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United Nations Development Programme

INDEPENDENT COUNTRY PROGRAMME EVALUATION **BRAZIL**



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INDEPENDENT COUNTRY PROGRAMME EVALUATION: BRAZIL

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FOREWORD

I am pleased to present the second Independent Country Programme Evaluation (ICPE) of the United Nations Development Programme (UNDP) in Brazil. The Independent Evaluation Office of UNDP conducted the ICPE in 2020, and it covers the country programme of cooperation between the Government of Brazil and UNDP for the period 2017-2021.

Brazil is an important player on the global stage due to its size and high economic and human development, as well as natural resource endowment and significant bilateral cooperation ties with other countries. Since the last ICPE in 2011, changes in Brazil's political and economic landscape have affected the pace of socio-economic progress achieved in earlier years. The impact of the 2014-2016 economic recession and a slow recovery, coupled with the COVID-19 pandemic, have contributed to the country registering very poor economic performance in 2020. The health impact of COVID-19 has also been severe in Brazil.

UNDP has been present in Brazil since the 1960s and its business model has evolved to respond to the needs of the Government of Brazil. In recent decades, UNDP has positioned itself well as a reliable and trusted partner for efficient development services support to address bottlenecks in national programme implementation.

The ICPE concluded that UNDP adapted to the evolving context during the country programme cycle and responded to government requests. UNDP's presence and reach at sub-national level, in particular, reflected a key dimension of its continued relevance in Brazil. Through engagement in development services support, UNDP provided technical contributions in such areas as

the localization of the Sustainable Development Goals (SDGs), gender mainstreaming and support to the judiciary. UNDP-supported natural resource management interventions also contributed to reductions in greenhouse gases emissions, phasing out of hydrofluorocarbons and the implementation of some land recovery measures, but this has not led to a reduction in the deforestation rate, or documented habitat conservation gains. In private sector engagement for SDG implementation, while UNDP leveraged a small number of partnerships, overall there was scope to leverage further catalytic funding from the private sector.

In the next programme cycle, UNDP is well positioned to further optimize the development services modality to ensure programmatic portfolios are well balanced in terms of technical, administrative and procurement support. The evaluation presented a set of recommendations for UNDP to consider, and UNDP management has provided its response to these recommendations in the management response section of this report.

I would like to thank the Government of Brazil and the other stakeholders for their insights to the evaluation. I hope this report will be of use to UNDP, the government and other national stakeholders in prompting discussions on how UNDP may further enhance its contribution to sustainable human development in Brazil.



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CONTENTS

| | |
|---|-----------|
| ACRONYMS AND ABBREVIATIONS | vii |
| EVALUATION BRIEF | 1 |
| CHAPTER 1. BACKGROUND AND INTRODUCTION | 3 |
| 1.1 Purpose, objectives and scope of the evaluation | 4 |
| 1.2 Evaluation approach and methods | 4 |
| 1.3 Evaluation limitations | 5 |
| 1.4 National development context | 6 |
| 1.5 UNDP programme | 11 |
| CHAPTER 2. FINDINGS | 15 |
| 2.1 Inclusive socio-economic development | 17 |
| 2.2 Support to the 2030 Agenda and SDG localization and monitoring | 20 |
| 2.3 Governance and justice for development | 23 |
| 2.4 Sustainable management of natural resources | 26 |
| 2.5 Gender equality and women's empowerment | 32 |
| 2.6 South-south cooperation for development | 33 |
| 2.7 Private sector partnerships for the SDGs | 34 |
| 2.8 COVID-19 response and recovery support | 35 |
| 2.9 UNDP's strategic positioning and other factors in programme performance | 37 |
| CHAPTER 3. CONCLUSIONS, RECOMMENDATIONS AND MANAGEMENT RESPONSE | 41 |
| 3.1 Conclusions | 42 |
| 3.2 Recommendations and management response | 44 |
| ANNEXES | 50 |

CONTENTS

FIGURES, TABLES AND BOXES

| | |
|---|----|
| Figure 1. Breakdown of programme expenditure (by account code) 2017-2020 | 16 |
| Figure 2. Evolution of expenditure and budget, inclusive socio-economic development portfolio, 2017-2020 | 18 |
| Figure 3. Evolution of expenditure and budget, 2017-2020 | 24 |
| Figure 4. Evolution of expenditure and budget, 2017-2020 | 27 |
| Figure 5. Evolution of UNDP programme budget and expenditure, 2012-2021 | 40 |
| Table 1. Status of Brazil's SDGs, 2020 | 7 |
| Table 2. Country programme outcomes and expenditure 2017-2020 (million US\$) | 13 |
| Table 3. Country programme expenditure by nature of engagement, 2017-2020 (million US\$) | 16 |
| Box 1. Human Development Atlas | 22 |
| Box 2. International Policy Centre for Inclusive Growth | 34 |

ACRONYMS AND ABBREVIATIONS

| | | | |
|---------------|--|---------------|--|
| ABC | Brazilian Cooperation Agency | NCE | Nature, Climate Change and Energy |
| AIDS | Acquired Immunodeficiency Syndrome | NIM | National Implementation Modality |
| ANVISA | Brazilian Health Regulatory Agency | OECD | Organisation for Economic Co-operation and Development |
| CPD | Country Programme Document | ODS | Ozone Depleting Substance |
| DIM | Direct Implementation Modality | PCB | Polychlorinated Biphenyl |
| GEF | Global Environment Facility | PPCDAm | Prevention and Control of Deforestation in the Legal Amazon |
| GHG | Greenhouse Gas | PPP | Public-Private Partnership |
| HCFC | Hydrochlorofluorocarbon | SDG | Sustainable Development Goal |
| HDI | Human Development Index | SERP | Socio-economic Response and Recovery |
| HIV | Human Immunodeficiency Virus | SME | Small and Medium Enterprises |
| ICPE | Independent Country Programme Evaluation | SSC | South-South Cooperation |
| IEO | Independent Evaluation Office | UN | United Nations |
| IPC-IG | International Policy Centre for Inclusive Growth | UNDP | United Nations Development Programme |
| IPEA | Institute for Applied Economic Research | UNFCCC | United Nations Framework Convention on Climate Change |
| MAPS | Mainstreaming, Acceleration and Policy Support | UNODC | United Nations Office on Drugs and Crime |
| MCTIC | Ministry of Science, Technology, Innovation and Communication | | |
| MDG | Millennium Development Goal | | |

Evaluation Brief: Brazil

The Independent Evaluation Office (IEO) of the United Nations Development Programme (UNDP) conducted an Independent Country Programme Evaluation (ICPE) of UNDP Brazil in 2020. The purpose of the evaluation was to inform the development of the next UNDP country programme and to strengthen accountability to national stakeholders and the UNDP Executive Board.

The evaluation was conducted amidst ongoing changes in Brazil's political, economic and social landscape. A decade of progress was halted by an economic recession in 2014-2016. Faced with a slow recovery, political transition and the COVID-19 pandemic, Brazil ended 2020 with one of the poorest economic performances in recent history. Brazil has remained in middle-income status for decades, with resource-driven economic growth dependent on cheap labour and capital. Growth has been challenged by low performance in productivity. The economy is relatively closed to external competition and suffers from a heavy bureaucratic burden, as well as a segmented financial market with very high interest rates. Market integration and competition is constrained by inadequate infrastructure, particularly in transport and logistics, which is important considering Brazil is continent-sized. Brazil is also challenged by high structural inequalities along ethnic and racial lines, which were highlighted by COVID-19, with its disproportionate impacts on vulnerable populations.

The ongoing UNDP country programme 2017-2021 provided development services support and technical contributions to national institutions at federal, state and local level in four broad thematic areas: social development, inclusive economic growth, natural resources management, and governance and justice.

