers/research centres from biotechnology sectors, industries, companies, and users, to strengthen liaison, and promote a business round	100,000	50,000	50,000	
	"ABS in Brazil" pamphlet in Portuguese, English, German, Spanish, Mandarin and Arabic (content, layout and art, and translation to the other 5 languages)	50,000	50,000	-	
	Contract a company to prepare the content	30,000	30,000		
	Contract translation services	10,000	10,000		
	Contract layout and printing services	10,000	10,000		
	Monitoring and control actions on use of PG/CTA (MMA/IBAMA) - 2021/2022	50,000	50,000	-	
					High risks related to the pandemic context, especially for activities planned for 2021

	Training	50,000.00	50,000.00		
	Subtotal	1,709,618	612,331	1,097,287	
Total		2,308,135	819,105	1,489,030	

## Impact – Project Indicators

Component	PRODOC Product/Activity	Contract Description	Estimated/ Contracted Value (USD)	Impact Project Indicators
<b>Component 1: ABS National Legal Framework</b>	Product 1.3 Key productive sectors with regulations and procedures standardized and harmonized with the ABS law, and Nagoya Protocol	Contract consultancy services to gather information on national manufacturers of products arising from genetic heritage and associated traditional knowledge, and estimate the resources to be shared.	107,845.86	<b># sectors harmonized with the NP.</b>  The information produced by the contract would contribute towards harmonizing the productive sector with the NP/national legislation.
	Activity 1.3.2. Strengthening and modernizing CGen.			Indicate how it would achieve the reach of the activity.
	<b>Component 1 Total</b>		<b>107,845.86</b>	
<b>Component 2: Knowledge and Information Management</b>	Product 2.1 ABS Clearing-House Mechanism notification channels accessible to users, and in operation	Process to prepare the Brazilian ABS site	65,000.00	<b># (x 1,000/year) consultations of the national ABS site</b>  The suspension of contracting the ABS site directly impacts Activity 2.1.1, and the goals agreed for the indicator and the activity.  If the data were available on the MMA site, confirm if site visits to access ABS content can be counted.
	Activity 2.2.1. Develop an access traceability system	SisGen compatibility with other Brazilian authority systems;	50,000.00	<b># Registrations and accumulated notifications on SisGen</b>

		Digital Certification Services;	5,000.00	Will the traceability system, SisGen compatibility with other authorities and digital certification be included in the new version of SisGen?
	Activity 2.2.2 Manuals and instructions for users and providers of both the systems and site.	Process to prepare SisGen manuals	12,698.41	<b># Registrations and accumulated notifications on SisGen</b>
	Activity 2.2.3 Technical requirements to integrate the management system and the site.			Indicate how the activity will be achieved.
<b>Component 2 Total</b>			<b>132,698.41</b>	
<b>Component 3: Capacity Building and Training</b>	Activity 3.1.1 Instruction and training materials for the participation of holders of associated traditional knowledge in local ABS projects.	Contract to systematize and produce content (platforms and input, etc.) in the first cycle, with two reviews, in order to improve the second and third cycles	29,591.61	<b># male and female representatives of academia, companies and government trained per year</b>
		Contract to develop online modules of continued ABS training programmes, maintenance, and support to users on online module courses in the three cycles	74,096.61	<b># male and female representatives of indigenous peoples, traditional peoples and communities and family farmers trained per year</b>
		Contract (IC) Details of the Pedagogical Policy Plan to train indigenous peoples, traditional communities, family farmers, and other stakeholders on ABS operations; (receiving contributions from each sector, and systematizing this. Follow-up the meeting with IPTCFFs) - Product 3.1	5,605.75	Cancellation of content systematization contracts, the development of online modules (DL) and Pedagogical Policy Details directly impact the achievement of Activity 3.1.1.  With these cancellations, the holders of ATK (indigenous peoples, traditional communities and family farmers) audience was heavily impacted. How

		Preparation of manuals on negotiating ABS contracts for IPTCFFs, and other sectors, including users of associated traditional knowledge	13,300.00	do you intend to reach this target audience of the project?
	Activity 3.1.3 Methodological guidelines, as a tool to obtain prior informed consent.			Indicate how the activity will be achieved.
	3.1.4 Formulation and preparation of a pilot “Community Protocol”, as a basic model for ABS agreements involving associated traditional knowledge, with prior informed consent, mutually agreed terms, and benefit sharing, according to the terms of the national ABS law, and Nagoya Protocol.	Construction of a Community Protocol, with the aim of developing a specific methodology which is replicable for the Sustainable Use Federal Conservation Units, to implement the objectives set out in the CBD, and Nagoya Protocol, facilitating access to genetic resources and associated traditional knowledge by biotechnology companies, and the production of benefit sharing. (Finatec contract);	146,063.00	The cancellation of contracts directly impacts the achievement of Activity 3.1.4. Indicate how the achievement of activities will occur with the cancellation of contracts.  With these cancellations, the holders of ATK (indigenous peoples, traditional communities and family farmers) was strongly impacted. How is it intended to reach the target audience of the project?
		Development of support materials for the construction of Community Protocols, to be made available on the site	20,000.00	
		Publication on Community Protocols	14,444.00	
Component 3 Total			303,100.97	
OVERALL Total			543,645.24	

APPENDIX 10 – Evidence of exemption from preparation and follow-up of GEF Tracking Tools



**GEF SECRETARIAT REVIEW FOR FULL/MEDIUM-SIZED PROJECTS\*  
THE GEF/LDCF/SCCF/NPIF TRUST FUNDS**

GEF ID:	5760		
Country/Region:	Brazil		
Project Title:	Capacity Building and Institutional Strengthening on the National Framework for Access and Benefit Sharing under the Nagoya Protocol		
GEF Agency:	IADB	GEF Agency Project ID:	
Type of Trust Fund:	GEF Trust Fund	GEF Focal Area (s):	Biodiversity
GEF-5 Focal Area/ LDCF/SCCF Objective (s):	BD-4;		
Anticipated Financing PPG:	\$120,000	Project Grant:	\$4,401,931
Co-financing:	\$4,401,931	Total Project Cost:	\$9,043,862
PIF Approval:	April 01, 2014	Council Approval/Expected:	May 27, 2014
CEO Endorsement/Approval	Expected Project Start Date:		
Program Manager:	Jaime Cavalier	Agency Contact Person:	a.i. Helena L. Piaggese

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
Eligibility	1. Is the participating country eligible?	3-12-14 Yes. Brazil is eligible for GEF Funding. Cleared	7-29-16 Cleared
	2. Has the operational focal point endorsed the project?	3-12-14  Yes. There is a LoE from the OFP for \$4,951,514. The project is for \$4,521,931 + 429,583 of Agency fee = \$4,951,514.  Although the Agency fee is on Part I: project Information (\$429,583), it is not in Table D.  The project is NOT requesting PPG	7-29-16 Cleared

\*Some questions here are to be answered only at PIF or CEO endorsement. No need to provide response in gray cells.

<sup>1</sup> Work Program Inclusion (WPI) applies to FSPs only. Submission of FSP PIFs will simultaneously be considered for WPI.  
FSP/MSP review template: updated January 2013

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		funds. Is that correct? See suggestion from GEF Sec under item 3 (below)  3-27-14 Cleared	
Resource Availability	3. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):		
	• the STAR allocation?	3-12-14 Brazil has a balance of BD = \$5,451,515 and CC = 5,319,557 as of today.  Please state if Brazil wants to increase the budget for this project using BD resources or increase the BD allocation by 5% using CC resources using the "marginal adjustment" policy, assuming there is no new BD or CC projects that intent using these resources.  3-27-14 Cleared	7-29-16 Cleared
	• the focal area allocation?	3-12-14 Brazil has a balance of BD = \$5,451,515 and CC = 5,319,557 as of today. Please state if Brazil wants to increase the budget for this project using BD resources or increase the BD allocation by 5% using CC resources using the "marginal adjustment" policy, assuming there is no new BD or CC projects aiming at using these resources.  3-27-14 Cleared	7-29-16 Cleared
	• the LDCF under the principle of equitable access	NA	NA



Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(PSP)/Approval (MSP)
	• the SCCF (Adaptation or Technology Transfer)?	NA	NA
	• the Nagoya Protocol Investment Fund	NA	NA
	• focal area set-aside?	NA	NA
Strategic Alignment	4. Is the project aligned with the focal area/multifocal areas/ LDCE/SCCF/NPIF results framework and strategic objectives? <i>For BD projects: Has the project explicitly articulated which Aichi Target(s) the project will help achieve and are SMART indicators identified, that will be used to track progress toward achieving the Aichi target(s).</i>	3-12-14 BD-4. Please state the Aichi Target.  3-27-14 Cleared	7-29-16 Yes. See page 9 for Aichi Targets. Cleared
	5. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions, including NPFE, NAPA, NCSA, NBSAP or NAP?	3-12-14 Please make reference to the name of the national biodiversity strategy. It is mentioned in the text, but without a proper reference (e.g. Formal Name, year, etc.)  3-27-14 Cleared	7-29-16 Yes. Cleared
	6. Is (are) the baseline project(s), including problem(s) that the baseline project(s) seek/s to address, sufficiently described and based on sound data and assumptions?	3-12-14  THE FOLLOWING COMMENTS COVER ALL SECTIONS OF A1. PROJECT DESCRIPTION  This part has 6 sections:  1) THE GLOBAL ENVIRONMENTAL PROBLEMS, ROOT CAUSES AND BARRIERS THAT NEED TO BE ADDRESSED;	9-12-16 Cleared

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
Project Design		<p>The first 2 paragraphs on p.5 fit here. Need to develop root causes and barriers that need to be address in Brazil.</p> <p>2) THE BASELINE SCENARIO AND ANY ASSOCIATED BASELINE PROJECTS;</p> <p>There is very little information on the "baseline project". The baseline projects are the investments that will take place over the next 5 years whether or not the GEF project is approved. A good example is the contract signed by the Ministry of the Environment, IFC and the Union of Ethical Bioproducts. In that line, what are the investments that the Brazilian Government is planning on doing on ABS during the life of the GEF project? These are the investments on which the GEF project will build. Without the baseline, it is not possible to articulate the "incremental reasoning" for this project. (Baseline is not the background information. Baseline project looks forward, not backward).</p> <p>3) THE PROPOSED ALTERNATIVE SCENARIO, WITH A BRIEF DESCRIPTION OF EXPECTED OUTCOMES AND COMPONENTS OF THE PROJECT;</p> <p>This relates to the second paragraph on p.6 onwards, including the description of the components.</p>	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		<p>Most of the information on p.5 is actually background information. The GEF Sec suggests using the structure provided by Brazil and the IADB when carrying out upstream consultation. Below is the information provided to the GEF Sec in a format that allows to understand the bases on which the proposed activities, outputs and outcomes rest. Such description is the "Alternative Scenario" vs. business as usual (no GEF funding).</p> <p>Please considering synthesizing the information below.</p> <p>Project Component 1</p> <p>Justification: The adoption of the Nagoya Protocol brings with it the prospect of legal certainty. Under Article 6th of the Protocol Parties shall take the necessary legislative, administrative or policy measures to, among others, provide for legal certainty, clarity and transparency of their domestic access and benefit-sharing legislation or regulatory requirements. Thus, the new scenario for ABS in Brazil includes both the submission of the Nagoya Protocol to the National Congress for ratification and the reconvening of negotiations within the Federal Government and with major stakeholders groups for a new ABS bill. Pending the conclusion of these processes, there is an opportunity and a need to adjust the operations of</p>	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		<p>Provisional Measure 2,186-16, the de facto ABS Law in Brazil that remains in force, with the aim to reduce bureaucracy, simplifying procedures and clarifying guidelines.</p> <p>Background: Brazil was one of the first countries to put in place, more than 13 years ago, a domestic legislative, administrative and policy measures designed to implement the third objective of the CBD at a national level. As a provider of genetic resources, with these measures, Brazil sought to use this potential wealth to foster research and development that will build scientific and technological capacity, create wealth and promote sustainable human development, and contribute to the conservation and sustainable use of its natural capital. Nevertheless, there were significant conflicts of interest on ABS issues among the different stakeholder groups. On 29 June 2000, the Brazilian Government issued Provisional Measure No. 2,052. This Provisional Measure was re-issued several times. Its final version, Provisional Measure 2,186-16, was issued on 23 August 2001 and remains in force. Thus, the Provisional Measure 2,186-16 is the de facto ABS Law in Brazil, despite several attempts to arrive at an agreement on a new ABS bill. Simultaneously Decree 3,945-2001 provided an overall regulation of the legislation, and established the Council for Genetic Heritage Management</p>	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		<p>(CGEN) and the Department of Genetic Heritage (DPG) within the Ministry of Environment. The DPG operates as Secretariat for CGEN. Subsequent Decrees have amended the requirements for obtaining authorization for access, regulated the application of administrative penalties and regulated the use of public funds for benefit sharing. Since its establishment in April 2002, the CGEN has approved a number of norms to clarify and promote the implementation of the Provisional Measure, including 39 Resolutions and 8 Technical Orientations. However, the regulatory system as established in 2001 has proved very difficult to implement, notwithstanding the clarifications and adjustments made by CGEN over the succeeding eleven years. This is not perhaps surprising given that Brazil was a pioneer in the attempt to incorporate the provisions of the Article 15 of the CBD into a national legislative, administrative and policy framework. The rationale of the system put in place thirteen years ago revolved largely around command and control principles. One of the consequences of this focus is that the procedures may have acted as a disincentive to applied research and development with Brazilian genetic resources, for both academic researchers and industry. But the experience accumulated over the past years and the adoption of a legally binding global regime on ABS in the form of the Nagoya Protocol now mean that Brazil is</p>	



Review Criteria	Questions	Secretariat Comment at PIF (PED)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		<p>able to refocus its domestic ABS regime from command and control to encouraging cooperation in scientific research within Brazil and with international partners, thereby generating more benefits and reinforcing the conservation and sustainable use of biodiversity.</p> <p>Project Component 2: The Brazilian ABS framework needs to be streamlined and harmonized with the Nagoya Protocol; still, ABS is a new field of activity and there are many issues that needs to be clarified. In user countries the functionality, effectiveness and efficiency of user compliance measures according to the Nagoya Protocol will also depend on regulatory choices made by provider countries. Clear benefits could result from strengthening ABS measures, raise awareness and build capacity to help regulators, surveillance bodies, and providers and users of genetic resources to become familiar with the applicable rules.</p> <p>Background: Policy, legislation, regulations, adopted and implemented in Brazil since the year 2,000 resulted in a network of rules and procedures:</p> <ul style="list-style-type: none"> <li>• One Provisional Act (Medida Provisória nº 2.186-16, 23 August 2001)</li> <li>• Three Decrees (on the composition and</li> </ul>	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		<p>operations of the CGEN (Decreto 3.945, 28 September 2001), on penalties applicable in cases of infringements of ABS rules (Decreto 5.459, 7 June 2005), and on distribution of shared profits and royalties when the Union is a party to an ABS contract (Decreto 6.915, 29 July 2009))</p> <ul style="list-style-type: none"> <li>• Forty one CGEN Resolutions</li> <li>• Nine Technical Orientation Notes</li> <li>• Cross-references to four related legal instruments (laws on the protection of plant varieties, intellectual property, indigenous rights and the decree establishing the National Biodiversity Policy)</li> <li>• Fifteen CGEN decisions on procedures.</li> </ul> <p>4) INCREMENTAL COST REASONING AND EXPECTED CONTRIBUTIONS FROM THE BASELINE, THE GEFTF, LDCF/SCCF AND CO-FINANCING;</p> <p>There is no incremental cost reasoning. This can be easily build by understanding how the GEF investments build on the proposed activities by the Brazilian Government, whether or not the GEF approves this project.</p> <p>5) GLOBAL ENVIRONMENTAL BENEFITS (GEFTF) AND ADAPTATION BENEFITS (LDCF/SCCF);</p> <p>On page 7.</p>	

Review Criteria	Questions	Secretariat Comment at PIF (PPD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		<p>6) INNOVATIVENESS, SUSTAINABILITY AND POTENTIAL FOR SCALING-UP</p> <p>Need to be developed.</p> <p>3-27-14 Cleared</p>	
	7. Are the components, outcomes and outputs in the project framework (Table B) clear, sound and appropriately detailed?	<p>3-12-14</p> <p>This project aims at developing a National Legal Framework, the harmonization of National Regulations and the Nagoya Protocol and Knowledge management and training.</p> <p>Although the formal objective of the project (B. Indicative project Framework), makes reference to "...administrative procedures that enable Brazil to fulfil the ABS provisions....", in the body of the project there is no reference to the development and implementation of the Institutional structure (i.e. National Focal Point, Competent National Authority, Institutional agreements) or Administrative procedures for ABS Agreements with proper Prior Informed Consent [PIC], Mutually Agreed Terms [MAT], and Benefit Sharing, monitoring of use of genetic resources, compliance with legislation and cooperation on trans-boundary issues.</p> <p>Please explain why these issues are not part of the project, or add them as</p>	<p>9-12-16</p> <p>Please clarify the following:</p> <p>Component 1.</p> <p>1. In addition to the Policy and decision makers, who are the "key stakeholders" mentioned in output 1.1.1.? This target audience needs to be better defined at this stage.</p> <p>2. What is the specific target audience of output 1.1.2? There are hundreds of tribes and indigenous territories in Brazil, and similar or even higher numbers of local communities (ILC). Is the project planning of reaching out to all of them?</p> <p>3. What are the "Key instruments and tools developed for the implementation of the NP"?</p> <p>4. What are the specific investments proposed for the CGEN when compared to the investments made with baseline projects (\$1.1 million)?</p>



Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
		appropriate.  3-27-14 Cleared	<p>5. What is the difference between the stakeholders mentioned on output 1.1.1. and 1.2.3.?</p> <p>6. What are the proposed "technical studies" mentioned on output 1.3.1?</p> <p>7. What are the "five sectors" mentioned on outcome 1.3? They were only mentioned in the Results Framework.</p> <p>Component 2</p> <p>8. How is Brazil proposing on reaching the necessary information to the potential users and providers of genetic resources and TK, among Indigenous Peoples and Local communities, specially if they poor or no access to on-line services?</p> <p>9. How is Brazil planning on providing access to the National ABS electronic management system (SISGEN) to ILCs?</p> <p>Component 3</p> <p>10. For outputs 3.1.1, -3, -4, -5 and -6, how is the Brazilian Government planning on reaching the hundreds of ILC that are potential providers of Genetic Resources and/or TK?</p> <p>10. Regarding to point 10, please elaborate on how the proposed "community protocol" will be drafted and tested when there are hundreds for communities that are potential providers</p>

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(PSP)/Approval (MSP)
			<p>of genetic resources. These communities are most likely be very different regarding how they feel about the terms and conditions for granting access to genetic resources.</p> <p>FOR THESE 10 POINTS, PLEASE CONCENTRATE YOUR EFFORTS IN AMENDING AND EXPANDING THE TEXT OF THE CEO ENDORSEMENT (PAGE 8), RATHER THAN PROVIDING RESPONSES ON A RESPONSE MATRIX. GEF COUNCIL MEMEBERS WILL READ THE CEO ENDORSEMENT AND PROVIDE COMMENTS. THANKS.</p> <p>10-25-16 Cleared</p>
	8. (a) Are global environmental/adaptation benefits identified? (b) Is the description of the incremental/additional reasoning sound and appropriate?	<p>3-12-14 The information on GEBs is adequate but not the Incremental Reasoning (see comments under item 6).</p> <p>3-27-14 Cleared</p>	<p>9-15-16 Cleared</p>
	9. Is there a clear description of a) the socio-economic benefits, including gender dimensions, to be delivered by the project, and b) how will the delivery of such benefits support the achievement of incremental/ additional benefits?		<p>7-29-16 Cleared</p>
	10. Is the role of public participation, including CSOs, and indigenous peoples where relevant, identified and explicit means for their	<p>3-12-14 Yes. Component 3. Cleared</p>	<p>9-15-16 Please address issues related to ILCs mentioned in item 7. Cleared</p>

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
	engagement explained?		
	11. Does the project take into account potential major risks, including the consequences of climate change, and describes sufficient risk mitigation measures? (e.g., measures to enhance climate resilience)	3-12-14 There is detailed information on three major risks. Please add mitigation measures to each of the three risks as appropriate.  3-27-14 Cleared	7-29-16 Cleared
	12. Is the project consistent and properly coordinated with other related initiatives in the country or in the region?	3-12-14 Are there ongoing activities funded by the initiatives listed in the second paragraph of A.4 Coordination? If so, please state what these activities are and how they relate to this project.  3-27-14 Cleared	7-29-16 Cleared
	13. Comment on the project's innovative aspects, sustainability, and potential for scaling up. <ul style="list-style-type: none"> <li>Assess whether the project is innovative and if so, how, and if not, why not.</li> <li>Assess the project's strategy for sustainability, and the likelihood of achieving this based on GEF and Agency experience.</li> <li>Assess the potential for scaling up the project's intervention.</li> </ul>	3-12-14 This needs to be addressed under A.1 Project Description (please see comments under item 6 of this review).  3-27-14 Cleared	9-15-16 The "Innovativeness, Sustainability and Potential for Scaling Up" section is in the PIF, but missing from the CEO Endorsement. Please elaborate on these three issues based on the text used in the PIF.  10-25-16 Cleared

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
	14. Is the project structure/design sufficiently close to what was presented at PIF, with clear justifications for changes?		7-29-16 Cleared
	15. Has the cost-effectiveness of the project been sufficiently demonstrated, including the cost-effectiveness of the project design as compared to alternative approaches to achieve similar benefits?		7-29-16 Cleared
Project Financing	16. Is the GEF funding and co-financing as indicated in Table B appropriate and adequate to achieve the expected outcomes and output?	3-12-14 Co-financing is very low and may not be sufficient to cover all activities. For instance, consultations associated with the three components likely to consume enormous amount of funding if done across the country over. Please consider increasing the allocation of BD funds to this project.  3-27-14 Cleared	7-29-16 Cleared
	17. <u>At PIF:</u> Is the indicated amount and composition of co-financing as indicated in Table C adequate? Is the amount that the Agency bringing to the project in line with its role? <u>At CEO endorsement:</u> Has co-financing been confirmed?	3-12-14 The co-financing very low (1:0.5). This needs to be increase to at least 1:1. The Agency is providing no-co-financing.  3-27-14 Cleared	9-15-16 The Agency is providing no-co-financing. Please elaborate.  10-25-16 Cleared
	18. Is the funding level for project management cost appropriate?	3-12-14 Project management is 6.3% of project cost. This needs to be reduced to 5%.  3-27-14 Cleared	7-29-16 Cleared

Review Criteria	Questions	Secretariat Comment at PIF (PFD) Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
	19. <u>At PIF</u> , is PPG requested? If the requested amount deviates from the norm, has the Agency provided adequate justification that the level requested is in line with project design needs? <u>At CEO endorsement/ approval</u> , if PPG is completed, did Agency report on the activities using the PPG fund?	3-12-14 No PPG requested. How is the project going to be developed?  3-27-14 Cleared	7-29-16 Yes. See Annex C. Cleared
	20. If there is a non-grant instrument in the project, is there a reasonable calendar of reflows included?	NA	NA
Project Monitoring and Evaluation	21. Have the appropriate Tracking Tools been included with information for all relevant indicators, as applicable?		NA
	22. Does the proposal include a budgeted M&E Plan that monitors and measures results with indicators and targets?		7-29-16 Yes. Cleared
Agency Responses	23. Has the Agency adequately responded to comments from: • STAP?		
			9-15-16 Please update Responses to Project Reviews (Annex B) with the information gathered during project development. Please indicate where in the CEO Endorsements these considerations were incorporated into the document, as appropriate.  10-25-16 Cleared
	• Convention Secretariat? • The Council?		9-15-16 Please update Responses to Project



Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>1</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
			Reviews (Annex B) with the information gathered during project development. Please indicate where in the CEO Endorsements these considerations were incorporated into the document, as appropriate.
	• Other GEF Agencies?		
<b>Secretariat Recommendation</b>			
<b>Recommendation at PIF Stage</b>	24. Is PIF clearance/approval being recommended?	3-13-14 No. Please address outstanding issues highlighted in the review.  3-27-14 Yes. This PIF is recommended for clearance.	
	25. Items to consider at CEO endorsement/approval.		
<b>Recommendation at CEO Endorsement/ Approval</b>	26. Is CEO endorsement/approval being recommended?		9-15-16 No. Please address outstanding issues listed under items 7,13, and 22. Thanks  10-26-16 Yes. This CEO Endorsement is recommended.
	First review*	March 12, 2014	September 12, 2016
<b>Review Date (s)</b>	Additional review (as necessary)	March 27, 2014	
	Additional review (as necessary)		

\* This is the first time the Program Manager provides full comments for the project. Subsequent follow-up reviews should be recorded. For specific comments for each section, please insert a date after comments. Greyed areas in each section do not need comments.

APPENDIX 11 – Sequence of message exchanges between the UNDP and MMA teams to schedule and cancelling the tripartite meeting. Chronological order

From: Renatha Karine Moreira Calazans <[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)>  
Sent: Wednesday, 3rd September, 2020 15:40:05  
To: Nilton Reis Batista Júnior; Ana Carolina Mendes dos Santos; Ana Luiza Arraes de Alencar Assis  
Cc: Rachel Freitas Barcellos Dos Santos  
Subject: BRA/18/003 and BRA/18/G31 – Project Tripartite Meetings

Dear Colleagues,

As part of the procedures that regulate Technical Cooperation, with regards to Monitoring and Evaluation (M&E) policies, we need to schedule the ABS Project and Phytotherapeutic tripartite meetings, which are to be held annually. The aim of the meetings is to analyze the results achieved by the projects and budget execution, to conduct a review of the Multi-Annual Plan, analyze the risks identified during annual execution, and identify the lessons learned. The members who form the committees for each of the projects (UNDP, MMA, ABC and IDB, in the case of the ABS Project) take part in the meetings.

Considering that the annual progress/PIR reports for the ABS and Phytotherapeutic Projects were submitted to the GEF and IDB in July and August, respectively, we are required to hold tripartite meetings, which should take place with the Project Donor and Implementing Agent at the end of the annual reporting cycle.

Therefore, we understand that a meeting with the new MMA Genetic Heritage Department Director is essential, for us to introduce ourselves, and to talk about the projects. Therefore, at Haroldo's request, we proposed holding the meeting next week. Following the meeting with the Director, we will forward a proposal of possible dates, based on an agenda compatible with the ABC, to confirm your availability.

Kind regards,

Renatha Calazans  
Project Manager  
United Nations Development Programme | Brazil  
[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)  
Work +55 61 3038 9106  
[www.pnud.org.br](http://www.pnud.org.br)

From: Ana Carolina Mendes dos Santos <[ana.santos@mma.gov.br](mailto:ana.santos@mma.gov.br)>  
Sent: Tuesday, September 8, 2020 9:31 AM  
To: Renatha Karine Moreira Calazans <[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)>; Nilton Reis Batista Júnior <[nilton.batista@mma.gov.br](mailto:nilton.batista@mma.gov.br)>; Ana Luiza Arraes de Alencar Assis <[ana.assis@mma.gov.br](mailto:ana.assis@mma.gov.br)>  
Cc: Rachel Freita Barcellos Dos Santos <[rachel.santos@undp.org](mailto:rachel.santos@undp.org)>  
Subject: Re: BRA/18/003 and BRA/18/G31 – Project Tripartite Meetings

OK, Renata, we will wait for your reply regarding a meeting with the new Director, so that we can schedule the tripartite meeting.

Kind regards,  
Ana Carolina

**RE: BRA/18/003 and BRA/18/G31 – Project Tripartite Meetings**

Rachel Freitas Barcellos Dos Santos

Friday, 27/11/2020 15:17

To:

- Fábio Brasileiro da Silva;
- 'jose.barcellos@mma.gov.br'

Cc:

- Renatha Karine Moreira Calazans;
- Teresinha de Jesus Oliveira Rocha

Dear Fábio and José Renato,

As emphasized in our last monitoring meeting for Project BRA/18/003 (IDB/ABS) on 25/11/20, as part of the procedures that regulate Technical Cooperation, with regards to Monitoring and Evaluation (M&E) policies, we need to schedule the ABS Project and Phytotherapeutic tripartite meetings, which are to be held annually. The aim of the meetings is to analyze the results achieved by the projects and budget execution, to conduct a review of the Multi-Annual Plan, analyze the risks identified during annual execution, and identify the lessons learned. The members who form the committees for each of the projects (UNDP, MMA, ABC and IDB, in the case of the ABS Project) take part in the meetings.

We emphasize that for the tripartite meeting the 2021 Work Plan for both projects should be presented, and it was agreed that we would discuss this during the week of 7/12. Therefore, we stress that this meeting is essential for us to coordinate the plan, which should be presented to the Board, and this presentation should be held during the meeting.

The dates scheduled by the ABC to hold a meeting for each project are provided below. We would like to remind you that these are the only dates available on the ABC calendar.

Project BRA/18/003 (Nagoya Protocol Project GEF/ABS) for **14/12 (Monday) at 10:00 am**;

Project BRA/18/G31 (Phytotherapeutic value chains in Brazil) for **15/12 (Tuesday) at 9:30 am**;

Yours sincerely,



**Rachel Santos**

Project Assistant

Sustainable Development Unit – Planet

United Nations Development Programme | Brazil

[rachel.santos@undp.org](mailto:rachel.santos@undp.org)

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**From:** Fábio Brasileiro da Silva <[fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)>

**Sent:** Thursday, December 10, 2020 10:39 AM

**To:** Renatha Karine Moreira Calazans <[renatha.calazans@undp.org](mailto:renatha.calazans@undp.org)>

**Cc:** Jose Renato Barcellos Ferreira <[jose.barcellos@mma.gov.br](mailto:jose.barcellos@mma.gov.br)>

**Subject:** Tripartite Meetings

**Importance:** High

Dear Renatha, good afternoon.

Unfortunately we will not be able to attend the tripartite meetings next week.

My suggestion is that we re-schedule for January. I ask that you evaluate the matter and contact me directly, so we may discuss the options.

Once again, any discussion related to the projects should be discussed directly with José Renato and I.

I am available for any queries you may have.

Thank you,



**Fabio Brasiliano**

Director

Genetic Heritage

Ministry of the Environment

E-mail: [fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)

Telephone: +55 61 2028-2098 | +55 61 99698 6816

Renatha Karine Moreira

Thursday, 10/12/2020 11:00

To:

- 'Fábio Brasiliano da Silva'

Dear Fabio,

Is there a problem? Can we help in any way? As agreed in our meeting to discuss the Work Plans, and then with José Renato, we are working on the draft presentations, which are being finalized, so that we may share them with you.

As discussed, this is a meeting scheduled to take place annually within the domain of the projects, and it is important that we keep to the schedule. Is there another way that we can support you?

Kind regards,

Renatha

## **Tripartite Meetings - Projects MMA - BRA/18/003 and BRA/18/G31**

Fábio Brasileiro da Silva <fabio.brasiliano@mma.gov.br>

Friday, 11/12/2020 12:06

To:

- Renatha Karine Moreira Calazans

Cc:

- Jose Renato Barcellos Ferreira

Dear Renatha, good morning.

I would like to request the re-scheduling of the tripartite meetings related to the project in progress in this Department.

A series of unforeseen events and emergency agendas have occurred, which have affected our analyses, and proposals for the projects and, therefore, I am requesting an additional period to complete our internal activities for the projects within the Ministry.

As soon as these activities are completed, we will get in touch to construct new agendas, as a priority.

I am available for any queries you may have.

Yours sincerely,

**Fábio Brasileiro**

Director

Genetic Heritage

Ministry of the Environment

E-mail: [fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)

Telephone: +55 61 2028-2098 | +55 61 99698 6816

## **Agendas - Projects BRA/18/003 and BRA/18/G31**

Fábio Brasileiro da Silva <fabio.brasiliano@mma.gov.br>

Weds, 06/01/2021 16:00

To:

- Renatha Karine Moreira Calazans

Cc:

- Teresinha de Jesus Oliveira Rocha

Dear Renatha, good afternoon.

I hope that you had an excellent vacation period, and that 2021 is a year of various accomplishments!

I am writing in response to the scheduling requests received (Tripartite Meetings and Work Plan for both projects).

The internal reviews and validations for both projects are underway, and will require more time. As advised in our last messages, the Biodiversity Secretariat is involved in these analyses, and the results will be shared, and validated with you. Therefore, it is advisable that we wait for the completion of these validations at the MMA, so that we may then schedule new meetings.

I ask that you await contact from us and, once more, reiterate our commitment to resuming project-related activities as soon as possible.