Findings and conclusions

The evaluation concluded that UNDP adapted to the evolving context in the country and remained a strategic partner of the Government of Brazil.

Through engaging in implementation support to government programmes, UNDP provided relevant technical contributions, but there was scope to increase these. UNDP's engagement in policy advocacy was limited, particularly in the area of socio-economic development and governance. The reliance on government financing affected UNDP's engagement and advocacy role in these areas, which are important for Sustainable Development Goal (SDG) achievement, but were under-represented in the country programme priorities. The evaluation found that UNDP's natural resources management portfolio remained highly relevant to Brazil's ongoing climate change and natural resource management challenges, making a significant shift from policy development to policy implementation. UNDP maintained an emphasis on private sector engagement in line with corporate priorities, however given the potential of the business and financial sector in Brazil, there is still a large space to be occupied. The country office articulated a well-defined private sector engagement strategy, but it is yet to unfold fully. Existing partnerships were relatively small scale and focused on funding opportunities. Strategic partnerships as outlined in the country office's private sector strategy, which go beyond funding opportunities and corporate social responsibility, are yet to emerge. Similarly, the UNDP programme incorporated efforts to engage civil society, end-users and beneficiaries in the implementation of initiatives, but these could have been more tailored and adapted to the context and capacities of these groups, which vary significantly between regions and states. The evaluation also concluded that UNDP's operational support, while instrumental in facilitating Brazil's technical cooperation initiatives, had scope to strengthen UNDP's role and access to its knowledge networks. Finally, the level of UNDP's contribution to the COVID-19 response and recovery effort was affected by the division of labour between United Nations agencies and available funding.

Recommendations

Recommendation 1. It is recommended that UNDP makes a concerted effort to enhance its strategic focus and measure its impact with balanced programmatic portfolios. The evaluation recognizes that UNDP's programme responds to government requests. The evaluation also recognizes the challenges country offices such as Brazil face regarding balanced programmatic portfolios. In the forthcoming country programme, attention should focus on strengthening strategic planning to demonstrate high programmatic impact in the context of national implementation, particularly in the socio-economic and governance portfolio. In its results framework and reporting, UNDP should distinguish activities to which it contributes and where it has strong influence over their design and results. The evaluation recognizes the measurement challenges faced by UNDP, but greater effort should be exerted to define suitable measurement approaches to capture UNDP's efforts, including in advocacy, technical contributions and other intangible support to ongoing government programmes.

It is also recommended that UNDP strengthen research and policy analysis capacities to advocate for and help inform the medium- and longer-term socio-economic policy responses in the COVID-19 recovery phase. The pandemic and related economic and health crisis have aggravated the structural weaknesses faced by Brazil.

This requires attention and support from the corporate level.

Recommendation 2. Given the changes introduced by the new government and a shift in policy implementation in the natural resources management portfolio,¹ it is recommended that UNDP undertakes a review of policy/regulatory constraint analyses to determine what has worked, what has not, and how policy design and implementation in the future can handle external shocks. It seems that many of the assumptions about the programme in 2017 did not hold, and issues such as the change in government and economy-of-scale considerations were not factored into policies. The objective would be to better understand how to design initiatives that are more resilient to external forces.

Recommendation 3. The country office's collaboration with the private sector needs to be more systematic to reflect the ambitions articulated in its strategy. UNDP should consolidate its approach to private sector engagement. It should continue to collaborate with the private sector on thematic areas, leveraging its global knowledge to introduce innovation, technology and know-how for stimulating innovative financing mechanisms, particularly in areas with limited public resources. UNDP should also find mechanisms to sustain engagement and coordination with the private sector, individually and collectively after the end of its Global Compact Secretariat role.

Recommendation 4. It is recommended that UNDP leverage its convening power to facilitate dialogue between the government and civil society. UNDP can also leverage resources to develop the capacities of civil society organizations, especially in the context of SDG localization, with a consideration to address disparities in civil society capacity. In the context of the Leave No One Behind principle of the SDGs, civil society organizations have a key role in giving voice to vulnerable and marginalized communities, as well as monitoring progress of the implementation of the SDGs. The SDG localization agenda calls for inclusive approaches that utilize local knowledge to customize the SDGs to local situations. UNDP has a role to play in facilitating a broader dialogue on the role of civil society actors and their engagement in debates on development issues.

Recommendation 5. It is recommended that UNDP advocate for and pursue more strategic engagement in south-south cooperation, going beyond a facilitation role and contributing to strengthening the Brazilian Cooperation Agency capacity with regard to the systematization, mapping, codification and validation of Brazilian knowledge, to facilitate more structured and efficient knowledge transfer to other countries. UNDP should enhance its positioning as a knowledge organization.

¹ See Section 2.4.2, Biodiversity conservation, natural resource management and land use, for specific examples of unexpected policy changes, many associated with the new government in 2019.

CHAPTER 1

BACKGROUND AND INTRODUCTION



The Independent Evaluation Office (IEO) of the United Nations Development Programme (UNDP) conducted an evaluation of UNDP Brazil's country programme 2017-2021.

UNDP has been a development partner of Brazil since 1964.² Cooperation was initially shaped by the UNDP technical assistance mandate, followed by multi-year programming frameworks under the UNDP country programme of cooperation framework. This is the second independent evaluation of UNDP Brazil, the previous one being conducted in 2011.³ The current UNDP programme aims to contribute to reducing poverty and inequality through technical and implementation support.

This chapter presents the evaluation's purpose, objectives, scope and methods and lays out the key human development challenges facing the country, to situate the assessment of UNDP performance. The chapter also presents an overview of the country programme.

1.1 Purpose, objectives and scope of the evaluation

The purpose of the Independent Country Programme Evaluation (ICPE) is twofold: to inform the formulation of the next country programme; and to strengthen the accountability of UNDP to national stakeholders and the UNDP Executive Board.

The specific objectives of the ICPE are to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level, as well as the effectiveness of UNDP's programme strategy and responsiveness to COVID-19. The evaluation aims to identify factors affecting UNDP's performance.

The ICPE covers the current UNDP programme for 2017-2021, although some of the reviewed projects may have been initiated before this period. It assessed all four outcome areas⁴ outlined in the

Country Programme Document (CPD).⁵ The assessment covers all UNDP interventions at federal, state and local levels which are funded by all funding sources, such as government financing, the private sector, vertical funds, UNDP resources and other donors.

1.2 Evaluation approach and methods

The ICPE follows the IEO methodology as described in the terms of reference (see Annex 1).

The evaluation assessed UNDP's contribution to national development results with regard to three key evaluation questions. The key components of data collection included a desk review of existing country programme documents, key informant interviews with programme managers and other stakeholders, and a survey questionnaire.

> EVALUATION QUESTIONS

1. What did the UNDP country programme intend to achieve during the period under review?
 2. To what extent has the programme achieved (or is likely to achieve) its intended objectives?
 3. What factors contributed to or hindered UNDP performance and the sustainability of results?
-

The desk review explored the scope and scale of the UNDP country programme (evaluation question 1) and progress of planned results (evaluation question 2). The desk review covered background documents on the national context, country programme strategic documents, work plans,

² However, the UN has had representation in Brazil since 1947.

³ Assessment of Development Results (ADR): Brazil, <https://erc.undp.org/evaluation/evaluations/detail/4380>

⁴ These are: social development; management of natural resources; inclusive economic growth; and governance and justice.

⁵ Country Programme Document for Brazil (2017-2021), <http://www.br.undp.org/content/dam/brazil/docs/CPD/undp-br-cpd-2017-2021-english-version.pdf>

progress reports, monitoring self-assessments such as the UNDP Results-oriented Annual Report and evaluations conducted by the country office (16 project evaluations were completed).⁶ The list of documents consulted can be found in Annex 4.

Key informant interviews were conducted remotely, due to the COVID-19 pandemic. In total, 105 people were consulted, including government implementing partners at national and local levels, UNDP staff, private sector and civil society partners, and staff of other United Nations (UN) agencies. The aim of the interviews was to understand stakeholders' views on the role of UNDP in the national development agenda and its contribution to national development results through the country programme, as well as factors affecting its performance (evaluation questions 2 and 3). The list of people consulted can be found in Annex 3.

The effectiveness of the UNDP country programme was analysed through an assessment of progress made towards the achievement of expected outputs, and the extent to which these outputs contributed to the intended outcomes. To better understand UNDP's performance and the sustainability of the results it contributes to, the ICPE examined the specific factors that have influenced – both positively and negatively – the country programme. UNDP's capacity to adapt to the changing context and respond to national development needs and priorities was considered. In line with UNDP's gender mainstreaming strategy, the evaluation examined the level of gender mainstreaming across the country programme and operations.

Given the scope and nature of the UNDP programme in Brazil, an electronic survey was sent to all interviewees, excluding UNDP and UN staff, to assess the quality of UNDP support and to triangulate feedback from the interviews. The questionnaire

included 17 questions, covering the responsiveness and efficiency of UNDP support, and recommendations for improvement. Forty-three of a targeted 81 stakeholders (53 percent) completed the survey. The respondents were largely government staff (27 people); eight were from the private sector; two were from state-owned enterprises; three were from civil society; and three were other partners who were unspecified in the survey. Partners from research institutes and think tanks did not respond to the survey request.

The evaluation purposefully selected for in-depth review 45 of 135 projects supported by the country programme at the start of the evaluation.⁷ The selection took into consideration criteria such as thematic and sub-thematic focus, size (large/small expenditures), status (open/closed), geographic coverage and implementation modality. The evaluation team consulted the country office in the selection process.

The evaluation process was guided by the United Nations Evaluation Group Norms and Standards for Evaluation, as well the Ethical Guidelines for Evaluation.⁸ Interviewees were informed that the discussion was being recorded and interview data access was limited to the evaluation team.

1.3 Evaluation limitations

The evaluation was conducted through remote interviews due to the COVID-19 pandemic. It is recognized that remote interviews affect rapport-building with interviewees, as well as willingness to participate in the evaluation. The consultation phase was prolonged due to the limited availability of key stakeholders. Several key informants were not reached despite repeated requests for interviews, and related interventions were assessed based on desk reviews of available programme documents.

⁶ The country programme evaluation plan for 2017-2021 included 22 project evaluations, one thematic evaluation of GEF projects and one United Nations Development Assistance Framework evaluation. By end 2020, 16 project evaluations and the GEF projects thematic evaluation were completed; 11 evaluations were quality assured by the IEO and four were rated as modestly satisfactory, four modestly unsatisfactory and three unsatisfactory.

⁷ This number changed during the evaluation, as some projects closed or new ones were approved.

⁸ See website of the United Nations Evaluation Group, <http://www.unevaluation.org/document/library?categoryId=40>

1.4 National development context

This section summarizes the external context within which the country programme was implemented, highlighting changes since the last independent evaluation in 2011.

With a population of about 212 million (in 2020),⁹ Brazil is the sixth most populous and the fifth largest country in the world, occupying half of South America.¹⁰ With a federal presidential representative democratic republic system of government covering a large area and diverse population, Brazil faces constant development, political and governance challenges.

Brazil's political and socio-economic scenario has changed since the last independent evaluation. In 2011, the economy was steadily growing. Brazil experienced a decade of economic and social progress between 2002 and 2013, boosted by rising commodity prices and inclusive socio-economic policies.¹¹ About 26 million people were lifted out of poverty.¹² This progress was interrupted by a recession in 2014-2016, and faced with a slow recovery and the COVID-19 pandemic, Brazil ended 2020 with one of the poorest economic performances in recent history. Brazil has been hard hit by COVID-19, with over 272,000 deaths and 11 million confirmed cases (10 March 2021).¹³

Prior to COVID-19, the country was assessed as being on track to achieve some of the Sustainable Development Goals (SDGs), though it still lagged on others (Table 1). Good progress has been made

on the targets for quality education, clean water and sanitation, energy, climate action and partnerships. However, several of the goals (ending poverty; economic growth; industry; life below water; life on land; and peace) will need attention. Note that the data used in the table does not account for the impact of COVID-19, which will be severe for SDG progress.

Political and governance context. Brazil has experienced an uneasy political transition in recent years. In 2016, the then-incumbent president was impeached, and a transitional government took over. A new government with new priorities on addressing public security and crime, and promoting economic liberalization, was elected in 2018 and inaugurated in 2019 (at the same time social expenditures remained more or less stable but spending on the environment fell between 2019 and 2020).¹⁴

Brazil's highly decentralized governance system faces fragmentation, competition and limited coordination, affecting integrated public policy responses.¹⁵ Varying institutional capacities among states, which have responsibility for basic social services delivery, contribute to existing socio-economic inequalities.^{16 17}

Brazil ranked 94th out of 180 countries on the 2020 Corruption Perception Index (CPI). Brazil's score on the CPI has fluctuated between 43 and 35 since 2012.¹⁸ Advancing reform of the political system and legal and institutional anti-corruption frameworks to improve public transparency and accountability remains a challenge.¹⁹

⁹ Brazilian Institute for Geography and Statistics (IBGE), 2020.

¹⁰ Brazil occupies approximately half of South America; the land area of the country is about 8.5 million km².

¹¹ For example, the flagship conditional cash transfer programme, *Bolsa Família*; annual minimum wage increases; and sectoral programmes such as *Minha Casa Minha Vida* in social housing, PAC-UAP in slum upgrading, *Programa Nacional de Fortalecimento da Agricultura Familiar*, and PROUNI for educational credit at the university level, among others.

¹² IPEA, 2014.

¹³ Brazil: Coronavirus platform, <https://covid.saude.gov.br/>, accessed on 2 February 2021.

¹⁴ Ribeiro, Vinicius, Almeida, Tiago and Alves, Bruno (2021) *Raio-X do Orcamento 2021*. Brasilia, Chamber of Commerce.

¹⁵ There are 26 states and one federal district (and five macro regions: North, Northeast, South, Southeast and Centre-western), with 5,570 municipalities.

¹⁶ Afonso, J. (2004) *The relations between different levels of government in Brazil*, *CEPAL Review*, 84.

¹⁷ Pierce, A. (2013) *Decentralization and Social Policy in Brazil: An Analysis of Health and Education Policies of the New Republic*, *Journal of International Affairs*, Columbia University SIPA, 2013.

¹⁸ Transparency International, *Corruption Perceptions Index 2020*, <https://www.transparency.org/en/countries/brazil>. According to the Corruption Perception Index scale 100 is very clean, 0 is very corrupt.