Yours sincerely,

**Fabio Brasiliano**

Director

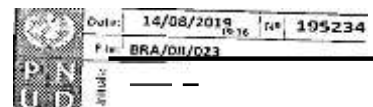
Genetic Heritage

Ministry of the Environment

E-mail: [fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)

Telephone: +55 61 2028-2098 | +55 61 99698 6816

**Appendix 12 \_ MMA Official Letters to the UNDP advising of alterations in the technical team responsible for the project at the TCU. Note the 2021 Official Letter**



**MINISTRY OF THE ENVIRONMENT  
BIODIVERSITY SECRETARIAT  
DEPARTMENT OF GENETIC HERITAGE**

**OFFICIAL LETTER No 5619/2019/MMA**

**For the attention of  
MR DIDIER TREBUQ  
UNDP Brazil Country Director  
UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)  
SEN 802 Conjunto C, Lote 17, Complexo Sergio Vieira de Mello Módulo I- Prédio Zilda Arns  
CEP: 70800-400 - Brasília/DF**

**Brasília, 5<sup>th</sup> August, 2019.**

**Subject: Update of names at the GEF-ABS Project Technical Coordination Unit (TCU).**

Dear Director,

1. I refer to Official Letter no. 1840/2018-MMA, of 23<sup>rd</sup> March, 2018 (SEI 0170121), which indicated the names of those who formed the GEF-ABS Project Technical Coordination Unit (TCU) at the Ministry of the Environment. Considering the team changes, I am writing to advise you of the new composition of the TCU, which is responsible for strategic guidance and general technical coordination for the project, as detailed below:

Role in the TCU	Officials and Contacts
National technical coordinator	<b>Fabício Santana Santos</b> Director, Department to Support the Genetic Heritage Management Council - DCGen/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: <b>(61) 2028-2182</b> E-mail : <b>fabricao.santos@mma.gov.br</b>
Specialist in access to genetic resources and benefit sharing legislation	<b>Ana Carolina Mendes dos Santos</b> Environmental Analyst, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: <b>(61) 2028-2008</b> E-mail: <a href="mailto:ana.santos@mma.gov.br">ana.santos@mma.gov.br</a>
Information management systems specialist	<b>Thiego de Sousa Cotrlm</b> Administrative Agent, Department to Support the Genetic Heritage Management Council - DCGen/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: <b>(61) 2028-2326</b> E-mail: <a href="mailto:thiegocotril@mma.gov.br">thiegocotril@mma.gov.br</a>
Training and community protocols specialist	<b>Ana Luiza Arraes de Alencar Assis</b> Environmental Analyst, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: <b>(61) 2028-2574</b> E-mail: <a href="mailto:ana.assis@mma.gov.br">ana.assis@mma.gov.br</a>
Technical administrative supervisor	<b>Nilton Reis Batista</b> Environmental Analyst, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: <b>(61) 2028-2581</b> E-mail : <a href="mailto:nilton.batista@mma.gov.br">nilton.batista@mma.gov.br</a>

2. We are available for any clarification you may require .

Yours sincerely,

JOSE RENATO DE BARCELLOS FERREIRA  
Substitute Director

---

/ sei Document signed electronically by Jose Renato de Barcellos Ferreira, Substitute Director, on 06/08/2019, at 08:27, at the official time in Brasília, based on art. 62, § 12, of Decree no. 8.539 of 8<sup>th</sup> October, 2015.

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MINISTRY OF THE ENVIRONMENT  
BIODIVERSITY SECRETARIAT  
DEPARTMENT OF GENETIC HERITAGE

OFFICIAL LETTER No. 6413/2020/MMA

FOR THE ATTENTION OF  
MS KATYNA ARGUETA  
RESIDENT REPRESENTATIVE OF THE UNDP BRAZIL  
UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)  
SEN 802 Conjunto C, Lote 17, Complexo Sergio Vieira de Mello Módulo I- Prédio Zilda Arns  
CEP: 70800-400 - Brasília/DF

Brasília, 28<sup>th</sup> September, 2020.

**Subject: Update of names at the GEF-ABS Project Technical Coordination Unit (TCU).**

Dear Director,

1. I refer to Official Letter no. 5619/2019-MMA, of 5<sup>th</sup> August, 2019 (SEI 0450781), which indicated the names of those who formed the GEF-ABS Project Technical Coordination Unit (TCU) at the Ministry of the Environment. Considering the team changes, I am writing to advise you of the new composition of the TCU, which is responsible for strategic guidance and general technical coordination for the project, as detailed below:

Role in the TCU	Officials and Contacts
National technical coordinator	Jose Renato Barcellos Ferreira Project Manager, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, bloco B, sala 815 CEP 70068-901 Brasília – DF Telephone: {61} 2028-2334 E-mail : <a href="mailto:jose.barcellos@mma.gov.br">jose.barcellos@mma.gov.br</a>
Specialist in access to genetic resources and benefit sharing legislation	Ana Carolina Mendes dos Santos Environmental Analyst, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: (61) 2028-2008 E-mail: <a href="mailto:ana.santos@mma.gov.br">ana.santos@mma.gov.br</a>
Information management systems specialist	Luis Henrique P. Fran a Project Manager, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco B Brasília - DF - CEP 70068-900 Telephone: (61) 2028-2326 E-mail : <a href="mailto:luis.franca@mma.gov.br">luis.franca@mma.gov.br</a>
Training and community protocol specialist	Ana Luiza Arraes de Alencar Assis Environmental Analyst, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco B Brasília - DF - CEP 70068-900 Telephone: (61) 2028-2574 E-mail : <a href="mailto:ana.assis@mma.gov.br">ana.assis@mma.gov.br</a>
Technical administrative supervisor	Nilton Reis Batista Junior Environmental Analyst, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco B, Brasília - DF - CEP 70068-900 Telephone: (61) 2028-2581 E-mail: <a href="mailto:nilton.batista@mma.gov.br">nilton.batista@mma.gov.br</a>

1. We are available for any clarification you may require.

Yours sincerely,

**FABIO BRASILIANO DA SILVA**  
Director  
Department of Genetic Heritage



Document signed electronically by Fabio Brasileiro da Silva, Director, on 28/09/2020, at 13:53, at the official time in Brasília, based on art. 6, § 1, of Decree no 8.539 of 8<sup>th</sup> October, 2015.

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Process n° 02000.002796/2014-74  
Esplanada dos Ministérios, Bloco B, Brasília/DF, CEP 70068-901 • <http://www.mma.gov.br/>, [sepro@mma.gov.br](mailto:sepro@mma.gov.br),  
Telephone: (61) 2028-1206

SEI n° 0626556



MINISTRY OF THE ENVIRONMENT  
BIODIVERSITY SECRETARIAT  
DEPARTMENT OF GENETIC HERITAGE

OFFICIAL LETTER No. 196/2021/MMA

Brasília, 18<sup>th</sup> January, 2021.

For the attention of:

**MS KATYNA ARGUETA**  
RESIDENT REPRESENTATIVE OF THE UNDP BRAZIL  
UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)  
SEN 802 Conjunto C, Lote 17, Complexo Sergio Vieira de Mello Módulo I- Prédio Zilda Arns  
CEP: 70800-400 - Brasília/DF

**Subject: Update of names at the GEF-ABS Project Technical Coordination Unit (TCU).**

Dear Representative,

1. I refer to Official Letter no. 6413 (0626556) of 28<sup>th</sup> September, 2020 (SEI 0626556), which indicated the names of those who formed the GEF-ABS Project Technical Coordination Unit (TCU) at the Ministry of the Environment. Considering the team changes, I am writing to advise you of the new composition of the TCU, which is responsible for strategic guidance and general technical coordination for the project, as detailed below:

Role at the TCU	Officials and Contacts
National technical coordinator	<b>Fabio Brasileiro da Silva</b> Director, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: (61) 2028-2098 E-mail: <a href="mailto:fabio.brasiliano@mma.gov.br">fabio.brasiliano@mma.gov.br</a>
Specialist in access to genetic resources and benefit sharing legislation	<b>Jose Renato Barcellos Ferreira</b> Project Manager, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: (61) 2028-2334 E-mail: <a href="mailto:jose.barcellos@mma.gov.br">jose.barcellos@mma.gov.br</a>
Information management systems specialist	<b>Luis Henrique P. França</b> Project Manager, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco B Brasília - DF - CEP 70068-900 Telephone: (61) 2028-2326 E-mail: <a href="mailto:luis.franca@mma.gov.br">luis.franca@mma.gov.br</a>
Training and community protocol specialist	<b>Jose Renato Barcellos Ferreira</b> Project Manager, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: (61) 2028-2334 E-mail: <a href="mailto:jose.barcellos@mma.gov.br">jose.barcellos@mma.gov.br</a>
Technical administrative supervisor	<b>Luis Henrique P. França</b> Project Manager, Department of Genetic Heritage - DGH/SBio/MMA Esplanada dos Ministérios, Bloco BBrasília - DF - CEP 70068-900 Telephone: (61) 2028-2326 E-mail: <a href="mailto:luis.franca@mma.gov.br">luis.franca@mma.gov.br</a>

2. We are available for any clarification you may require.



Yours sincerely,

FABIO BRASILIANO DA SILVA  
Director  
Department of Genetic Heritage



Document signed electronically by **Fabio Brasiliano da Silva, Director**, on 18/01/2021, at 10:50, at the official time in Brasilia, based on art. 6, § 1, of [Decree no 8.539, of 8<sup>th</sup> October, 2015](#).



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Cancellation Requests: List of Contracts

Component	# Contract/ Purchase Order	PRODOC Product	Goal/Indicators	Contract Description	Contract Type	Process Status	Contract Duration	Estimated/ Contracted Value (USD)	Observations
Component 1: ABS National Legal Framework	38433 (FCO)	1.3 Key productive sectors with regulations and procedures standardized and harmonized with the ABS law and Nagoya Protocol	# sectors harmonized with the NP	Consultancy services to gather information on the Brazilian biodiversity market, and potential of the resources to be invested in the National Benefit Sharing Fund - NBSF. - Product 1.3**	Legal Entity	In execution	2021	107,845.86	Request to cancel the contract on 12/01
Component 1 Total								107,845.86	

<b>Component 3: Capacity Building and Training</b>	<b>38442 (GSS)</b>	3.1 Public officials, legal practitioners, researchers and science and technology institutions, companies and indigenous peoples, traditional communities, and family farmers, trained on ABS mechanisms and procedures on face-to-face and DL courses.	<p># male and female representatives of academia, companies, and the government, trained per year</p> <p># male and female representatives of indigenous peoples, traditional peoples and communities, and family farmers, trained per year</p>	<b>Systematization and production of content (platforms and inputs, etc.) in the first cycle, with two reviews for improvements in the second and third cycles - Product 3.1</b>	Legal Entity	In execution	2020-2021	29,591.61	Request to cancel contract on 12,
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	<b>38495 (Avante)</b>		# male and female representatives of academia, companies, and the government, trained per year  # male and female representatives of indigenous peoples, traditional peoples and communities, and family farmers, trained per year	<b>Development of online modules of continued ABS training programmes, maintenance, and support for users on the online module courses in the three cycles - Product 3.1</b>	Legal Entity	In execution	2020-2021	74,096.61	Request to cancel contract on 12/
	<b>37899 (Ticiana)</b>		# male and female representatives of indigenous peoples, traditional peoples and communities, and family farmers, trained per year	<b>Details of the Pedagogical Policy Plan (receiving the contributions of each sector and systematizing them. Following-up the meeting with IPTCFFs) - Product 3.1 - Consultant Ticiana Imbroisi*</b>	Individual	In execution	2020	7,893.44	Request to cancel contract on 12/
<b>Component 3</b>								<b>111,581.66</b>	
<b>OVERALL Total</b>								<b>219,427.52</b>	

Cancellation Requests: List of cancelled processes in the receipt of proposals phase

Component	PRODOC Product	Goal/Indicators	Contract Description	Contract Type	Process Status	Contract Duration	Estimated/ Contracted Value (USD)	Observations
Component 2: Knowledge and Information Management	2.1 ABS Clearing-House Mechanism notification channels accessible to users and in operation	# (x 1,000/year) consultations on the National ABS Site	Preparation of the Brazilian ABS site - Product 2.1	Legal Entity	Process cancelled in the receipt of proposals phase	2020-2021	65,000.00	Request to cancel the bidding process in Dec/20
		# Registrations and notifications accumulated on SisGen	Process to prepare the SisGen manuals	Legal Entity	Process cancelled in the receipt of proposals phase	2020-2021	12,698.41	Request to cancel the bidding process in Oct/20
Component 2 Total							77,698.41	
OVERALL Total							77,698.41	

**Cancellation Requests: List of processes suspended before publication**

Component	PRODOC Product	Goal/Indicators	Contract Description	Contract Type	Process Status	Contract Duration	Estimated/ Contracted Value (USD)
Component 2: Knowledge and Information Management	2.1 ABS Clearing-House Mechanism notification channels accessible to users, and in operation	# Registrations and notifications accumulated on SisGen	Digital Certification Services	Legal Entity	Contract suspended before publication of the process	2020-2021	3,555.56
		# Registrations and notifications accumulated on SisGen	Compatibility of other systems for compatibility with SisGen	Legal Entity	Contract suspended before publication of the process	2020-2021	50,000.00
Component 2 Total							53,555.56

Component 3: Capacity Building and Training	3.1 Public officials, legal practitioners, researchers and science and technology institutions, companies and indigenous peoples, traditional communities and family farmers trained on ABS mechanisms and procedures on face-to-face and DL courses.	# male and female representatives of academia, companies, and the government, trained per year	Consultant to prepare manuals on negotiating ABS contracts for IPTCFFs and sectors using associated traditional knowledge	Individual	Contract suspended	2020-2021	13,333.33
		# male and female representatives of indigenous peoples, traditional peoples and communities, and family farmers, trained per year					
Component 3 Total							13,333.33
OVERALL Total							66,888.89

Appendix 14: Balancing entry report tables prepared by the MMA. 2016 to 2018

GEF ABS Project  
Balancing entries from 29/04/2016 to 31/12/2016

Infrastructure and logistics							
Partner	Rental	Component	Date of the event	Unit value	Quantity (h)	Partial total in reais	Partial total in US dollars
MMA contract with EveryTI	License to use WEB protection software for SisGen	2	11/1/2016	BRL 930,000.00	1	BRL 930,000.00	USD 292,360.89
						BRL 0.00	USD -
						BRL 0.00	USD -
Total:						BRL 930,000.00	USD 292,360.89

UNDP dollar in Nov/16: 3.181

Staff							
Partner	Employee	Component	Total employees	Average annual remuneration	Percentage of annual dedication	Partial total in reais	Partial total in US dollars
DCGen/SBio/MA	Gross remuneration of Administrative Agent (class/standard B IV)  Technical follow-up of SisGen implementation and investigation into functions for version 2 – Project Component 2	1	1	BRL 49,148.00	40%	BRL 19,659.20	USD 5,868.42
DCGen/SBio/MA	Gross average remuneration of Environmental Analyst public official (class/standard BII) exercising a coordination role (DAS 101.3)  Technical follow-up of SisGen implementation and investigation into functions for version 2	2	1	BRL 118,299.84	90%	BRL 106,469.86	USD 31,782.05
						BRL 0.00	USD -
						BRL 0.00	USD -
						BRL 0.00	USD -
						BRL 0.00	USD -
Total:						BRL 126,129.06	USD 37,650.46

\*based on salary from May/16  
UNDP avg. value of dollar from May to Dec/16: 3.3495 3.350

\*based on salary from May/16  
UNDP avg. value of dollar from May to Dec/16: 3.3495 3.350

Miscellaneous materials							
Partner	Type	Component	Unit value	Quantity	Partial total in reais	Partial total in US dollars	
Total:					BRL 0.00	USD -	

Overall total in reais:	BRL 1,056,129.06
Overall total in dollars:	USD 330,011.36



GEF ABS Project

2017 Balancing entries

Infrastructure and logistics							
Partner	Rental	Component	Date of the event	Unit value	Quantity (h)	Partial total in reais	Partial total in US dollars
United Nations Environment Programme (UNEP) - Project	Financing International "Strengthening ABS Nacional Regimes and International Compliance" workshop held between 17th and 19th October, 2017 in Jardim Botânico, Rio de Janeiro – Event logistics, translation, buffet (lunch and coffee breaks) and accommodation for international and national participants.	1	10/17/2017	USD 55,593.00	1	BRL 177,341.67	USD 55,593.00
UNEP - Project	Consultancy services to prepare a comparative study of national ABS legislation in various countries, called "Access to genetic resources and benefit-sharing: a review of existing frameworks" (Duration: from October 2017 to December 2018)	1	10/17/2017	USD 77,730.00	1	BRL 247,958.70	USD 77,730.00
GIZ - "Genetic Heritage, Associated Traditional Knowledge and Benefit Sharing" pamphlet for IPTCFFs	Preparatory meetings (room)			BRL 50.00	5	BRL 250.00	USD 780.75
						BRL 0.00	USD -
MMA contract with EveryTI	Technical support and maintenance (update) – SEI process 02000.001905/2015-17	2		BRL 17,000.00	12	BRL 204,000.00	USD 63,690.29
MMA contract with EveryTI	Assisted operation and monitoring SisGen protection (November and December – SEI process 02000.001905/2015-17)	2		BRL 47,083.33	2	BRL 94,166.66	USD 29,399.52
						BRL 0.00	
						BRL 0.00	
						BRL 0.00	
Total: BRL 723,717.03						USD 227,193.56	

\*Sum paid in dollars. The value in reais was converted using the UNDP dollar of Oct/17: 3.19

\*Sum paid in dollars. The value in reais was converted using the UNDP dollar of Oct/17: 3.19

The workshop was the start date for conducting the study with subsidies from the WCMC consultant, Daniela Guarás, during the workshop. She then continued with a series of interviews with ABS specialists, and on topics related to the questions proposed in the study, such as intellectual property. The contact and review lasted until mid-August 2018, and the last Product review was forwarded by her for technical analysis by the MMA on 17<sup>th</sup> November, 2018. The WCMC consultancy services for the UNEP Brazilian Contributions Project, of which these consultancy services are part, were in force until December 2018. The UNEP did not advise of the sums paid per year, only the total amount of consultancy services.

\*Sum in dollars based on the UNDP dollar of Feb/17: 3.123

Preparatory meetings with the presence of representatives of indigenous peoples, traditional peoples and communities, and family farmers (IPTCFFs), to discuss and validate the text. The meetings also included the presence of representatives of civil society, particularly Nurit from ISA, who prepared the base text for work with the IPTCFFs, representatives of the Extractivism and Rural Sustainable Development Secretariat (SEDR) and the Biodiversity Secretariat (SBio) for the Department of Genetic Heritage. The DCGen had not yet been established.

\* Sums paid during the year. UNDP average dollar value in 2017: 3.203

\* Sums paid during the year. UNDP average dollar value in 2017: 3.203

Staff		Component	Total employees	Average Annual Remuneration	Percentage of annual dedication	Partial total in reais		Partial total in US dollars	
Partner	Employee								
GIZ - "Genetic Heritage, Associated Traditional Knowledge and Benefit Sharing" pamphlet for IPTCCFFs	Technical adviser		1	BRL 120,000.00	5%	BRL 6,000.00	USD	1,873.24	* Sums paid throughout the year. Average value of UNDP dollar in 2017: 3.203
GIZ Pamphlet	Designer		1	BRL 6,000.00	100%	BRL 6,000.00	USD	1,873.24	
GIZ Pamphlet	Illustrator		1	BRL 2,000.00	100%	BRL 2,000.00	USD	611.07	
DCGen/SBio/MMA	Administrative Agent gross remuneration (class/standard B IV)  <b>Technical follow-up of SisGen implementation and investigation into functions for version 2 – Project Component 2</b>	1	1	BRL 71,192.64	40%	BRL 28,477.06	USD	8,890.74	* Sums paid throughout the year. Average value of UNDP dollar in 2017: 3.203
DCGen/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard BII) exercising a coordination role (DAS 101.3)  <b>Technical follow-up of SisGen implementation and investigation into functions for version 2</b>	2	1	BRL 177,449.76	90%	BRL 159,704.78	USD	49,861.00	* Sums paid throughout the year. Average value of UNDP dollar in 2017: 3.203
						BRL 0.00	USD	-	
						BRL 0.00	USD	-	
					Total:	BRL 202,181.8	USD	63,189.09	

Miscellaneous materials						
Partner	Type	Component	Unit value	Quantity	Partial total in reais	Partial total in US dollars
GIZ - "Genetic Heritage, Associated Traditional Knowledge and Benefit Sharing" pamphlet for IPTCFFS	Printing		BRL 5.45	2000	BRL 10,900.00	USD 3,468.02
				Total:	BRL 10,900.00	USD 3,468.02

UNDP dollar in Aug/17: 3.143

Overall total in reais:	BRL 301,282.65
Overall total in dollars:	USD 293,850.68

Overall total in dollars:	USD	293,850.68
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GEF ABS Project 2018 Balancing Entries

Infrastructure and logistics							
Partner	Rental	Component	Date of event	Unit value	Quantity (h)	Partial total in reais	Partial Total in US dollars
FAO - REAF (5 <sup>th</sup> - 7 <sup>th</sup> November, 2018)	Accommodation package for 30 people	3	11/5/2018	BRL 12,252.00	1	BRL 12,252.00	USD 3,316.
FAO - REAF	Room rental for 35 people	3	11/5/2018	BRL 1,416.00	1	BRL 1,416.00	USD 383.
FAO - REAF	Rental of IT equipment kit	3	11/5/2018	BRL 2,266.00	1	BRL 2,266.00	USD 613.
FAO - REAF	Food package (lunch and dinner) for 30 People	3	11/5/2018	BRL 11,705.25	1	BRL 11,705.25	USD 3,168.
FAO - REAF	Bus rental for field visit	3	11/6/2018	BRL 5,166.67	1	BRL 5,166.67	USD 1,398.
FAO - REAF	Boat rental for field visit	3	11/6/2018	BRL 400.00	1	BRL 400.00	USD 108.
FAO - REAF	Translation (the event involved participants from the Mercosul)	3	11/5/2018	BRL 16,300.00	1	BRL 16,300.00	USD 4,412.
FAO - REAF	Tickets issued by the FAO (issued prior to participation at the meeting between 5 <sup>th</sup> and 7 <sup>th</sup> November, 2018)	3	11/5/2018	BRL 71,200.00	1	BRL 71,200.00	USD 19,274.
FUNAI	Tickets for officials in other municipalities to take part in the workshop (FUNAI resources allocated to Project BRA/13/019)	3	8/14/2018	BRL 19,190.32	1	BRL 19,190.32	USD 5,162.
FUNAI	Fuel for overland transfer of officials (Resources from the FUNAI budget)	3	8/14/2018	BRL 1,221.00		BRL 1,221.00	USD 328.
FUNAI	Daily allowances for officials during participation in the workshop (Resources from the FUNAI budget)	3	8/14/2018	BRL 8,532.42	1	BRL 8,532.42	USD 2,295.
FUNAI	Tickets for indigenous people to take part in the workshop (FUNAI resources allocated to Project BRA/13/019)	3	8/14/2018	BRL 18,381.63	1	BRL 18,381.63	USD 4,945.
FUNAI	Daily allowances for indigenous people during participation at the workshop (FUNAI resources allocated to Project BRA/13/019)	3	8/14/2018	BRL 13,250.90	1	BRL 13,250.90	USD 3,564.
FUNAI	Moderation services (Estimate of GIZ resources)	3	8/14/2018	BRL 2,000.00	1	BRL 2,000.00	USD 538.
FUNAI	Coffee breaks (Estimate of GIZ resources)	3	8/14/2018	BRL 6,000.00	1	BRL 6,000.00	USD 1,614.
DCGen/SBio/MM ADGH/SBio/MMA	Space for the "Update training on access to genetic heritage legislation and associated traditional knowledge, focused on environmental inspection" course between 3 <sup>rd</sup> and 7 <sup>th</sup> December, 2018, for IBAMA officials (Auditorium, 4 meeting rooms for group activities and support room for the buffet, approximately 400m²)	3	12/3/2018	BRL 2,582.66	1	BRL 2,582.66	USD 671.
Contrato do MMA com a Fervit	Suporte Técnico e manutenção (atualização) - processo SEI 02000.001905/2015-17	2		BRL 17,000.00	12	BRL 204,000.00	USD 52,100.

UNDP dollar in Nov/18: 3.694

UNDP dollar in Nov/18: 3.695

UNDP dollar in Nov/18: 3.696

UNDP dollar in Nov/18: 3.697

UNDP dollar in Nov/18: 3.698

UNDP dollar in Nov/18: 3.699

UNDP dollar in Nov/18: 3.700

UNDP dollar in Nov/18: 3.701

UNDP dollar in Aug/18: 3.717

UNDP dollar in Aug/18: 3.718

UNDP dollar in Aug/18: 3.719

UNDP dollar in Aug/18: 3.720

UNDP dollar in Aug/18: 3.721

UNDP dollar in Aug/18: 3.722

UNDP dollar in Aug/18: 3.723

UNDP dollar in Dec/18: 3.848

\* Sums paid throughout the year.  
Average value of UNDP dollar in 2018: 3.630

\* Sums paid throughout the year.  
Average value of UNDP dollar in 2018: 3.630

3.630

Staff							
Partner	Employee	Component	Total employees	Average annual remuneration	Percentage of annual dedication	Partial total in reais	Partial total in US dollars
DCGen/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard BII) exercising a coordination role (DAS 101.3)  <b>Technical follow-up of SisGen implementation and investigation into functions for version 2</b>	2	1	BRL 177,449.76	90.0%	BRL 159,704.78	USD 43,995.81
							* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DCGen/SBio/MMA	General Coordinator gross remuneration (DAS 101.4), commissioned without a fixed contract, starting in May 2018  <b>Technical follow-up of SisGen implementation and investigation into functions for version 2 – Project Component 2</b>  <b>Responsible for part of the ABS update course for IBAMA inspectors</b>	2 and 3	1	BRL 119,119.20	90.0%	BRL 107,207.28	USD 29,533.69
							* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DCGen/SBio/MMA	Environmental Analyst public official gross remuneration (class/standard BII) exercising a coordination role (DAS 101.3)  <b>Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole – all components.</b>  <b>Responsible for part of the ABS update course for IBAMA inspectors - Component 3.</b>	All components 3	1	BRL 177,449.76	30.0%	BRL 53,234.93	USD 14,665.27
							* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DGH/SBio/MMA	Environmental Analyst public official gross remuneration (class/standard B II) without a specific role  <b>Technical support and participation at side events to present the Brazilian experience of implementing ABS legislation during COP14 of the Convention on Biological Diversity in Egypt - Component 1</b>	1	1	BRL 167,432.52	6.3%	BRL 10,464.53	USD 2,882.79
							* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630

DGH/SBio/MMA	<p>Environmental Analyst public official average gross remuneration (class/standard A V) without a specific role</p> <p><b>Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole – all components.</b></p> <p><b>Technical support and participation at side events to present the Brazilian experience of implementing ABS legislation during COP14 of the Convention on Biological Diversity in Egypt - Component 1</b></p> <p>Support for various training activities, including the workshop held in partnership with FUNAI - Component 3</p>	<p>All components</p> <p>1</p> <p>3</p>	1	BRL 127,336.68	20.0%	BRL 25,467.34	USD	7,015.80	
DCGen/SBio/MMA	<p>Foreign Trade Analyst gross remuneration (S IV) on loan to the MMA/SBio/DCGen with the role of Director (DAS 101.5)</p> <p><b>Component 1</b></p> <p><b>Technical support and participation at side events to present the Brazilian experience of implementing ABS legislation during COP14 of the Convention on Biological Diversity in Egypt - Component 1</b></p> <p><b>Responsible for Technical Project Coordination at the MMA, with supervision and work at the other officials' activities in the project components.</b></p>	<p>1</p> <p>All components</p>	1	BRL 402,811.80	20.0%	BRL 80,562.36	USD	22,193.49	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DGH/SBio/MMA	<p>Environmental Analyst gross remuneration (S IV) on loan to the MMA/SBio/DGH with the role of Director (DAS 101.5)</p> <p><b>Technical support and participation at side events to present the Brazilian experience of implementing ABS legislation during COP14 of the Convention on Biological Diversity in Egypt - Component 1</b></p>	1	1	BRL 237,596.88	5.0%	BRL 11,879.84	USD	3,272.68	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DGH/SBio/MMA	<p>Administrative Agent gross remuneration (class/standard C II)</p> <p><b>Technical follow-up of SisGen implementation and investigation into functions for version 2 – Project Component 2</b></p>	2	1	BRL 67,913.88	40.0%	BRL 27,165.55	USD	7,483.62	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DGH/SBio/MMA	<p>Coordinator gross remuneration (DAS 101.3), commissioned without a fixed contract, starting in May 2018</p> <p><b>Support for the Academic Sector Training Workshops, in partnership with FORTEC - Component 3</b></p>	3	1	BRL 39,798.85	20.0%	BRL 7,959.77	USD	2,192.77	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630

DCGen/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard BV) exercising a coordination role (DAS 101.3)  <b>Participation in training workshops for the academic sector, in partnership with FORTEC - Component 3</b>  <b>Responsible for part of the ABS update course for IBAMA officials - Component 3</b>	3	1	BRL 191,200.44	15.0%	BRL 28,680.07	USD	7,900.84	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DCGen/SBio/MMA	Specialized Indigenist gross remuneration (BI) on loan to the MMA/SBio/DCGen with a general coordination role (DAS 101.4)  <b>Support for the training workshops for the academic sector, in partnership with FORTEC - Component 3</b>  <b>Support and participation in the REAF - FAO meeting to train Mercosul family farmers on Brazilian ABS legislation - Component 3</b>  <b>Technical support and participation at side events to present the Brazilian experience of implementing ABS legislation during COP14 at the Convention on Biological Diversity in Egypt - Component 1</b>	3 1	1	BRL 139,412.76	25.0%	BRL 34,853.19	USD	9,601.43	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DGH/SBio/MMA	Foreign trade analyst gross remuneration (S IV) on loan to the MMA/SBio/DGH with a general coordination role (FPE 101.4)  <b>Responsible for part of the ABS update course for IBAMA inspectors</b>  <b>Technical follow-up of the Consultant "Specialist in Financial Fund Operations" for preparation of the NBSF Manual – Project Component 1</b>	3 1	1	BRL 371,835.72	20.0%	BRL 74,367.14	USD	20,486.82	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DGH/SBio/MMA	Administrative Agent gross remuneration (class/standard C II)  <b>Technical follow-up of the Consultant "Specialist in Financial Fund Operations" for preparation of the NBSF Manual – Project Component 1</b>	1	1	BRL 67,913.88	10.0%	BRL 6,791.39	USD	1,870.91	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
DGH/SBio/MMA	Specialist in Public Policy and Government Management gross remuneration (S IV) without a commissioned role.  <b>Technical follow-up of the Consultant "Specialist in Financial Fund Operations" for preparation of the NBSF Manual – Project Component 1</b>	1	1	BRL 308,947.32	20.0%	BRL 61,789.46	USD	17,021.89	* Sums paid throughout the year. Average value of UNDP dollar in 2018: 3.630
						BRL 0.00			
						BRL 0.00			
Total:						<b>BRL 690,127.64</b>	<b>USD</b>	<b>190,117.81</b>	

Materials and miscellaneous						
Partner	Type	Component	Unit value	Quantity	Partial total in reais	Partial total in dollars
					BRL 0.00	
					BRL 0.00	
					BRL 0.00	
				Total:	BRL 0.00	USD -

Overall total in reais:	BRL 1,368,492.47
Overall total in dollars: USD	375,936.58

## Consolidated table of balancing entries 2016 to 2018

Financing agency	Resource envisaged of the government financial balancing entry	Resource envisaged of the government non-financial balancing entry	Total resources envisaged	Financing source resource executed	Government financial balancing entry resource executed	Government non-financial balancing entry resource executed	Total resources executed	Total balance to be executed
GEF - Global Environment Facility	Inter-American Development Bank (IDB)	UNDP – United Nations Development Programme	MMA – Ministry of the Environment	Technical Cooperation	4/24/2018	4/24/2022	Non budget	In execution
Financing source resource envisaged	Government financial balancing entry resource envisaged	Government non-financial balancing entry resource envisaged	Total resources envisaged	Financing source resource executed	Government financial balancing entry resource executed	Government non-financial balancing entry resource executed	Total resources executed	Total balance to be executed
USD 4,401,931.00	USD 0.00	USD 4,401,931.00	USD 8,803,862.00	USD 182,725.64	USD 0.00	USD 865,423.11	USD 1,048,148.75	USD 7,755,713.25



## Table of 2019 balancing entries

GEF ABS Project

2019 Balancing entries

\*Average value of UNDP dollar in 2019: 3.968

Infrastructure and logistics						
Partner	Rental	Component	Unit value	Quantity (h)	Partial total in reais	Partial total in US dollars
MMA contract with EveryTI	Technical support and maintenance (update) - process SEI 02000.001905/2015-17	2	BRL 17,000.00	12	BRL 204,000.00	USD 51,411.29
DGH and DCGen/SBio/MMA	DELL OPTIPLEX 7060 CORE I5 8GBRAM HD 1TB Kit computer, DELL 23" monitor, keyboard and mouse.	All	BRL 4,380.00	7	BRL 30,660.00	USD 7,726.81
Total:					<b>BRL 234,660.00</b>	<b>USD 59,138.10</b>