¹⁹ Transparency International (2019) *CPI 2019 Regional Analysis: Americas*, <https://www.transparency.org/en/news/cpi-2019-americas>

Public security,²⁰ human rights and access to justice are also a challenge. Statistics on violence reveal deepening geographic and racial inequality.²¹ Violence against women and the LGBTQI population is also increasing.²² Brazil has the world's third largest

prison population, the majority of whom are young black men.²³ Prisons are chronically over-populated and inadequate socio-educational and reintegration programmes remain a concern.²⁴

TABLE 1. Status of Brazil's SDGs, 2020²⁵

| Assessment | Indicator | Trend |
|------------------------|---|-------|
| Achieved | SDG 7 Affordable and clean energy | ↑ |
| Challenges remain | SDG 6 Clean water and sanitation | ↑ |
| | SDG 11 Sustainable cities and communities | ↗ |
| | SDG 13 Climate action | ↑ |
| | SDG 17 Partnerships for the goals | ↑ |
| Significant challenges | SDG 1 No poverty | → |
| | SDG 2 Zero hunger | ↗ |
| | SDG 4 Quality education | ↑ |
| | SDG 5 Gender equality | ↗ |
| | SDG 9 Industry, innovation and infrastructure | → |
| | SDG 12 Responsible consumption and production | ■ |
| | SDG 14 Life below water | → |
| | SDG 15 Life on land | → |
| Major challenges | SDG 3 Good health and wellbeing | ↗ |
| | SDG 8 Decent work and economic growth | → |
| | SDG 10 Reduced inequalities | ■ |
| | SDG 16 Peace, justice and strong institutions | → |

Legend: ↑ On track or maintaining SDG achievement ↗ Moderately improving → Stagnating ■ Information unavailable

²⁰ In 2017, Brazil recorded 30 homicides per 100,000 people (63,880 deaths), the highest rate ever (Public Security Forum, 2018).

²¹ Homicide rates are highest in states in the North and Northeast regions (for example, Roraima and Ceará, with 72 and 53 homicides per 100,000 people, respectively). The homicide rate is increasing among Afro-Brazilians, while dropping in the white population (by 12 and 13 percent, respectively, between 2008 and 2018).

²² Violence against women increased by about 31 percent between 2007 and 2017 (UNDP Brazil, Strategic Document 2019-2020); Afro-Brazilian women represent 68 percent of the total number of female homicide victims.

²³ There are 726,000 inmates; 64 percent are black and 60 percent are aged between 18 and 29 (Infopen, 2018).

²⁴ See Universal Periodic Review – Brazil, <https://www.ohchr.org/en/hrbodies/upr/pages/brindex.aspx>. 100 is very clean, 0 is very corrupt.

²⁵ Sachs, J., Schmidt-Traub, G., Kroll, C., Lafortune, G., Fuller, G. and Woelm, F. (2020) The Sustainable Development Goals and COVID-19. Sustainable Development Report 2020. Cambridge: Cambridge University Press, <https://www.sdgindex.org/reports/sustainable-development-report-2020/>

Socio-economic development. COVID-19 disrupted Brazil's supply and demand, slowed down domestic economic activity and disrupted the country's financial markets. Rising unemployment and economic uncertainty aggravated the macroeconomic challenges the country was already facing due to the recession. The government implemented strong fiscal and monetary policies to support COVID-19 recovery, which prevented a sharper contraction. Real Gross Domestic Product growth at an average of 1 percent between 2017 and 2019²⁶ suggests limited poverty reduction in the short term.²⁷ Poverty has increased since 2014, reaching 19.6 percent in 2019.²⁸ Unemployment is the main cause of increased poverty, rising from 6.5 percent in 2014 to 13.3 percent by June 2020.²⁹ Informal workers' participation in the labour market reduced significantly due to COVID-19. Informal or self-employment represents 41 percent of all jobs (with 82 percent of these jobs occupied by Afro-Brazilian women).³⁰ ³¹ The COVID-19 emergency relief cash transfer programme implemented by the government between April and December 2020 temporarily reduced poverty in 2020 but the trend cannot be sustained without improved economic and market conditions.³²

Despite impressive socio-economic progress in recent decades, historic structural inequality showing up as socio-economic differentials between races and geographic areas has been part of Brazil's development trajectory. One of the underlying causes of this inequality is disparities in access to basic social services for the B40 (bottom 40 percent of income distribution), who rely on an underfunded

public system and are more affected by diseases. The HIV adult prevalence rate has stabilized at below 1 percent, but the country has a concentrated epidemic among key populations, such as among men who have sex with men and sex workers, with prevalence rates of 18.3 percent and 5.3 percent, respectively.³³

COVID-19 has highlighted these inequalities and their disproportionate effect on vulnerable populations, including Afro-Brazilians and Indigenous people. The country's high Human Development Index (HDI) drops from 0.765 to 0.570 when inequality is considered, a loss of about 26 percent.³⁴ The most significant HDI dimension causing the fall is inequality in income. Average incomes of Afro-Brazilians were 46 percent lower than for white people in 2016, according to the Institute for Applied Economic Research (IPEA). Brazil's Gini coefficient reached 53.9 in 2018.³⁵ Inequality in the economic sphere is associated with low educational attainment and poor access to services and infrastructure, resulting in low-skilled self-employment and high unemployment. The poverty incidence is higher in rural than urban areas, and much higher in the less-developed North and Northeast regions. However, the majority of the poor live in urban areas (60 percent).³⁶

Brazil has remained at middle-income status for decades, with resource-driven economic growth dependent on cheap labour and capital.³⁷ Growth has been challenged by low performance in productivity. The economy is relatively closed to external

²⁶ The World Bank. Country Overview, <https://www.worldbank.org/en/country/brazil/overview>

²⁷ The World Bank. Poverty & Equity Brief. Brazil. October 2019, <http://povertydata.worldbank.org/poverty/country/BRA>

²⁸ The World Bank: Poverty & Equity Brief. Brazil. October 2020, https://databank.worldbank.org/data/download/poverty/987B9C90-CB9F-4D93-AE8C-750588BF00QA/AM2020/Global_POVEQ_BRA.pdf

²⁹ Measured as 14.3 in Brazilian Real (2019) or \$5.50 (2011 PPP) per day per capita (upper middle-income class poverty line); The World Bank. Poverty & Equity Brief. Brazil. April 2020, https://databank.worldbank.org/data/download/poverty/987B9C90-CB9F-4D93-AE8C-750588BF00QA/SM2020/Global_POVEQ_BRA.pdf

³⁰ UN Brazil: United Nations Framework for the Socio-Economic Response and Recovery to COVID-19.

³¹ IBGE, informality rate increased from 39.9 percent to 41 percent.

³² Ibid.

³³ UNAIDS, <https://www.unaids.org/en/regionscountries/countries/brazil>

³⁴ UNDP: Human Development Report 2020. Country profile – Brazil, <http://hdr.undp.org/en/countries/profiles/BRA>

³⁵ The World Bank. Poverty & Equity Brief. Brazil. April 2020, https://databank.worldbank.org/data/download/poverty/987B9C90-CB9F-4D93-AE8C-750588BF00QA/SM2020/Global_POVEQ_BRA.pdf

³⁶ About 85 percent of the Brazilian population lived in urban areas in 2013 (World Bank: Retaking the Path to Inclusion, Growth and Sustainability, Brazil Systematic Country Diagnostic. 2016).

³⁷ Im, Fernando Gabriel and Rosenblatt, David, 'Middle-income Traps: A Conceptual and Empirical Survey'. Policy Research Working Paper 6594. World Bank. 2013.

competition and suffers from a heavy bureaucratic burden, as well as a segmented financial market with very high interest rates. Market integration and competition is constrained by inadequate infrastructure, particularly in transport and logistics, which is important considering Brazil is continent-sized. The transition to high-income status requires Brazil to revive structural transformation with diversification towards higher tech, value-added manufacturing, services and agriculture value chains.

Gender equality and women's empowerment.

Though Brazil made important advances on gender equality, closing the gap in health and education, large gender gaps still exist in the workforce and in political participation. This contributes to Brazil's high Gender Inequality Index (0.408 in 2019), ranking 95 out of 162 countries. Race/ethnicity and geographic location intersect with gender, producing inequalities between sub-groups of women.

Women's economic participation. Higher female enrolment in secondary and tertiary education has not translated into increased labour market participation. Women's labour force participation is much lower than men's, at 54 percent compared to 74 percent. Wage inequality means that, on average, women earn 23 percent less than men. Afro-Brazilian women face additional wage penalties relative to men and white women.³⁸ Social and cultural norms and attitudes, such as traditional gender roles, continue to affect female labour force participation. The COVID-19 pandemic has disproportionately affected women in Brazil in terms of the economy, workload and safety concerns. Gender policies will need to be particularly strengthened after COVID-19.

Women's political participation. Women's underrepresentation in decision-making is a challenge for Brazil's democracy. Only 15 percent of seats (75 out of 513 seats in the Chamber of Deputies in 2019) are

held by women.³⁹ The situation is similar at state and municipal levels; one out of 27 governors is a woman, and 12 percent of mayors are women in the 5,570 municipalities.⁴⁰ Structural barriers and capacity gaps prevent women from running for office.

As mentioned above, violence against women is increasing. Brazil experienced a 7-percent increase in femicides from 2018 to 2019 as the number of recorded cases jumped from 1,173 murders in 2018 to 1,314 murders in 2019.⁴¹ Black women are the most vulnerable and represent 61 percent of victims, while 39 percent are white. Brazil recognized femicide as a criminal offence by law in 2015,⁴² representing an important step in recognizing the specificities of violence against women.

Environment and energy. Brazil contains two biodiversity hotspots (the Atlantic Forest and the Cerrado – Brazilian savannah), six terrestrial biomes and three large marine ecosystems,⁴³ and hosts 15 percent to 20 percent of the world's biological diversity.⁴⁴ Brazil is prominent in the global scenario in biodiversity-climate-development, on both the positive and negative sides. On the one hand, Brazil has made positive steps, with both biodiversity indicators and a recent tradition of sophisticated conservation policy, and some relative success in reducing deforestation rates in the Amazon, although the latter has been very inconsistent of late and is subject to political shifts in power. There have been alarming degrees of deforestation in the Amazon and very high rates of deforestation in the Cerrado, with repercussions on the pattern of development and negative impacts on climate change. Brazil has a comprehensive environmental institutional and legislative framework in place, however, policy and programme implementation on the ground is challenged by a complex federal governance framework, and the level of compliance varies

³⁸ Comprehensive National-Level Review Report on the Implementation of the Beijing Declaration and Platform for Action – Brazil, May 2019.

³⁹ Inter-Parliamentary Union, Brazil, https://data.ipu.org/content/brazil?chamber_id=13349#

⁴⁰ UN Women.

⁴¹ The 2018 figure was already a 12-percent increase over the year before.

⁴² Law no. 13.104.

⁴³ Convention on Biological Diversity, Brazil Country Profile, <https://www.cbd.int/countries/profile/?country=br>

⁴⁴ The Biodiversity Finance Initiative, 2019, <https://www.biodiversityfinance.net/brazil>

across regions. Uptake of environmental and natural resource management innovations is difficult in disadvantaged communities.

Brazil's economic growth and urbanization have meant increased energy and resource use with consequent environmental pressures. Deforestation is the major environmental challenge, and is well-covered in the global media.⁴⁵ The World Wildlife Fund estimates that if the current rate of deforestation continues, 27 percent of the Amazon biome will be without trees by 2030.⁴⁶ Unsustainable land use for economic activities intensified deforestation and loss of biodiversity.⁴⁷ A key factor in the initial reversal of deforestation was the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm), launched in 2004. This promoted drastic conservation reform in Brazil. Further, Decree 9578 in 2018 reaffirmed the country's commitment to reducing deforestation in the Amazon biome by 80 percent and in the Cerrado by 40 percent by 2020. However, the annual rate of deforestation in the nine states of the Legal Amazon rose from 6,947 km² in 2017 to 9,762 km² in 2019.⁴⁸ The Amazon Fund consolidated its role as a key enabling instrument for the implementation of PPCDAm-related activities.⁴⁹

Brazil faces several environmental challenges from climate change and related natural disasters, as well as human-induced disasters⁵⁰ and drought,

for example in the Caatinga biome between 2010 and 2016, resulting in agricultural losses in some of Brazil's poorest regions.⁵¹

The country has tried to address these climate change challenges. Brazil adopted its first National Climate Change Policy and National Climate Change Plan in 2009. The plan is structured around four axes: mitigation opportunities; impacts, vulnerabilities and adaptation; research and development; and education, training and communication. The action plans in the Amazon and Cerrado (PPCDAm and PPCerrado) are key instruments of the National Climate Change Plan and consequently are paramount for the country meeting its greenhouse gas (GHG) emission reduction targets. Brazil prioritized the iron and steel sector in the climate change policy and presented voluntarily emission reductions to the United Nations Framework Convention on Climate Change (UNFCCC) to the order of 8 million to 10 million tons CO₂eq by 2020.

Due to its rich biodiversity and ecosystems, Brazil has long been at the core of discussions on how to reach the Paris Climate Change Agreement and the Aichi Biodiversity Targets.⁵² Under its Nationally Determined Contribution, Brazil committed to achieving zero illegal deforestation in the Amazon by 2030. However, the COVID-19 pandemic created a non-punitive environment that stimulated a

⁴⁵ The annual rate of net forest loss in Brazil increased from 3.78 million ha in 1990–2000 to 3.95 million ha in 2000–2010, before declining to 1.5 million ha in 2010–2020. It picked up again in the last few years (FAO (2020) Global Forest Resources Assessment, <http://www.fao.org/3/ca9825en/CA9825EN.pdf>).

⁴⁶ World Wide Fund for Nature (WWF) estimate, https://wwf.panda.org/our_work/our_focus/forests_practice/deforestation_fronts2/deforestation_in_the_amazon/

⁴⁷ Cattle ranching accounts for 80 percent of the deforestation rate of the Amazon (Yale. Global Forest Atlas, <https://globalforestatlas.yale.edu/amazon/land-use/cattle-ranching>). Similarly, agriculture (such as soy production), cattle ranching and charcoal production for the steel industry have led to a loss of biodiversity in Cerrado, the most biodiverse savanna in the world (World-Wide Fund for Nature, https://wwf.panda.org/knowledge_hub/where_we_work/cerrado/). Over-grazing, cotton production and extraction of timber has put Caatinga, a seasonally dry tropical forest encompassing nine north-eastern states, at high risk of desertification, <https://www.worldwildlife.org/ecoregions/nt1304>.

⁴⁸ The political upheaval after the change of Brazil's presidential administration on 1 January 2019 raised major concerns about the future of conservation in Amazonia. The new administration openly questioned Brazil's participation in the Paris Agreement and signalled interest in expanding the regional infrastructure, as well as agricultural and mining operations in the Amazon. This highlights the susceptibility of good environmental measures to political change and loss of commitment.

⁴⁹ Correa et al., 2019.

⁵⁰ For example, the Northeast region is particularly affected by disasters, with 751 per 100,000 inhabitants killed, missing or directly affected, mostly due to intense rainfall and floods (especially in the Rio Negro area). This compares with the national average of 233 per 100,000 inhabitants in 2017 (IPEA 2019. ODS 13 Report, <http://www.ipea.gov.br/>).