Staff						
Partner	Employee	Component	Basic Remuneration Gross average + 13 <sup>th</sup> salary + vacations	Percentage of annual dedication	Partial total in reais	Partial total in US dollars
DCGen/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard BII) exercising a coordination role (DAS 101.3)  Technical follow-up of SisGen implementation and investigation into functions for version 2  Period counted for the remuneration amount (January to August 2019)	2	BRL 109,924.53	90.0%	BRL 98,932.08	USD 24,932.48
DCGen/SBio/MMA	Environmental Analyst public official gross remuneration (class/standard BII) exercising a coordination role (DAS 101.3)  Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole – all components.  Period counted for the remuneration amount (January to August 2019)	All components	BRL 125,930.49	90.0%	BRL 113,337.44	USD 28,562.86
DGH/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard A V) without a specific function  Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole – all components.  Period counted for the remuneration amount (January to December 2019)	All components	BRL 146,096.27	90.0%	BRL 131,486.64	USD 33,136.75
DGH/SBio/MMA	Environmental Analyst gross remuneration without a specific function  Technical coordination of the "International ABS Seminar" - Component 1.  Internal support and liaison with other MMA officials for technical coordination of the project at the MMA.  Period counted for the remuneration amount (January to December 2019)	1	BRL 170,941.60	10.0%	BRL 17,094.16	USD 4,308.00
DGH/SBio/MMA	Administrative Agent gross remuneration (class/standard C II)  Technical follow-up of SisGen implementation and investigation into functions for version 2 – Project Component 2  Period counted for the remuneration amount (January to December 2019)	2	BRL 133,400.13	40.0%	BRL 53,360.05	USD 13,447.59

DCGen/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard BV) exercising a coordination role (DAS 101.3)  Responsible for part of the ABS update course for IBAMA inspectors - Component 3  Period counted for the remuneration amount (January to December 2019)	3	BRL 214.403,60	15.0%	BRL 32,160.54	USD 8,104.97
DCGen/SBio/MMA	Gross remuneration of Specialized Indigenist (BI) on loan to the MMA/SBio/DCGen with the role of general coordinator (DAS 101.4)  Support for the training workshops and International ABS Seminar.  Period counted for the remuneration amount (January to December 2019)	3 1	BRL 158.476,67	25.0%	BRL 39,619.17	USD 9,984.67
DGH/SBio/MMA	Gross remuneration of Foreign Trade Analyst (S IV) on loan to the MMA/SBio/DGH with the role of General Coordinator (FPE 101.4)  Responsible for part of the ABS update course for IBAMA inspectors  Technical follow-up of the Consultant "Specialist in Financial Fund Operations" to prepare the NBSF Manual – Project Component 1  Period counted for the remuneration amount (January to December 2019)	3 1	BRL 450.804,40	20.0%	BRL 90,160.88	USD 22,722.00
DCGen/SBio/MMA	Gross remuneration of MAPA official on loan to the MMA/SBio/DCGen with the role of Director (DAS 101.5)  Responsible for technical coordination of the project for the MMA, with supervision and work on the activities with other officials in the project components.	All components	BRL 380,670.27	25.0%	BRL 95,167.57	USD 23,983.76
DGH/SBio/MMA	Administrative Agent gross remuneration (class/standard C II)  Technical follow-up of the Consultant "Specialist in Financial Fund Operations" to prepare the NBSF Manual – Project Component 1  Period counted for the remuneration amount (January to December 2019)	1	BRL 98,257.20	10.0%	BRL 9,825.72	USD 2,476.24
DGH/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard SII).  Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole – all components.  Period counted for the remuneration amount (August to December 2019)	All components	BRL 77.934,06	90.0%	BRL 70,140.65	USD 17,676.58
DCGen/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard BII).  Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole – all components.  Period counted for the remuneration amount (August to December 2019)	All components	BRL 58.307,11	90.0%	BRL 52,476.40	USD 13,224.90
				Total:	<b>BRL 803,761.30</b>	<b>USD 202,560.81</b>

Overall total in reais:	BRL 1.038.421,30
Overall total in dollars:	USD 261.698,92

## Table of 2020 balancing entries, 1<sup>st</sup> semester

### GEF ABS Project

#### 2020 Balancing Entries – January to June

Infrastructure and logistics						
Partner	Rental	Component	Unit value	Quantity (h)	Partial total in reais	Partial total in US dollars
MMA contract with EveryTI	Technical support and maintenance (update) - process SEI 02000.001905/2015-17	2	BRL 17,000.00	6	BRL 102,000.00	USD 20,901.64
Total:					BRL 102,000.00	USD 20,901.64

Staff						
Partner	Employee	Component	Gross average basic remuneration	Percentage of dedication	Partial total in reais	Partial total in US dollars
DCGen/SBio/MMA	Administrative Agent gross remuneration(class/standard C II) Technical follow-up of SisGen implementation and investigation into functions for version 2 – project Component 2	2	BRL 61,616.03	90%	BRL 55,454.43	USD 11,363.61
DGH/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard A V) without a specific role Internal support and liaison with other MMA officials for technical coordination of the project at the MMAAs a whole	All components	BRL 69,593.46	90%	BRL 62,634.11	USD 12,834.86
DCGen/SBio/MMA	Environmental Analyst public official average gross remuneration (class/standard BV) exercising a coordination role (DAS 101.3)	3	BRL 96,481.62	10%	BRL 9,648.16	USD 1,977.08
DCGen/SBio/MMA	Gross remuneration of a Specialized Indigenist (B II) on loan to the MMA/SBio/DCGen with a general coordinator role (DAS 101.4) Support for the training workshops	3	BRL 71,314.50	25.0%	BRL 17,828.63	USD 3,653.41
DGH/SBio/MMA	Gross remuneration for a Foreign Trade Analyst (SIV) on loan to the MMA/SBio/DGH with a general coordinator role (FPE 101.4)	All components	BRL 202,406.98	20.0%	BRL 40,481.40	USD 8,295.37
DCGen/SBio/MMA	Gross remuneration of a MAPA official on loan to the MMA/SBio/DCGen with the role of Director (DAS 101.5) Responsible for the technical coordination of the project for the MMA with supervision and work on other officials' activities in the project components.	All components	BRL 171,301.62	25.0%	BRL 42,825.41	USD 8,775.70
DGH/SBio/MMA	Administrative Agent gross remuneration (class/standard C II)	1	BRL 41,706.81	10.0%	BRL 4,170.68	USD 854.65
DGH/SBio/MMA	Environmental Analyst public official gross remuneration (class/standard SII). Internal support and liaison with other MMA officials for technical coordination of the project at the MMAAs a whole – all components.	All components	BRL 93,595.17	90.0%	BRL 84,235.65	USD 17,261.40
DCGen/SBio/MMA	Environmental Analyst public official gross remuneration (class/standard BII). Internal support and liaison with other MMA officials for technical coordination of the project at the MMAAs a whole – all components.	All components	BRL 72,664.50	90,0%	BRL 65,398.05	USD 13,401.24
Total:					BRL 382,676.51	USD 78,417.32

Total balancing entry execution (Jan to June 2020) Infrastructure and logistics + Staff	Reais	Dollar
	BRL 484,676.51	USD 99,318.96

OBS: the average UNDP real/dollar rate for the period:

4.880

## Table of 2020 balancing entries 2<sup>nd</sup> semester

### GEF ABS Project

#### 2020 Balancing Entries – July to December

Infrastructure and logistics						
Partner	Rental	Component	Unit value	Quantity (h)	Partial total in reais	Partial total in US dollars
MMA contract with EveryTI	Technical support and maintenance (update) - process SEI 02000.001905/2015-17	2	BRL 13,033.33	5	BRL 65,166.65	USD 11,922.18
Total:					BRL 65,166.65	USD 11,922.18

Staff						
Institution	Employee	Component	Gross average basic remuneration	Percentage of dedication	Partial total in reais	Partial total in US dollars
DGH/SBio/MMA	Gross remuneration for public official with the role of Director responsible for supervision of the other officials' activities in the project components.	All components	BRL 76,290.98	25.0%	BRL 19,072.75	USD 3,489.34
DGH/SBio/MMA	Gross remuneration of Foreign Trade Analyst on loan to the MMA/SBio/DGH with the role of Project Manager. Responsible for technical coordination of the project for the MMA.	All components	BRL 201,886.94	25.0%	BRL 50,471.74	USD 9,233.76
DGH/SBio/MMA	Gross remuneration of official with the role of Project Manager. Technical follow-up of project IT.	2	BRL 31,119.90	70.0%	BRL 21,783.93	USD 3,985.35
DGH/SBio/MMA	Gross remuneration for Administrative Agent with the role of Project Coordinator	1	BRL 48,957.08	10.0%	BRL 4,895.71	USD 895.67
DGH/SBio/MMA	Average gross remuneration of Environmental Analyst public official. Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole.	All components	BRL 91,682.53	90.0%	BRL 82,514.28	USD 15,095.92
DGH/SBio/MMA	Average gross remuneration of Environmental Analyst. Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole.	All components	BRL 69,593.46	90.0%	BRL 62,634.11	USD 11,458.86
DGH/SBio/MMA	Average gross remuneration of Environmental Analyst. Internal support and liaison with other MMA officials for technical coordination of the project at the MMA as a whole.	All components	BRL 72,530.87	90.0%	BRL 65,277.78	USD 11,942.51
DGH/SBio/MMA	Gross remuneration of Administrative Agent Technical follow-up of SisGen - version 2	2	BRL 46,467.49	90.0%	BRL 41,820.74	USD 7,651.07

		Total:	BRL 348,471.03	USD	63,752.48
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Total balancing entry execution (July to Dec 2020) Infrastructure and logistics + Staff	Reais	Dollar	
	BRL 413,637.68	USD	75,674.66

OBS: the average UNDP real/dollar rate for the period: 5.466

## Appendix 15

Official Letter from the DGH/MMA to the UNDP advising of the need to interrupt the process of preparing an IPTCFF Pedagogical training plan



MINISTRY OF THE ENVIRONMENT  
BIODIVERSITY SECRETARIAT  
GENETIC HERITAGE MANAGEMENT COUNCIL SUPPORT DEPARTMENT

OFFICIAL LETTER Nº 4211/2020/MMA

Brasília, 11<sup>th</sup> June, 2020

For the attention of

**MS KATYNA ARGUETA**

Resident Representative of the UNDP Brazil

UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)

SEN 802 Conjunto C, Lote 17, Complexo Sergio Vieira de Mello Módulo I – Prédio Zilda Arns

CEP: 70800-400 - Brasília /DF

**Subject: Impacts on execution of Project BRA/18/003 as a result of the Covid-19 pandemic.**

*Reference:* If you reply to this Official Letter, specifically mention Process nº 02000.002796/2014-74.

Dear Representative,

1. The aim of Project BRA/18/003 is to support Brazil with the effective implementation of its new legal and national regulatory framework, and the institutional capacity and governance required to manage access and benefit sharing (ABS), and associated traditional knowledge (ATK), arising from the use of genetic resources, and to support improving the knowledge of public officials, providers and users of these resources, enabling the country to fulfil the terms of the Nagoya Protocol and Convention on Biological Diversity.
2. I would like to advise you that the social isolation measures now in place due to the Covid-19 pandemic have affected the normal course of project execution.
3. With the aim of limiting the impacts on project execution, various activities envisaged for this year have been re-scheduled, with priority given to actions that can be executed online.
4. However, we have observed that some of the activities have been impacted, mainly those which require input from the target audience, to construct the contents, as is the case of Component 3, Capacity Building and Institutional Strengthening. We would like to highlight that this component represents 57% of the project.
5. We are also forwarding the Minutes of the Committee to Support the Training of Guardians of Biodiversity and ATK Holders of ABS Meeting (attached), held on 22<sup>nd</sup> May, 2020, for your information. On this occasion, the leaders of this project target audience communicated that it was not possible for them to contribute towards the construction process for the Pedagogical Policy Plan at this time.
6. I highlight that the social isolation measures, on account of the Covid-19 pandemic, is affecting the execution of the more robust project activities, which has enabled us to predict the need for an extension to the duration of the agreement.
7. In view of the above, we are consulting the UNDP with regards to the viability of inquiring about the possibility of extending the duration of Project BRA/18/003 with the implementing agent, the IDB.

8. We are available for any clarifications required.

Attachments: I – Minutes of the Committee to Support the Training of Guardians off Biodiversity and ATK Holders of ABS. (SEI nº 0583687).

Yours sincerely,

**FABRÍCIO SANTANA SANTOS**  
Director



Document signed electronically by **Fabício Santana Santos, Director** on 11/06/2020 at 18:43, at the official time in Brasília, based on art. 6, § 1, of [Decree nº 8.539 of 8<sup>th</sup> October, 2015](#).



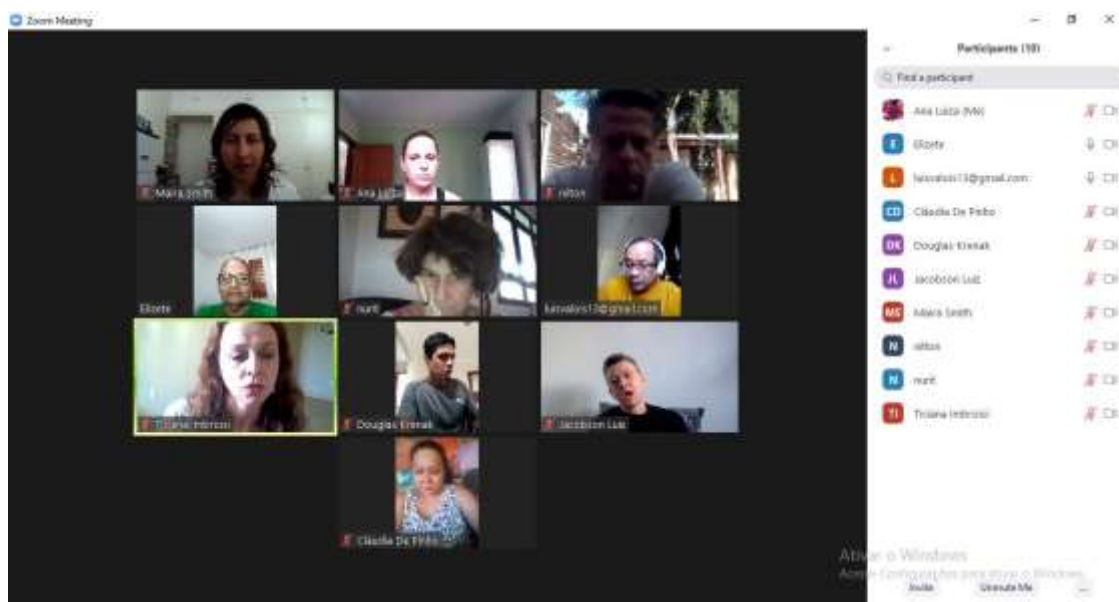
The authenticity of this document can be confirmed on the following site:  
[http://sei.mma.gov.br/sei/controlador\\_externo.php?acao=documento\\_conferir&id\\_orgao\\_acesso\\_externo=0](http://sei.mma.gov.br/sei/controlador_externo.php?acao=documento_conferir&id_orgao_acesso_externo=0), inserting the verifying code **0583686** and CRC code **AFB47A37**.

Minutes of the

**Committee to Support the Training of Guardians of Biodiversity and ATK Holders of ABS**

22<sup>nd</sup> May, 2020

Meeting participants using the ZOOM platform:



- Maira Smith – Genetic Heritage Management Council Support Department - DCGen/Biodiversity Secretariat - SBio/MMA
- Ana Luiza Assis – Department of Genetic Heritage - DGH/SBio/MMA
- Nilton Reis - DGH/SBio/MMA
- Elisete Maria – CGen adviser and Family Farmer focal point on the Committee to Support the Training of Guardians
- Nurit Bensussan – ISA
- Luis Valois - DGH/SBio/MMA
- Ticiiana Imbroisi – Consultant to construct the Pedagogical Policy Project (GEF ABS project – UNDP contract)
- Douglas Krenak – Indigenous representative from the National Benefit Sharing Fund (NBSF) Management Committee, and Alternate for the Indigenous Peoples Focal Point on the Committee to Support the Training of Guardians
- Jacobson Luis – MMA (DGH working group)
- Cláudia de Pinho – CGen adviser and Traditional Peoples and Communities Focal Point on the Committee to Support the Training of Guardians

Ticiiana opened the meeting and passed on to Cláudia de Pinho, who was responsible for providing feedback to the members of the Committee to Support the Training of Guardians, on the consultation conducted with the broader group of representatives of indigenous peoples, traditional peoples and communities, and family farmers, holders of associated traditional knowledge. The consultation proposal was put forward at the previous Committee meeting, so the broader group of representatives of holders of ATK (all the members who took part in the face-to-face workshop in February 2020) could evaluate the possibility of carrying out planning activities, and



continuing the process of constructing a Pedagogical Policy Project (PPP) to train the Guardians of Biodiversity in ABS, which started with the employment of a consultant in early 2020.