⁵¹ World Resources Institute (2018), <https://www.wri.org/blog/2018/06/brazils-drought-ravaged-caatinga-ecosystem-small-farmers-know-best>

⁵² Brazil signed the Paris Agreement at COP 21 of the UNFCCC in 2015 and ratified it in 2016.

resurgence of illegal deforestation, while a change in government reversed some of the government's philosophy about land use and deforestation.⁵³

Brazil has some of the world's most abundant renewable and non-renewable energy resources. With its extensive river systems and plentiful rainfall, Brazil has one of the largest hydroelectric potentials in the world, although it is somewhat at risk from drought. Brazil's overall energy generation from renewable sources was at 43 percent in 2017, much higher than the 2015 world and Organisation for Economic Co-operation and Development (OECD) averages of about 14 percent and 10 percent, respectively.⁵⁴ However, notwithstanding the high participation of hydroelectric plants in the generation of electricity, the energy tariff applied in Brazil is one of the highest in the world.⁵⁵

International cooperation and south-south cooperation

Brazil is recognized as an important player in international development,⁵⁶ and is a founding member of the BRICS group of countries. Its bilateral cooperation includes social development, humanitarian assistance, scientific and technological cooperation, scholarships and refugee support.⁵⁷ The Brazilian Cooperation Agency (ABC), active since 1987, is responsible for coordinating Brazilian technical cooperation. ABC's activities include technical cooperation programmes and projects through

south-south cooperation (SSC). As of 2016, Brazilian SSC had provided technical cooperation to 98 countries, most of them in Africa and Latin America, particularly Portuguese-speaking countries. The concept of 'partnerships for development', adopted by Brazil, consolidates the idea that development cooperation entails sharing efforts and benefits on both sides. Proposed initiatives are evaluated in light of outreach and impact on recipient communities.⁵⁸

Brazil has actively collaborated with the OECD since the early 1990s. In 2017, Brazil presented its application to become a member of OECD, which is currently under consideration.⁵⁹ Brazil partners with Development Assistance Committee countries and international organizations in triangular cooperation.⁶⁰

1.5 UNDP programme

The UNDP programme 2017-2021⁶¹ reflects the priorities of the national development plan, the *Plano Plurianual* (PPA) 2016-2019.⁶² It also aligns with the broad human and economic development agenda on national priorities in the *Estratégia Federal de Desenvolvimento para o Brasil 2020-2031*, the long-term National Development Strategy of the Federal Government. The programme aims to connect to the 2030 Agenda, with the portfolio and results framework organized and corresponding to four of the five 'Ps' of the 2030 Sustainable

⁵³ Science. 2020.

⁵⁴ Deloitte, <https://www2.deloitte.com/br/en/pages/energy-and-resources/upstream-guide/articles/brazilian-energy-matrix.html> <https://www.sciencemag.org/news/2020/08/illegal-deforestation-brazil-soars-amid-climate-impunity>

⁵⁵ IPEA: ODS 7 Report (2019), <http://www.ipea.gov.br/>

⁵⁶ See for example, Overseas Development Institute (2010) *Brazil: An emerging aid player*, briefing no 64. At the same time, Brazil is still listed as an Official Development Assistance recipient country, but income has been decreasing sharply, from \$1,003 million in 2015 to \$265 million in 2017. The main donors in 2017 were Germany and EU institutions; for official development assistance data see: https://public.tableau.com/views/OECDDACIdataglancebyrecipient_new/Recipients?:embed=y&:display_count=yes&:showTabs=y&:toolbar=no?&:showVizHome=no

⁵⁷ OECD, [Brazil Development Cooperation](#).

⁵⁸ *Agência Brasileira de Cooperação*, <http://www.abc.gov.br/CooperacaoTecnica/OBrasileiaCooperacao>

⁵⁹ OECD (2020) [Active with Brazil](#).

⁶⁰ OECD, [Brazil Development Cooperation](#).

⁶¹ Country Programme Document for Brazil (2017-2021), <http://www.br.undp.org/content/dam/brazil/docs/CPD/undp-br-cpd-2017-2021-english-version.pdf>

⁶² This had four strategic axes (quality education; social inclusion; productivity and competitiveness of the economy; and strengthening of public institutions). In comparison, the new PPA 2020-2023 has three strategic axes (macroeconomic stability; efficient allocation of production resources; and improving the business environment and promoting competition and innovation). The UNDP programme also contributed to federal policies and programmes in the four thematic areas supported. These include: National Social Assistance Policy/System; National Education System; National Plan of Human Rights; National Guidelines on Restorative Justice; National Guidelines for Judiciary Oversight in Prison and Socio-educational Systems; National Regional Development Policy; Happy Child programme; Investment Partnerships programme; and the National Logistics Plan, among others.

Development Agenda: People, Planet, Prosperity and Peace. The fifth 'P', on Partnerships, was cross-cutting and mainstreamed across the programme. In comparison to the previous programme, this was an effort to shift from a sector-based approach to an integrated approach. The four outcome areas were: (a) social development (People); (b) management of natural resources (Planet); (c) inclusive economic growth (Prosperity); and (d) governance and justice (Peace).

The inclusive socio-economic development portfolio (corresponding to People and Prosperity outcomes) envisioned partnerships with municipal, state and federal governments, civil society, and private sector and international partners to roll out initiatives that address poverty and inequality reduction through inclusive economic growth and improved public service delivery, particularly in the areas of health, education and social assistance. UNDP planned to introduce new methodologies and provide information to expand inclusive business to prevent people slipping back into poverty. As part of the UNDP strategy on wellbeing, the programme also aimed to contribute to the prevention and treatment of diseases within SUS (the Unified Health System), through enhanced managerial capacity and implementation of public policies to guarantee access for all people, particularly the most vulnerable.

The sustainable management of natural resources portfolio corresponded to 'Planet' and aimed to support the government in implementing the regulatory framework and related policies for sustainable development. UNDP supported the government by exploring new options to aid productive activities that align with the paradigm shift of low-carbon development and a green economy, in a competitive and sustainable manner, that could balance inclusive economic growth, social protection and conservation of the planet's natural resources. There is an emphasis on institutional capacity and policies, which gives weight to the upstream engagement.

The governance and justice outcome (Peace) envisaged integrated policy advisory and project implementation support in the areas of governance and institutional strengthening, citizen security, justice and human rights, in line with the UNDP Strategic Plan signature solution aiming to "*strengthen effective, inclusive and accountable governance*".

COVID-19 support is integrated in the existing programme portfolio, however, as analysed elsewhere in the report, UNDP's activities are limited.

Key programme partners included federal ministries, state and municipal governments, semi-autonomous public agencies, state-owned enterprises, civil society organizations, private sector companies, academia, think tanks and UN agencies.

A strategic review of the country programme was conducted in 2019 to reposition the programme vis-à-vis the political transition in the country and the UN Reform, as well as ensuring alignment with the UNDP Strategic Plan 2018-2021. This did not result in substantive revisions of the CPD, but key programmatic strategies, including the introduction of innovative approaches, expanded territorial development and support to local level development (with a focus on vulnerable areas and populations with low and medium HDI), and diversification of partnerships were re-emphasized.

Programme resources

UNDP successfully leveraged financing partnerships with diverse ministries and public agencies at federal and local level, as well the Global Environment Facility (GEF), Green Climate Fund and Montreal Protocol.

Country programme expenditures amounted to some US\$185 million (to December 2020), equivalent to a delivery rate of 62 percent (Table 2). Annual delivery rates decreased from an average 68 percent

between 2017 and 2019 to 48 percent in 2020. This is attributed to ongoing changes in government and the COVID-19 situation, the latter particularly affecting sub-national programmes.

Government financing, though declining in recent years (from 89 percent to 46 percent between 2013 and 2020) is the most important source of funding for the country programme, averaging about 66 percent of total expenditure in this period. GEF vertical funds are also important sources of funding for the country programme (amounting to 16 percent of expenditure for the same period). Over the 2017-2020 period, the proportion of government financing decreased to 53 percent of total expenditure, while vertical funding (now including Green Climate Fund) increased to about 25 percent of total expenditure.

Programme implementation

Guided by Brazil’s international technical cooperation framework, the country programme was implemented under a tripartite arrangement, involving ABC, UNDP and national implementing partners. Brazil’s technical cooperation legal framework, Decree 5,151/2004, is the main legal instrument governing technical cooperation received from bilateral and multilateral agencies. Yet, myriad norms and rules about the subject have been issued by ABC, the National Treasury and the Supreme Audit Institution over the last 10 years that must be observed by national counterparts. This fragmented set of legal documents has imposed several restrictions on technical cooperation delivered in Brazil, including on IT system development, logistics, events and equipment.

TABLE 2. Country programme outcomes and expenditure 2017-2020 (million US\$)

| Programme component/outcome | | Budget* | Expenditure* | Delivery rate* |
|--|--|----------------|----------------|----------------|
| Inclusive socio-economic development | Strengthened social development throughout the country, with poverty reduction through access to quality public goods and services | 116.6 | 78.1 | 67% |
| | Inclusive and environmentally sustainable economic growth | 40.4 | 19.3 | 48% |
| Governance and justice | A peaceful, fair and inclusive society promoted through social participation, transparency and democratic governance, respecting the secularity of the State and ensuring human rights for all | 47.8 | 22.6 | 47% |
| Sustainable management of natural resources | Strengthened institutional capacity to promote public policies for the sustainable management of natural resources and ecosystem services, combating climate change and its adverse effects, and ensuring the consistency and implementation of these policies | 93.0 | 64.6 | 69% |
| Total | | \$297.8 | \$184.6 | 62% |

Source: UNDP Corporate Planning System (Atlas)

*As of December 2020

There is a mix of national and direct implementation modalities (DIM and NIM), with a higher share of DIM projects and expenditures (54 percent and 46 percent, respectively).⁶³ The higher proportion of DIM projects is unexpected and is attributed to ongoing changes in the programming environment and the complex nature of many of the project designs, with numerous stakeholders involved.

Follow up on the previous Assessment of Development Results recommendations: The previous independent evaluation of UNDP Brazil (2011) resulted in 11 recommendations, with strategic and operational implications for the programme and country office. Given the time that lapsed and turnover in the country office, it was not feasible for this evaluation to track the specific actions taken to respond to these recommendations. However, according to the management response, the country office had agreed partially or fully with all but one, which called for re-profiling of the UNDP technical team. In its management response, the country office recognized the need to strengthen staff knowledge in new thematic areas to cover expanding demands from national stakeholders, but indicated challenges it had faced in previous attempts to re-profile staff capacities. Nonetheless, the evaluation was informed that the country office continues to undergo frequent restructuring, which affects staff continuity and morale. The last change management exercise was conducted in 2017.

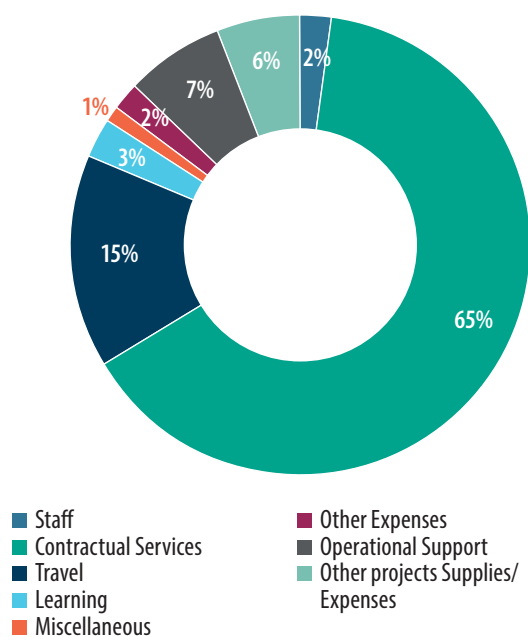
⁶³ Under DIM, UNDP is the implementing/executing partner and assumes accountability for the management of the project and delivery of outputs. In NIM, a national entity (excluding state-owned enterprises) is the implementing partner and assumes this accountability (UNDP Programme and Operations Policy Manual).

CHAPTER 2 FINDINGS



This chapter presents findings across the three evaluation questions. The analysis is presented according to the four country programme outcomes: social development; inclusive economic growth; governance and justice; and management of natural resources. The first two outcomes constitute the inclusive socio-economic development portfolio (per country office structure).

FIGURE 1. Breakdown of programme expenditure (by account code) 2017-2020



Source: IEO computation based on UNDP Corporate Planning System

UNDP-supported interventions are integrated in wider programmes led by the government and UNDP provided development services support to national institutions. In its analysis, the evaluation distinguishes between: a) UNDP-supported interventions focusing on implementation support, in which UNDP's role is limited; and b) interventions where UNDP made more substantive contributions in design and implementation. The distinction is along implementation modality; the former group consists of NIM projects while the latter were mostly DIM projects.⁶⁴ Note that the distinction is not always clear cut and some DIM projects also focused on implementation support. The analysis of total programme expenditure reveals that implementation support represented 65 percent of the overall country programme expenditure (Figure 1). In the sample of 45 projects that the evaluation reviewed, implementation support represented 70 percent of expenditure and is concentrated in the socio-economic development portfolio (specifically in SSC projects accounting for 52 percent of the portfolio's expenditure, Table 3).

TABLE 3. Country programme expenditure by nature of engagement, 2017-2020 (million US\$)

| Outcome | Implementation support (NIM projects) | Substantive support (DIM projects) | Grand total |
|--------------------------------|---------------------------------------|------------------------------------|--------------|
| Social development | 65.7 (98%) | 1.4 (2%) | 67.2 |
| Inclusive economic development | 13.6 (100%) | 0 | 13.4 |
| Governance | 3.8 (23%) | 12.9 (77%) | 16.7 |
| Natural resource management | 13.5 (33%) | 26.9 (67%) | 40.4 |
| Total | 96.6 (70%) | 41.2 (30%) | 137.8 |

⁶⁴ Under DIM, UNDP is the implementing/executing partner and assumes accountability for the management of the project and delivery of outputs. In NIM, a national entity (excluding state-owned enterprises) assumes this accountability (UNDP Programme and Operations Policy Manual).

2.1 Inclusive socio-economic development

Outcome (social development): Strengthened social development throughout the country, with poverty reduction through access to quality public goods and services, particularly in the areas of education, health, welfare, food and nutritional security, and decent work; equitably and with emphasis on gender, racial, ethnic and generational equality.

Outputs:

- Institutional capacities strengthened to formulate and implement sustainable policies and strategies to improve the population's access to health and promote wellbeing.
- Institutional capacities strengthened in order to promote access to rights and sustainable livelihoods, with special attention to vulnerable populations and traditional peoples.
- Institutional capacities strengthened to support the formulation, implementation, monitoring and evaluation of social policies, with participation and social control.
- South-south and triangular cooperation initiatives supported and oriented by the Brazilian Foreign Policy priorities.

Outcome (inclusive economic growth): Inclusive and environmentally sustainable economic growth, with productive diversification, industrial strengthening, resilient infrastructures, increased productivity and innovation, transparency, social participation and enhancement of micro and small enterprises.

Outputs:

- Inclusive business and market ecosystem strengthened through productive investments, information and implementation support.
- Studies, information and technological innovation increased to maximize financial inclusion and promote inclusive economic growth.
- Technical capacity strengthened to improve infrastructure and basic services to support Brazilian companies to reach underserved areas and foreign markets promoting an agile business environment and more sustainable economic growth.
- Multi-stakeholder partnerships intensified and expanded to support and promote inclusive and sustainable growth, through knowledge exchange and capacity-building activities.