Claudia commented that a consultation of representatives of the broader group of holders of ATK was conducted, and that although it is currently a time of social isolation, on account of the COVID- 19 pandemic, the leaders are not having a peaceful time of seclusion; in fact, it is very different, since they are required to intermediate and facilitate various processes related to the changes and adaptations needed in the pandemic context. Therefore, they are busy seeking humanitarian aid, prevention, coordinating health processes, requesting support from the Federal Public Prosecution Service, and dealing with educational issues, among others. She advised that although there were differences in opinion from the representatives of the various social segments of the Guardians, in relation to the various aspects of the training process, there was a general consensus on the **need to temporarily suspend the process of constructing a PPP, on account of the pandemic. She also commented that they intend to conduct a new evaluation of the situation with the extended group of representatives of holders of ATK, starting in the second half of August.** The group's initial proposal is to only resume the Pedagogical Plan construction process when there was a possibility of holding face-to-face workshops, since there are great difficulties with internet access and using online tools.

Nurit asked the MMA officials present at the meeting if a request to temporarily suspend activities for reasons of a force majeure (as in the case of the pandemic) would be accepted by the UNDP, or if there were other alternative possibilities to make use of GEF-ABS project resources to train holders of ATK.

Nilton then commented that although a request for suspension was possible, there would be strong negative impacts on the training activities, considering the advanced project deadline. The paralysation would cause problems for the execution of the actions planned in such a short space of time after the return. He also mentioned that a decision to suspend the process may directly impact other products and activities envisaged in the project.

Therefore, Maira explained that this decision, in addition to affecting planning for the training, would cause direct impacts on Ticiana's consultancy services, and less direct impacts on other products envisaged in the scope of the project; with the contract of consultancy services to produce videos and other training materials, initially envisaged in the same term of reference for the other audiences that would be trained (such as academia and legal practitioners). In order to avoid greater impacts, the MMA team should meet the UNDP to evaluate how to separate the actions addressed at the Guardians, and those for other project audiences. However, the question of Ticiana's consultancy services remained open.

Claudia reiterated that although it is good to be able to count on people who are sensitive to the question of traditional peoples and communities, the group's collective opinion had been taken and the activities should be suspended until the second evaluation.

Elisete let off steam, saying that she was very surprised at the pressure to execute this project at a time in which the world was at a standstill, and that she was following the medical releases for her state; it was a time in which people are fighting for their lives. She mentioned the possibility of the MMA continuing to carry out other project activities, but the holders of ATK would not be able to contribute towards the agenda at this time.

Douglas played a Krenak song with the maraca, and said the objective had changed, that the current objective was survival, and ensuring everyone's survival. That although the access and benefit sharing training process is important, this pedagogical policy project has ramifications and consequences, since it requires them to meet with their relatives, not only Krenak, but from other

groups; it is a process which has no way of being conducted online, since the representatives of the holders of ATK do not have regular internet access. He also confirmed that these decisions and participation need to be reported and socialized, which is not viable at the moment. In his opinion, what was decided at the workshop in February had changed, and the need to consider other forms of participation, methodologies, and pedagogical actions, had arisen. For example, the Krenak are looking for ways to increase their immunity with the wise men and elders, since this is important now. In the case of this project, the ideal solution would be to think of proposals and referrals that could guarantee this resource, so that it is not lost, but not that it is used in a disorganised way.

Nilton emphasised that he understood their point of view, and there was no 'pressure' from either the MMA, or the UNDP, to execute the project, but merely an interest in guaranteeing the resource and opportunity.

Maira commented on Ticiana's products once more, and highlighted that some points had not been resolved, or changed, since the face-to-face workshop in February. In this aspect, some specific topics, such as the issue of minimum content (initially defined in the project and updated by the consultant with the MMA), could make progress, while other subjects needed more discussion. We could think about what would be possible to continue with before the new workshop, to adapt the products envisaged for the consultancy services, in order to minimize impacts on the contract. Douglas reminded the others that various questions, proposals for approaches in the communities, and methodologies, had been put forward in the face-to-face workshop in February, but the scenario has completely changed since then. What should be done now? For example, proposals were made for school activities, and the shamans' advisory meetings, but this had changed significantly; these issues had changed, and even when this ends, the scenario will be completely altered and disrupted. Therefore, it would be essential to hold a new face-to-face workshop to make a new agreement on these aspects.

Ticiana said that in the last Committee to Support the Training of Guardians online meeting, an explanation was given on what had been addressed in the face-to-face workshop in February. She reminded them that the workshop was based on three guiding questions: (a) Why do we need ABS training for the Guardians? (b) For which specific audiences within the universe of the holders of ATK? and (c) How should the training process be conducted (methodology and pedagogical actions, etc.)? There had been progress on the following topics (a) 'why', and part of (c) 'how', but for topic (b) 'for which' no progress had been made. On the other hand, we also made progress on outlining the minimum training contents and format, which has not been lost. Various possibilities were put forward at the workshop (not only face-to-face) and many things can be made use of.

Nurit enquired if it would be possible to ask the UNDP to suspend the process for at least 3 months – in other words, until August. Ana Luiza replied that, when we spoke to the UNDP, we had not yet had a cohesive decision from the indigenous peoples, traditional peoples and communities, and family farmers, but now we do. And we are going to take the proposal of suspending the training activities for the holders of ATK, to the UNDP. The question is seeing the impact of this on other project actions which are in progress, and focus on other audiences, such as the contract to produce videos and manuals, for example.

**Claudia reiterated that they need to be completely dedicated to survival actions until August. There was no way of giving input to other processes. However, she requested further clarification that these would be the other actions. Maira clarified about the contracts envisaged to produce videos and manuals for different audiences, but emphasised that there would be a separate term of reference for the holders of ATK's video and manual contract, in order to maintain the referrals that had already been decided with the other audiences. The meeting then came to a close.**

## APPENDIX 16 - PMU/UNDP analysis of the proposals to alter activities on the 2021/2022 Work Plan

Component	Products Expected	Activities Planned	Goals/ Product Indicators	Activity Goals	Description of Contract/Activity Suspension for which cancellation was requested	New Contract/ActivitiesProposed	Impact on Goals/Indicators and activities defined for the project
<b>Component 1: National ABS Regulatory Framework</b>	1.1 Nagoya Protocol ratified by the legislative authority	1.1.1. Dialogue meetings, awareness raising campaigns, and strengthening institutional capacity, addressed at stakeholders and policy formulators, to promote an environment favourable to implementation of the new ABS legislation and Nagoya Protocol by Brazil	01 Legal instrument approved	07 activities carried out (awareness-raising and sensitizing actions, to promote an environment favourable to implementation of new legislation and the Nagoya Protocol (workshops, advertising materials and side-events, etc.)	International seminars to exchange ABS experiences	Monitoring actions and control of PG/CTA use (MMA/IBAMA) - (Training and Equipment)	The Bio-Economy Fair is being suggested in Component 3. Will it also contribute towards an exchange of ABS experiences?
	1.2 National institutional and regulatory framework approved and operational	1.2.1 . Development of key provisions of the national ABS law and Nagoya Protocol: National Benefit Sharing Fund (NBSF), and regulations for harmonization of the Nagoya Protocol with national laws and standards in key sectors.	03 Regulations approved	03 Regulations (CGen and/or NBSF Management Committee) approved.			
	1.3 Key productive sectors with regulations and procedures standardized and harmonized with the ABS Law and Nagoya Protocol	1.3.1. Technical studies to support the ABS institutional system.	5 sectors harmonized with the Nagoya Protocol (1. Public officials; 2. Legal practitioners; 3. Researchers and science and technology institutions; 4. Business Sector; 5. Indigenous peoples, traditional communities and family farmers)		Contract consultancy services to gather information on national manufacturers of products arising from genetic heritage and associated traditional knowledge, and estimate of the resources to be shared. Product 1.3	Gen+ seal: Consultancy services to define criteria and the evaluation of companies for certification	The surveys produced by the contract would contribute to harmonizing the productive sector with the NP/national legislation.  The products or part of the product of the current contract may contribute with input for the development of the Gen+ seal, such as Product 1, for example, which envisages gathering information on national companies which make use of Brazilian genetic heritage (GH) and associated traditional knowledge (ATK).
		1.3.2. Strengthening CGen modernization.					Indicate how the activity will take place.
	2.1 ABS Clearing-House Mechanism notification channels accessible to users, and in operation	2.1.1 Development and introduction of a genetic heritage and associated traditional knowledge National Management System - SisGen, and an advanced, integrated, internet-based ABS site (national information exchange mechanism) which mirrors and complements the Access and Benefit Sharing Clearing House.	410,000 consultations on the national ABS site in 4 years of the project duration	Year 2: 01 new SisGen module in operation. Year 3: 01 ABS site in operation.	Development of an ABS site	Development of a new version of SisGen	Suspension of the contract for the ABS site directly impacts Activity 2.1.1, and the goals agreed for the indicator and activity. If data is available on the MMA site, confirm if the site visits to access ABS content can be counted.

Component 2: Management of Knowledge and Information		2.1.2 Collection and organization of ABS information required to feed the ABS site and SisGen.	2,600 registrations (access and/or consignment) and notifications registered on SisGen during the four years of project execution	04 integrations conducted with databases outside SisGen.	Systematization and production of content (platforms and input, etc.) in the first cycle, with two revisions for improvements in the second and third cycles - Product 3.1		Contract cancellation impacts activities 2.1.2 and 3.1.1. Considering the new activity proposed to prepare pamphlets in Product 3.1, the UNDP recommends use of an existing contract with the same objective, to systematize the contents.
	2.2 National ABS Electronic Management Systems in use by stakeholders	2.2.1. Development of an Access Traceability System.		Year 2: Access Traceability System in operation at SisGen.	* SisGen compatibility with other Brazilian authority systems; * Digital Certification Services		Will the traceability system, SisGen compatibility with other authorities, and digital certification, be considered in the new version of SisGen?
		2.2.2 Manuals and instructions for users, and providers, for both the systems and the site.		Year 2: 01 Manual prepared.	SisGen manuals		Contract cancellation impacts achievement of Activity 2.2.2. Indicate how the goal and activity will be achieved.
		2.2.3 Technical requirements to integrate the management system and site.		Year 2: Technical Requirement Report prepared			Indicate how the activity will be achieved.
		3.1.1 Instruction and training materials for participation of holders of associated traditional knowledge in local ABS projects.	232 Male and female representatives of academia, companies, and the government, trained during the four years of project execution. UNDP recommendation: minimum of 30% of the people trained should be women.	05 materials prepared throughout the project duration, which include 01 DL course, 01 publication in Portuguese, 01 publication in English, 01 publication in Spanish, and 01 negotiation manual.	* Systematization and production of content (platforms and input, etc.) in the first cycle, with two revisions for improvement in the second and third cycles; * Development of Online Modules for the continued ABS training programmes (DL courses); * Publication on Community Protocols;	"ABS in Brazil" pamphlet in Portuguese, English, German, Spanish, Mandarin and Arabic (content, layout and artwork, and translation to the other 5 languages)	Contract cancellation of systematizing content, the development of online modules (DL) and publication on Community Protocols directly impact activity 3.1.1.  Contracting content systematization also impacts activity 2.1.2. Considering the new activity proposed to prepare pamphlets, the UNDP recommends the use of an existing contract with the same objective, to systematize the contents.
		3.1.2 Awareness-raising campaigns and programmes to form peer-educators for indigenous peoples, traditional communities, family farmers, and other stakeholders, in ABS operation and negotiation skills.		10 awareness-raising activities and to form peer-educators carried out during the project	* Details of the Pedagogical Policy Plan to train indigenous peoples, traditional communities, family farmers, and other stakeholders, in the operation of ABS; * Development of manuals on negotiating ABS contracts; * Training cycles; * Visits to model experiences, to integrate key actors	* Bio-Economy Fair; * Academia Training Roadshow – Federal Universities in Brazil (70); * Training teams on ABS - Conservation Units/National Parks	The training cycles contribute both to awareness-raising, and forming peer-educators, to harmonize the sectors defined in the project with the Nagoya Protocol /national legislation.  Will the Bio-Economy Fair provide training for all audiences?  With the cancellations of training activities, preparing manuals on negotiating ABS contracts, the Pedagogical Policy Plan and Community Protocol methodology, the holders of ATK (indigenous peoples, traditional communities and family farmers) audience was heavily impacted. How do you intend to reach this project target audience?.
	3.1 Public officials, legal practitioners, researchers and science and technology institutions,						

Component 3: Capacity Building and Institutional Strengthening	Companies, indigenous peoples, traditional communities, and family farmers, trained on ABS mechanisms, and associated procedures, on face- to-face and DL courses.	3.1.3 Methodological guidelines, as a tool to obtain prior informed consent.					Indicate how the reach of the activity will be achieved.
		3.1.4 Formulation and preparation of a pilot "Community Protocol," as a basic model for ABS agreements involving associated traditional knowledge, with prior informed consent, mutually agreed terms, and benefit sharing, according to the terms of the national ABS law and Nagoya Protocol.	300 male and female representatives of indigenous peoples, traditional peoples and communities, and family farmers, trained during the four years of project execution.  UNDP Recommendation: a minimum of 30% of the people trained should be women.	Year 2: 01 pamphlet prepared.			In an earlier conversation with Finatec, the institution showed great concern in relation to the possible contract cancellation due to the expectations created in the community, which is fully engaged and committed to the work which will be developed, despite the difficulties faced with the Covid-19 pandemic and the recent flooding experienced by the community.  Finatec advised that it would make a record of these concerns and send it to the MMAs.  Contract cancellation directly impacts Activity 3.1.4. Indicate how achieving these activities will take place.

APPENDIX 17 - E-mail reiterating the direction of all message exchanges between the PMU and TCU, to the TCU/MMA director and substitute director.

Rachel Freitas Barcellos Dos Santos

From: Fábio Brasileiro da Silva <[fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)>

Sent: Friday, December 4, 2020 5:53 PM

To: Renatha Karine Moreira Calazans

Cc: Jose Renato Barcellos Ferreira; Mariana Machado; Rachel Freitas Barcellos Dos Santos; Luis Henrique Pigosso de França; Debora

Jesus Dantas

Subject: RE: Project BRA 18/G31 | Contract spreadsheet and updated legal entity ToRs

Attachments: Phytotherapeutic Project – logical structure and contract estimate

27.11.2020\_MMA\_04122020.xlsx

Importance: High

Dear Renatha, good afternoon.

You can see MMA comments on the deliveries and review proposed for the project in the attached file, meeting the results and indicators defined (column F).

I reiterate, and ask for your support, that 100% of project-related communication is addressed to José Renato and I. Definitions with regards to approval of the ToRs, products, and various directions, should be approved by José Renato and I.

The revision proposed in the above file redirects resources, and makes the ToRs that had been prepared unnecessary.

We are available for any queries you may have.

Yours sincerely,

Fábio Brasileiro

Director

Genetic Heritage

Ministry of the Environment

E-mail: [fabio.brasiliano@mma.gov.br](mailto:fabio.brasiliano@mma.gov.br)

Telephone: +55 61 2028-2098 | +55 61 99698 6816

APPENDIX 18 - Mid-Term Review Evaluative Matrix

Evaluative questions	Indicators	Sources	Methodology
<b>Project Strategy: To what extent is the project strategy relevant do country priorities, country ownership, and the best route towards the expected results?</b>			
Is the project aligned to the Brazilian environment, public policy, and the Nagoya Protocol?	Government approval.	Interviews and project design documents	Verifying government participation in project preparation through document analysis and interviews.
Has the project received government attention and support during its preparation?	Government approval, and signed commitments.	Interviews and project-related documents	Verifying government participation in project preparation through document analysis and interviews.
Are there government changes representing risks or advantages to project development against its goals?	Achieving the results and goals. Disbursements. Contracts executed. Level of coherence between project design and the implementation approach.	Interviews and Project reports	Verifying the development of activities registered on the PIRs, and listening to the engaged teams.
In what ways can the government changes push the project forward or backward?	Achieving the results and goals. Disbursements. Contracts executed.	Interviews and Project reports	Analyzing the development of activities registered on the PIRs, and documents presenting changes to proposals. Listening to the engaged teams.

Evaluative questions	Indicators	Sources	Methodology
<b>Progress against results: To what extent have the expected project outcomes and objectives been achieved this far?</b>			
How many products and activities were completed by the project?	Contracts executed, disbursement, and products delivered.	Annual Work plan, Project Results Matrix	Revise the project documents
What is the project's current level of disbursement?	Amount disbursed.	Disbursement request documents	Revise the project documents
To what extent have the results expected been achieved?	Number of results achieved by each Project Component	PIRs	Revise the project documents
What is the status of executing the activities? Which activities must be executed this year?	Number of activities completed	PIRs and interviews	Revise the project documents, and ask the Project team for the activity execution context
Are there obstacles preventing the project from properly executing the activities, and achieving the planned results?	Number of activities completed	PIRs and interviews	Revise the project documents, and ask the Project team for the activity execution context
<b>Project implementation and adaptive management: Has the project been able to efficiently and cost-effectively adapt to any changing conditions this far? To what extent do project-level monitoring and evaluation systems, reporting, and project communications support project implementation?</b>			
What changes during project execution have influenced project development?	Number of changes Request documents officially received by the Project team	PIRs and interviews	Revise the project documents, and ask questions during the interviews.
What adaptations and corrections have been made by the Project team, to adapt the project to the new context?	Number of changes made to planning.	PIRs and interviews	Revise the project documents, and ask questions during the interviews.



<b>Evaluative questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Did these changes achieve the expected results?	Number of goals and results achieved following changes to the planning documents.	PIRs and interviews	Revise the project documents, and ask questions during the interviews.
Are the monitoring and evaluating systems, reporting, and communication, working properly, to inform and enable proper decisions?	Number and effectiveness of monitoring systems.	PIRs and interviews	Revise the project documents, and ask questions during the interviews.
<b>Sustainability: to what extent are there financial, institutional, socioeconomic, and/or environmental risks to sustaining long-term project results?</b>			
Are there any financial risks to the project? What are they?	Number and type of warnings about risks mentioned in reports and during interviews.	PIRs, internal and external (partners) project communication documents about risks, and interviews.	Revise the project documents, and ask questions during the interviews.
Are there any institutional risks to the project? What are they?	Number and type of warnings about risks mentioned in reports and during interviews.	PIRs, internal and external (partners) project communication documents about risks, and interviews.	Revise the project documents, and ask questions during the interviews.
Are there any socioeconomic risks to the project? What are they?	Number and type of warnings about risks mentioned in reports and during interviews.	PIRs, internal and external (partners) project communication documents about risks, and interviews.	Revise the project documents, and ask questions during the interviews.
<b>Evaluative questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Are there any environmental risks to the project? What are they?	Number and type of warnings about risks mentioned in reports and during interviews.	PIRs, internal and external (partners) project communication documents about risks, and interviews.	Revise the project documents, and ask questions during the interviews.

## Appendix 19 – List of documents revised

### Reference documents

#### UNEG Handbook for Conducting Evaluations of Normative Work in the UN System

- UNEG Norms and Standards for Evaluation
- UNEG Standards for Evaluation in the UN System
- UNEG Norms for Evaluation in the UN System
- UNEG Impact Evaluation in UN Agency Evaluation Systems: Guidance on Selection, Planning and Management
- UNDP Handbook on Planning, Monitoring and Evaluating for Development Results
- OECD Applying Evaluation Criteria Thoughtfully
- The GEF Evaluation Policy (Prepared by the Independent Evaluation Office of the GEF)
- GEF/UNDP Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects
- IEO/UNDP Evaluation Guidelines, Section 4: Evaluation Implementation

### Project BRA/18/003 documents:

- Project Identification Form (PIF)
- UNDP Project Document
- Progress reports for 2018, 2019 (1<sup>st</sup> six months), 2019 (2<sup>nd</sup> six months), 2020 (1<sup>st</sup> six months), and 2020 (2<sup>nd</sup> six months).
- MMA Co-Financing Reports (SEI n° 0421884, n°0526676, n°0597782 and n°0683375).
- Execution Reports: BRA18003 CDR 2018 Q4, CDR 2019 Q4 and CDR 2020 Q4.
- Audit Report BRA0018/003 FY 2020.
- Inspection training report 2019 MMA/IBAMA.

### Products and contracts:

- BRA10-38253-2020 Products, 1, 2 and 3 (FINATEC)
- Contract BRA10-318-37368-2019 (Gluck)
- Contract IC BRA-10-37899-2020 (final product)
- Contract BRA 10-38327-2020 (Cross)

### Others:

- Disbursement requests: 2018.08.13 and 2020.06.25

ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants<sup>52</sup>

**Evaluators/Consultants:**

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

**MTR Consultant Agreement Form**

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

Name of Consultant: Guilherme Martins de Macedo

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at Rio de Janeiro, Brasil (Place) on 28/06/2021 (Date)

Signature: 

<sup>52</sup> [www.unodp.org/unegcodeofconduct](http://www.unodp.org/unegcodeofconduct)

## Mid-Term Review

Capacity Building and Institutional Strengthening on the National Framework for Access and Benefit Sharing under the Nagoya Protocol.

Implemented by the IDB and executed by the UNDP and Ministry of the Environment of Brazil.

**GEF Agency Project ID: BR-T1304    GEF Focal Area: Biodiversity    UNDP BRA/18/003**

This report presents the findings of a review of project documentation and online interviews with participants and stakeholders in Brazil. Findings are listed according to the component of the evaluation they relate to (project strategy; design & logical matrix; progress; implementation; planning, financing and co-financing; stakeholder engagement; communication; risk update, and sustainability).

The analysis was based on information retrieved from documents, and provided by interviewees. We are grateful for the assistance provided by the UNDP Brazil, the Ministry of the Environment, and all the stakeholders who shared their views and observations with us.

The consultant who conducted this Mid-Term review: Guilherme Martins de Macedo, Rio de Janeiro, Brazil.

April – June 2021

Evaluation Report Reviewed and Cleared by	
UNDP Country Office	
Name: _____	
Signature: _____	Date: _____
UNDP GEF RTA	
Name: _____	
Signature: _____	Date: _____

## Appendix 22- Comments and observations of the PMU and TCU teams on the preliminary evaluation report.

The UNDP and MMA teams register their positions in relation to the report, and their responses are provided in the fourth column.

Project ATN/FM-16166-BR (BRA/18/003)

Nº	Page	PMU/UNDP team comments	Evaluation response
1	27	<p>Item <b>3.2 Analysis of guiding questions on the original project design</b> of the report, advises that the text presented in the PRODOC (in the “Beneficiary Engagement” item), “does not reflect the reality of the group participation cited within the project preparation process”. With regards to stakeholder engagement, it is also important to verify the consultation process held during the PPG (Project Preparation Grant) phase, to formulate the project.</p> <p>The PRODOC (Project Document) was prepared in 2018, after the design phase, and formulation of the proposal submitted to the GEF by the IDB and MMA. The PRODOC instrument was prepared within the partnership between the UNDP and MMA, and establishes the bases for executing the project proposal (PIF), in accordance with that approved by the GEF.</p>	<p>Agree with the comment.</p> <p>The majority of the PRODOC text was prepared from the PIF. The project design stage was conducted by a MMA team, with consultancy services provided by the IDB.</p>
2	36	<p>The monitoring meetings between the PMU/UNDP and DGH/MMA teams were frequent until the second half of 2020. After this period, there were difficulties and periods of interruptions, but they did not completely stop taking place. There was also involvement from UNDP senior management and senior Ministry of the Environment representatives, in the search for solutions to the bottlenecks and challenges presented.</p>	<p>Agree.</p> <p>The text was re-adapted.</p>
3	36	<p>The Mid-Term Review was postponed from August 2020 to mid-2021, with the GEF’s approval, due to the expectation of the results of the</p>	<p>The fact that the financing body approved postponement of the mid-term review does not mean that it was held with a clear</p>

		activities started in 2020, as the result of a task force action between the PMU/UNDP team and DGH/MMA technical area.	delay, if the project start date (2018) and final year (2021) are considered.
4	37	The start of the project was planned for the second two months of 2018, in April, the month of its signature, and took place in the fourth bimester of 2018, in August, when the first disbursement was made by the IDB.	Agree. Adaptation implemented
5	39	With regards to the section “a “task force” of DGH technicians was formed to accelerate the execution of the planned activities”, of item <b>3.6. Work Planning Analysis</b> , we advise that the task force was proposed by the PMU/UNDP team as an adaptive measure, and was formed by the PMU/UNDP team and DGH/MMA technicians.	Agree. Adaptation implemented
6	45	With regards to stakeholder engagement, it is also important to verify the consultation process conducted during the PPG (Project Preparation Grant) phase, to formulate the project. The PRODOC (Project Document) was prepared in 2018, following the design phase, and formulation of the proposal submitted to the GEF by the IDB and MMA. The instrument was prepared within the partnership between the UNDP and MMA, and establishes the bases to execute the project proposal (PIF), in accordance with that approved by the GEF.	Agree. The adaptation was implemented, identifying the responsibilities for the project preparation process.
7	46	Item <b>“3.10 Progress Reports”</b> advises that the Project Management Unit (UNDP) opted to prepare six-monthly reports, with information on the development of activities. The delivery of six-monthly reports meets IDB regulations, as per the Agreement signed between the IDB and UNDP.	Agree. Adaptation implemented
8	46	The progress reports analyzed follow the UNDP model.	Agree. Adaptation implemented
9	46	The progress reports are shared with the IDB, MMA, and ABC, at the tripartite meetings.	Agree.

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
10	29	The indicator suggested in result 1.3 is with regards to the number of sectors that will be trained on the subject of ABS, and ratification of the Nagoya Protocol by Brazil. Therefore, the more national sectors that are trained, the better the overall understanding of the subject will be in the country. Thus, the indicator is in line with the result.	The indicators should always follow the rule of being specific, measurable, achievable, relevant, and have an achievement deadline. Indicator 1.3 is relevant for the NP, and has a set period. However, it is not specific, since it does not determine exactly what a “sector harmonized with the NP” is and, least of all, measurable: how many indigenous peoples, businessmen or inspectors need to be “harmonized”, so that the goal is considered achieved.
11	33	According to the alterations prepared by the MMA, the “Bio-Economy Fair” actions envisage holding training for various, specific audiences interested in the subject of ABS, foreseen in Result 1.3 (academia, IPTCFFs, legal practitioners, public officials, and companies). Therefore, this result will be achieved at the end of the project, through training a large number of these sectors.	The NP training, benefit sharing contracts, and SisGen, etc., for specific audiences (indigenous peoples, businessmen, legal practitioners, and academia) are highly complex processes, with specific pedagogical plans. The cancellation of processes which had been planned in the project, and their replacement for a “Bio-Economy Fair” without any description of its planning, training time, number of people, pedagogical plan construction process, objectives, and target contents, etc., form a clear risk to achieving the expected result.
12	34	<p>Execution of Result 2.1. was suspended, and cancellation has now been requested, since the official channel to disseminate information on the ABS agenda in Brazil is the Ministry of the Environment – MMA site. The Ministry has operational capacity to develop the site with the agreed functions, and will make its own resources available, to achieve the expected product.</p> <p>The MMA also clarifies that the new internet-based site with genetic heritage information, when finalized, will contain the same information envisaged for the ABS site, and will include all the information for users to fulfil Brazilian ABS legislation, also serving as a complement to the Access and Benefit Sharing Clearing-House, CBD.</p>	<p>To not represent a risk to the project result, cancellation of the scheduled activity is crucial to achieve the goal, and its respective replacement by an initiative under the MMA’s responsibility should contain a justification with the following, as a minimum:</p> <ul style="list-style-type: none"> <li>• Site preparation schedule by the MMA.</li> <li>• Planning the site preparation process by the MMA, including: a description of the preparation process stages, the dedicated team, objectives and goals of the process, prevision of delivery dates for the final product, points to verify the preparation process, and how the dialogue will be conducted with the CBD, academia, IPTCFFs, public officials, companies, and</li> </ul>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
		<p>There will be a MMA team directly responsible for feeding the information on this site, using the budget envisaged for the Ministry's annual activities.</p> <p>Counting the number of accesses/consultation of information on the genetic heritage site will be available to the DGH, and information will be fed by MMA IT Coordination.</p> <p>In addition, the MMA will include data related to these activities in the project six-monthly co-financing report, indicating the progress achieved.</p>	<p>legal practitioners, for consultations and suggestions on the site.</p>
13	34	<p>Preparation of the “system compatibility with those of other authorities”, the “digital certification services” and “SisGen manuals” modules are envisaged in production of the new version of SisGen (version 3.0), and will fulfil the same requirements envisaged in the initial project proposal.</p>	<p>Preparation of version 2.0 of SisGen is an activity <u>that is still in progress</u> in the project, since the modules are being delivered, validated, and tested. Cancellation of these tasks, of which there is a prevision of execution and budget in the project, and are complementary to the version under construction, is not justified by the promise that they will be developed in a later version.</p>
14	35	<p>As mentioned above, the “Bio-Economy Fair” action envisages holding training for various specific audiences interested in the subject of ABS (academia, IPTCFFs, legal practitioners, public officials, and companies). There will also be specific training for peer-educators.</p>	<p>NP training, benefit sharing contracts, and SisGen, etc., for specific audiences (indigenous peoples, businessmen, legal practitioners, and academia) are highly complex processes, with specific pedagogical plans. Cancellation of processes which have been planned in the project, with an attached budget, and their replacement by a “Bio-Economy Fair” without any description of its planning, training time, number of people, pedagogical plan construction process, objectives, and target contents, etc., is a clear risk to achieving the expected result.</p>
15	35	<p>The MMA decided to maintain the contract for preparing a pilot Community Protocol.</p>	<p>In order to be a robust evaluation which is useful to partners, the MTR is completely based on the evidence of interviews and documents. Until the delivery date of the Mid-Term Review report, no official document has been received on the</p>



Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
		<p>The contract to prepare specific training methodology was interrupted, since this activity will be carried out by the DGH technical team.</p> <p>The MMA will guarantee that the items envisaged within the project will be internalized within the project duration, in order to fulfil meeting the project indicators/results, and the actions envisaged will be aligned with the scope of the original contract.</p> <p>In addition, the MMA will include data related to these activities in the project six-monthly co-financing report, indicating the progress achieved.</p> <p>In relation to the training, as mentioned above, the “Bio-Economy Fair” action foresees conducting training for various specific audiences interested in the subject of ABS (academia, IPTCFFs, legal practitioners, public officials, and companies). There will also be specific training for peer-educators.</p>	<p>resumption of a contract to prepare the pilot Community Protocol. The results of this process will be maintained, according to an allegation by the MMA, and should be included in the progress reports, and the final project evaluation.</p> <p>Similarly, the MTR did not receive any official MMA document with planning for preparation of the Pedagogical Training Plan for IPTCFFs. The products for this work, now under the full responsibility of the DGH/SBio/MMA team, should be presented in the progress reports, and final project evaluation.</p> <p>No planning for the “Bio-Economy Fair” has been presented, or a justification that this activity will be more efficient, effective, or generate more impact than the process which was agreed, planned and budgeted for in the project.</p>
16	38	<p>The change in the technical team responsible at the MMA was altered, considering the need to centralize the responsibility for signing the documents that were being sent to the UNDP, such as product payment approvals. This took place since products had been approved by sectors unrelated to the DGH, which is responsible for the project.</p> <p>Contrary to what has been mentioned, the technical team formed by DGH officials was not removed from the project. They remained linked to it, and continue to be responsible for coordinating its activities.</p>	<p>As a public authority and the technical counterpart, authorizations for project activities are always from the Department Director or Coordinator nominated for this. In an international cooperation project, it is essential that the units involved have a clear awareness of the composition of the Project team, and give responsibility to each one for the processes, so they may efficiently develop the activities required, with the authorities` knowledge. Therefore, it is required that the PMU is officially advised of which people from the TCU are engaged in the project, in order to <u>facilitate</u> communication between the teams, and to guarantee cooperation.</p>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
		<p>The temporary absence of these public officials in daily project activities was only on account of the need for the new DGH/SBio management to review the project.</p> <p>In addition, any bottlenecks, delays and the redefinition of deliveries, aimed to improve the project, and allocation of the resources available. The MMA does not agree with the allegations that the delays and stoppages of activities would not be justified by the MMA.</p>	<p>When the MTR enquired about the progress of project processes developed at the end of 2020, none of the DPB/SBio/MMA technical staff displayed any knowledge of them, which shows their distance from project-related activities.</p> <p>The justification alleged for the decrease in execution from September 2020, was the change in DGH/SBio management, and need for the new staff responsible to analyze and become familiarized with the project. However, from September 2020, until the delivery of this report, the TCU cancelled the tripartite meeting twice, and other meetings requested by the PMU to prepare the 2021 Work Plan, which has not been completed until this time.</p>
17	38	<p>The MMA does not agree with the allegation that “evidence that the numerous and unjustified contract cancellations will be corrected”, since the recent referrals conducted in a meeting with the IDB and UNDP demonstrated the correct justifications for cancelling some of the existing project contracts.</p>	<p>The MTR worked on the analysis of the project development situation from the start. and until 16<sup>th</sup> June, 2021, identifying all of the evident risks to achieving the results. Until this date, no official document has been received with any coherent and reasonable justifications, or new planning that demonstrates the corrections required to the problems identified.</p> <p>The documented corrections and adaptations required, and the results of the new activities, should be included in progress reports, and be made available for the final project evaluation.</p>
18	39	<p>The tripartite meetings will be held on 24/06/2021. Cancellations of the other dates were necessary, since the MMA was still negotiating the alterations required to the project, and better allocation of the resources available, with the UNDP.</p>	<p>The tripartite meetings are essential to discuss, forward and, if possible, validate the alterations required to international cooperation projects.</p>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
19	44	Since the IPTCFFs training actions are maintained on the project, the risks mentioned will be mitigated.	Until the date that this MTR report was delivered, no detailed planning document was received for the training processes. The results of this activity, which the MMA advises will be maintained, should be presented in the progress reports, and be included in the final project evaluation.
20	45	Since the IPTCFF training actions are maintained on the project, and the PDG team will communicate with the IPTCFFs to prepare this training, the IPTCFFs' participation will be representative, and they will be engaged in the project. There will also be specific training for the peer-educators.	As above.
21	45	<p>As clarified above, the technical team formed by the DGH officials was not removed from the project. They remained linked to it, and continue to be responsible for coordinating its activities.</p> <p>The temporary absence of these officials in daily project activities was only due to the need for the new DGH/SBio management to review the project.</p> <p>The tripartite meetings will be held on 24/06/2021. Cancellations of the other dates were required since the MMA was still negotiating the alterations required to the project, and better allocation of the resources available with the UNDP.</p> <p>In addition, any bottlenecks, delays and the redefinition of deliveries, aimed to improve the project and allocation of the resources available. The MMA does not agree with the allegations that the delays and stoppages of activities are not justified by the MMA.</p>	<p>As a public authority and technical counterpart, authorizations for project activities are always from the Department Director or Coordinator nominated for this. In an international cooperation project, it is essential that the units involved have a clear awareness of the composition of the Project team, and each one's responsibilities in relation to the processes, so they can efficiently develop the activities required, with the knowledge of the authorities. Therefore, the PMU should be officially advised of the people in the TCU who are engaged in the project, to <u>facilitate</u> communication between the teams, and to guarantee cooperation.</p> <p>When the MTR inquired about the progress of project processes developed from the end of 2020 onwards, none of the DPB/SBio/MMA technical staff demonstrated any knowledge of these, which shows their distance from project-related activities.</p>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
			<p>There was a clear delay in the process to re-plan the activities, despite PMU/UNDP initiatives, which are widely documented in electronic messages. The alleged project review period identified by the MTR, which started in November 2020 until June 2021, has still not yet been completed. Considering the final execution deadline of December 2021, this means a considerable negative impact on achieving the results, as planned.</p>
22	47	<p>As clarified above, the technical team formed by the DGH officials was not removed from the project. They remained linked to it, and continue to be responsible for coordinating its activities.</p> <p>The temporary absence of these officials in daily project activities was only due to the need for the new DGH/SBio management to review the project.</p>	<p>As a public authority and technical counterpart, authorizations for project activities are always from the Department Director or Coordinator nominated for this. In an international cooperation project, it is essential that the units involved have a clear awareness of the composition of the Project team, and each one's responsibilities in relation to the processes, so they can efficiently develop the activities required, with the knowledge of the authorities. Therefore, the PMU should be officially advised of the people in the TCU who are engaged in the project, to <u>facilitate</u> communication between the teams, and to guarantee cooperation.</p> <p>When the MTR inquired about the progress of project processes developed from the end of 2020 onwards, none of the DPB/SBio/MMA technical staff demonstrated any knowledge of these, which shows their distance from project-related activities.</p> <p>The project review by the new SBio management started in November 2020 and has still not been completed (June 2021). This review is not being conducted with the active participation</p>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
			of the DGH staff responsible for the technical execution of activities.
23	47/48	As the IPTCFF training actions are maintained in the project, the risk mentioned will be mitigated.	Until the date that this MTR report was delivered, no detailed planning document was received for the training processes. The results of this activity, which the MMA advises will be maintained, should be included in the final project evaluation.
24	48	<p>As clarified above, the technical team formed by the DGH officials was not removed from the project. They remained linked to it, and continue to be responsible for coordinating its activities.</p> <p>The temporary absence of these officials in daily project activities was only due to the need for the new DGH/SBio management to review the project.</p> <p>In addition, any bottlenecks, delays and the redefinition of deliveries aimed to improve the project and allocation of the resources available. The MMA does not agree with the allegations that the delays and stoppages of activities are not justified by the MMA.</p>	<p>When the MTR inquired about the progress of project processes developed from the end of 2020 onwards, none of the DPB/SBio/MMA technical staff demonstrated any knowledge of these, which shows their distance from project-related activities</p> <p>The project review by the new SBio management started in November 2020 and has still not been completed (June 2021). This review is not being conducted with the active participation of the DGH staff responsible for the technical execution of activities.</p>
25	48	<p><b>The Project PRODOC does not mention the issue of demarcating indigenous land in the country. This citation on pages 38 and 39 should be excluded.</b></p> <p>And the IPTCFF training actions are maintained on the project.</p>	<p>In order to evaluate the wider risks to projects, <i>Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF – Financed Projects</i>, chapter 3, item 3.3 (Findings), item D (Sustainability) presents the following questions:</p> <p>For the socioeconomic risks to sustainability:</p> <p>“Are there any social or political risks that may jeopardize sustainability of project outcomes?”</p>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
			<p>For risks related to institutional structure and governance:</p> <p><i>“Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize project benefits? “</i></p> <p>These questions, which should mandatorily be included in the evaluation, cover the broader political, institutional, social and economic context, and were answered in item 3.13, letter (a) of the MTR report.</p>
26	51	Operation of the National Benefit Sharing Fund does not depend on full implementation of the Nagoya Protocol, since Law 13.123 and Decree 8.772 establish the regulations and guidelines for operation of the fund, which is now operationalizing.	Agree. Adaptation implemented.
27	51	Conducting training for various specific audiences interested in the subject of ABS, envisaged in Result 1.3 (academia, IPTCFFs, legal practitioners, public officials and companies). Therefore, this result would be achieved at the end of the project by training a large number of these sectors. There will also be specific training for peer-educators.	Considering that 2021 is the final year of project execution, the training-related activities are highly complex and require intermediary processes (pedagogical training plan for IPTCFFS, and specific planning for each sector) and, by June 2021, the details of any solutions for this activity had not been presented, it is probable that this goal will not be achieved, which prevents any consideration of sustainability.
28	51	Execution of Result 2.1. has been suspended, and cancellation has now been requested, since the official channel to disseminate information about the ABS agenda in Brazil is the Ministry of the Environment (MMA) site. The Ministry has the operational capacity to develop the site with the agreed functions, and to make their own resources available to attain the expected product.	<p>In order to not represent a risk to the project result, the cancellation of the activity envisaged is crucial to achieve the goal, and its respective replacement for an initiative under the MMA's responsibility should contain a justification with the following as a minimum:</p> <ul style="list-style-type: none"> <li>• Schedule to prepare the site by the MMA.</li> </ul>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
		<p>The MMA also clarifies that, when finalized, the new online site with the genetic heritage information will contain the same information envisaged on the ABS site, and will include all the information for the user to fulfil Brazilian ABS legislation, also serving as a complement to the CBD Access and Benefit Sharing Clearing-House.</p> <p>A MMA team will be directly responsible for feeding information on this site, using the budget envisaged for the Ministry's annual activities.</p> <p>A count of the number of accesses/information consultations on the genetic heritage site will be available to the DGH, with information fed by MMA IT Coordination.</p> <p>In addition, the MMA will include the data related to these activities in the project six-monthly co-financing report, indicating the progress achieved.</p>	<ul style="list-style-type: none"> <li>Planning the site preparation process by the MMA, including: a description of the preparation process stages, dedicated team, process objectives and goals, prevision of delivery dates for the final product, verification points of the preparation process and how the dialogue with the CBD, academia, IPTCFFs, public officials, companies and legal practitioners will be conducted for consultations and suggestion for the site.</li> </ul> <p>The absence of these documents negatively impacts achievement of the goal which prevents its sustainability from being considered.</p>
29	51	Preparation of "system compatibility with those of other authorities", "digital certification services" and "SisGen manual" modules are envisaged in the production of the new version of SisGen (version 3.0), and will fulfil the same requirements in the initial project proposal.	Preparation of version 2.0 of SisGen is an activity <u>which is still underway</u> on the project, since the modules are being delivered, validated and tested. The cancellation of these tasks, which are scheduled to be executed and budgeted for in the project, and are complementary to the version under construction, is not justified by the promise that they will be developed in a later version.
30	51	Holding training for various specific audiences interested in the subject of ABS (academia, IPTCFFs, legal practitioners, public officials and companies). There will also be specific training for peer-educators.	Considering that 2021 is the final year of project execution, the training-related activities are highly complex and require intermediary processes (pedagogical training plan for IPTCFFs, and specific planning for each sector) and, by June 2021, the details of any solutions for this activity had not been presented, it is probable that this goal will not be achieved, which prevents any consideration of its sustainability.

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
31	54	<p>As mentioned above, the change in the technical team responsible at the MMA was altered, considering the need to centralize the responsibility for signing the documents that were being sent to the UNDP, such as approvals of product payments. This take place since the products have been approved by sectors unrelated to the DGH, responsible for the project.</p> <p>Contrary to what was mentioned, the technical team formed by the DGH officials was not removed from the project. They remained linked to it, and continue to be responsible for coordinating its activities.</p> <p>The temporary absence of these officials in daily project activities was only due to the need for the new DGH/SBio management to review the project.</p> <p>In addition, any bottlenecks, delays and the redefinition of deliveries aimed to improve the project and allocation of the resources available. The MMA does not agree with the allegations that the delays and stoppages of activities are not justified by the MMA.</p>	<p>When the MTR enquired about the progress of project processes developed at the end of 2020, none of the DPB/SBio/MMA technical staff displayed any knowledge of them, which shows their distance from project-related activities.</p> <p>The Project review by the new SBio management started in November 2020 and has still not been completed (June 2021). This review is not being conducted with the active participation of the DGH staff responsible for the technical execution of activities.</p>
32	54/55	<p>As mentioned above, the technical team formed by the DGH officials was not removed from the project. They remained linked to it, and continue to be responsible for coordinating its activities.</p> <p>The temporary absence of these officials in daily project activities was only due to the need for the new DGH/SBio management to review the project.</p>	<p>As a public authority and the technical counterpart, authorizations for project activities are always from the Department Director or Coordinator nominated for this. In an international cooperation project it is essential that the units involved have a clear awareness of the composition of the Project team and give responsibility to each one in relation to the processes, so that they may efficiently develop the activities</p>



Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
		<p>In addition, any bottlenecks, delays and the redefinition of deliveries aimed to improve the project and allocation of the resources available. The MMA does not agree with the allegations that the delays and stoppages of activities are not justified by the MMA.</p>	<p>required, with the authorities` knowledge. Therefore, it is required that the PMU is officially advised of which people from the TCU are engaged in the project, to <u>facilitate</u> communication between the teams, and to guarantee cooperation.</p> <p>When the MTR enquired about the progress of project processes developed from the end of 2020 onwards, none of the DPB/SBio/MMA technical staff displayed any knowledge of them, which shows their distance from project-related activities.</p> <p>There was a clear delay in the process to re-plan the activities, despite PMU/UNDP initiatives which are widely documented in electronic messages. The alleged project review period identified by the MTR, which started in November 2020, and continued until June 2021, has not yet been completed. Considering the final execution deadline of December 2021, this means a considerable negative impact on achieving the results, as planned.</p>
33	55	<p>The MMA will not continue with this contract.</p> <p>The new tools which will be made available on the new version of SisGen will instrumentalize the Ministry`s technical team, for a better understanding of the biodiversity market.</p> <p>Data is available on SisGen databases and those of other government bodies (ANVISA, and INPI, etc.), and processing is</p>	<p>The justification for cancellation and planning the replacement activity was not presented in the MTR, with there being no valid evidence that the evaluation can consider.</p> <p>It is recommended that the results of the new initiative are demonstrated in the progress reports for the final project evaluation.</p>

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
		<p>required. Since the data existing on these databases is confidential, the FCO will not be able to visualize it.</p> <p>Thus, the MMA technical team is much more qualified to analyze this data.</p> <p>Therefore, the above-mentioned contract has lost its efficacy, and should be cancelled.</p>	
34	55	Holding training for various specific audiences interested in the subject of ABS is maintained at the Bio-Economy Fair (academia, IPTCFFs, legal practitioners, public officials, and companies). There will also be specific training for peer-educators.	Answered previously in numbers 11 and 14.
35	55	<p>Execution of Result 2.1. has been suspended, and cancellation has now been requested, since the official channel to disseminate information about the ABS agenda in Brazil is the Ministry of the Environment (MMA) site. The Ministry has the operational capacity to develop the site with the agreed functions, and to make their own resources available to attain the expected product.</p> <p>The MMA also clarifies that, when finalized, the new online site with the genetic heritage information will contain the same information envisaged on the ABS site, and will include all the information for the user to fulfil Brazilian ABS legislation, also serving as a complement to the CBD Access and Benefit Sharing Clearing House.</p> <p>A MMA team will be directly responsible for feeding information on this site, using the budget envisaged for the Ministry's annual activities.</p>	Answered in number 12.

Nº	Page	TCU/DGH/SBio/MMA Team Comments	Evaluation Response
		<p>A count of the number of accesses/information consultations on the genetic heritage site will be available to the DGH, with information fed by MMA IT Coordination.</p> <p>In addition, the MMA will include the data for these activities in the project six-monthly co-financing report, indicating the progress achieved.</p>	
36	55	Preparation of “system compatibility with those of other authorities”, “digital certification services” and “SisGen manual” modules are envisaged in the production of the new version of SisGen (version 3.0), and will fulfil the same requirements in the initial project proposal.	Answered in number 13.
37	56	The production of ABS content for the training cycles for key actors is maintained, since training is included at the Bio-Economy Fair.	In relation to the “Bio-Economy Fair”, see numbers 11 and 14. It is highlighted that the production of training content should include specific information for each target audience: IPTCFFs, legal practitioners, companies, public officials, and academia.
38	56	<p>The DL modules are maintained. The idea is to record the training that takes place at the fairs, and to systematize and make this material available on the MMA site at a later date. The company already selected for this contract could make the recordings, and edit this training.</p> <p>The current system present on the MMA site allows the registration of a person who will take the training and, therefore,</p>	The MTR did not obtain evidence of planning for the activity mentioned during its actions. It is recommended that the results of this are made available in the progress reports for the final project evaluation.

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		<p>information can be gathered on the participant's sex, and place of residence, along with other information required by the project.</p>	
39	56	<p>The MMA team will develop the Pedagogical Policy Plan.</p> <p>Since the IPTCFF training actions are maintained in the project, and there will be dialogue between the DGH team and the IPTCFFs to prepare for this training, IPTCFF participation will be representative, and they will be engaged in the project. There will also be specific training for peer-educators.</p> <p>In addition, the MMA will include the data for these activities in the project's six-monthly co-financing report, indicating the progress achieved.</p>	<p>The MTR did not receive any official MMA documents with planning for the preparation of the Pedagogical Training Plan for IPTCFFs. The products of this work, now under the DGH/SBio/MMA team's full responsibility, should be presented in the progress reports, and for the final project evaluation.</p>
40	56	<p>The MMA decided to maintain the contract to prepare a pilot Community Protocol.</p> <p>The contract to prepare specific training methodology was interrupted, since this DGH technical team will carry out this activity.</p> <p>The MMA will guarantee that the items envisaged within the project will be internalized throughout the project duration, in order to fulfil meeting the project indicators/results, and the actions envisaged will be aligned with the scope of the original contract.</p> <p>In addition, the MMA will include the data related to these activities in the project's six-monthly co-financing report, indicating the progress achieved.</p>	<p>Until the end of the MTR, there was no official information of maintaining a contract to prepare a pilot Community Protocol. Although interruption of the activity generates operational problems, its return to achieve the expected results is beneficial.</p> <p>Similarly, the MTR did not receive any official MMA documents with planning of the preparation for the Pedagogical Training Plan for IPTCFFs. The products of this work, now under the DGH/SBio/MMA team's full responsibility, should be presented in the progress reports, and final project evaluation.</p>

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41	56	The ABS contract negotiation materials for IPTCFFs and ATK users will be included in the ABS pamphlet.	Since this is an activity with a considerable delay to its execution, it is important that detailed planning had already been ready for the MTR. It is emphasized that the contents should be specific for each audience. It is recommended that the results of the activity forms part of the progress reports, and are made available for the final evaluation.
42	57	As mentioned above, there will also be specific training for peer-educators	Answered in numbers 11 and 14.
43	57	<p>The MMA decided to maintain the pilot Community Protocol preparation contract.</p> <p>However, the contract to prepare specific training methodology was interrupted, since the DGH technical team will carry out this activity.</p> <p>The MMA will guarantee that the items envisaged within the project will be internalized throughout the project period, in order to fulfil meeting the project indicators/results, and the actions envisaged will be aligned with the scope of the original contract. In addition, the MMA will include the data for these activities in the project six-monthly co-financing report, indicating the progress achieved.</p>	Answered in numbers 11, 14, and 15.