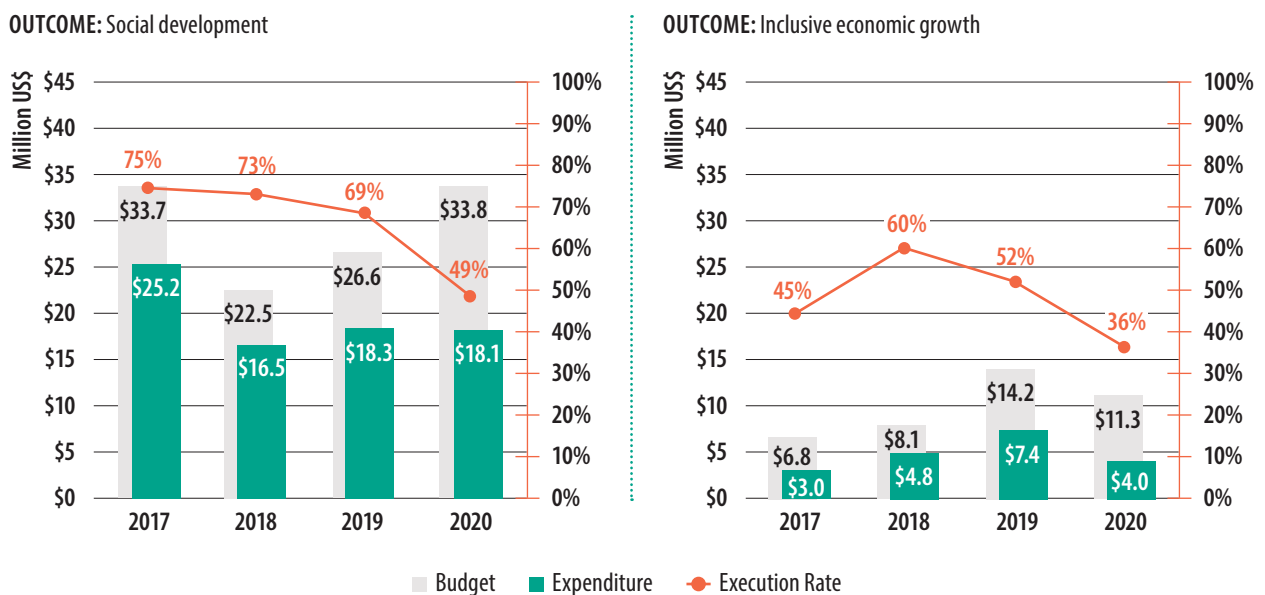
The portfolio comprised the largest area of work in the country programme, accounting for some 53 percent of total expenditure. While the social development pillar has been the largest in terms of expenditure (\$78.1 million, equivalent to 42 percent of the overall country programme expenditure, Table 2), the budget of the inclusive growth pillar has been increasing since 2019 (reaching \$40.4 million in December 2020). This follows the inauguration of the new government, which prioritized entrepreneurship, trade and the private sector as the main drivers of economic development.

As noted, UNDP-supported interventions in this portfolio provided implementation support (see Table 3). UNDP partnered with key ministries and public agencies, aiming to contribute to strengthened institutional and organizational capacities. The portfolio consisted of 74 projects, including 23 projects⁶⁵ focusing on SSC. The evaluation conducted an in-depth review of 24 projects. The portfolio's projects were mostly implemented at the federal level, but many addressed nationwide initiatives.

Finding 1. In the social sector, UNDP supported key ministries and public agencies to strengthen institutional and organizational capacities for improved access and quality of services. UNDP provided qualified technical support that often did not exist in the institutions.

In the area of health, one of the initiatives reviewed was the collaboration⁶⁶ with ANVISA (the National Health Regulatory Agency), aiming to strengthen the surveillance and monitoring of health products and services. This effort has become even more relevant with the onset of COVID-19. The regulations, technologies and real-time information systems that were developed to track health products and services are now being leveraged for COVID-19 vaccine surveillance. These outputs will speed up the authorization and licensing of new health products and services and transform ANVISA's pre-emptive surveillance capabilities. The wide partnership networks that were forged with laboratories, academic and research institutions, as well as the capacity development of ANVISA and the other institutions augers well for sustainability.

FIGURE 2. Evolution of expenditure and budget, inclusive socio-economic development portfolio, 2017-2020



⁶⁵ Includes Policy Centre for Inclusive Growth projects.

⁶⁶ It had an initial duration of 2010-2014 but was extended until 2020.

In another partnership, UNDP supported national efforts for the control and prevention of the spread of sexually transmitted infections, HIV/AIDS and viral Hepatitis. Under this project, civil society organizations and state and municipal health teams were trained in health management and HIV/AIDS prevention in three states (Rio Grande do Sul, Bahia and Amazonas). Access to HIV tests and treatment was also expanded for more than 15,000 people. Besides the engagement of civil society organizations, the strengthening of the links between the three levels of government, civil society and non-governmental organizations will contribute to its sustainability. Stakeholders of both these initiatives considered UNDP's contributions as highly effective.

UNDP also partnered with education institutions such as the National Institute for Education and Research on methods and concepts for assessing educational achievements in Brazil. This partnership was useful for developing new techniques, and managerial and operational methods aimed at expanding institutional capacities. It also helped with improved procedures for monitoring and administering the logistics process of national examinations.

Perception survey finding:

- 81% of respondents said UNDP's administrative and management capacities had been effective in supporting project implementation.
 - 84% of respondents reported that UNDP's technical capacities had been effective in project implementation.
-

According to most stakeholders interviewed by the evaluation team, UNDP's value added in the above partnerships stood out in relation to its agile, efficient and quality implementation support. UNDP was selected by implementing partners for its

reputation, capacity and systems. In many cases, supported public entities are already staffed by highly qualified professionals, and access to the right experts who can provide real added value is crucial. UNDP offered analysis of the pros and cons of every consultancy option.

Although UNDP sought to complement implementation support with technical content, often UNDP was not involved in the conception of these projects. Nevertheless, some of the stakeholders consulted by the evaluation affirmed and valued UNDP's technical inputs, particularly in the preparation of terms of reference. UNDP supports national programmes and it was difficult for the evaluation to attribute or even isolate the specific results to which it contributed.

Finding 2. The main partnerships for economic revitalization, infrastructure development, market mechanisms and competitiveness have been mostly successful in delivering intended outputs, which have the potential to contribute to a more favourable business environment and better services for the population.

At the national level, UNDP partnered with the Ministry of Economy and several public agencies⁶⁷ in the implementation of highly technical projects promoting the modernization and competitiveness of the economy. Through knowledge transfer and capacity-building activities, a substantial number of outputs were delivered. These included: revised policies and legislation on private investment in infrastructure (particularly in high social impact areas such as water and sanitation, transport, logistics and housing); improved communication of the National Treasury with the market and the public; development of a system to monitor the public debt; technical taxonomy standardizing public accounting at the national, state and municipal levels; improvements in transport and logistics planning; airport and railroad concessions with associated green bond issuance in the latter; business model and tools for public-private partnerships (PPPs) to increase

⁶⁷ These are: EPL (the federal planning and logistics company); CAIXA (a public-owned national bank); and TERRACAP (federal district's real estate company).

investment capacity in the real estate market of Brasília; and the introduction of a rural credit line as part of the services of CAIXA, a large national bank.⁶⁸

The collaboration with SEBRAE, the national service for small and medium enterprises (SMEs) which supported more than 12,000 SMEs at the bottom of the pyramid to become more competitive and inclusive, is one of the examples where UNDP supported downstream activities through strengthening upstream institutional capacities. Considering that SMEs account for 62 percent of total employment in Brazil and 50 percent of national value added,⁶⁹ this support was highly relevant from an economic and social perspective. UNDP facilitated personnel management and missions abroad to fill knowledge gaps. SEBRAE has been able to diffuse the acquired knowledge across its capillary network, and stakeholders noted the complementarity between UNDP support to knowledge-building and SEBRAE's capillary network.

UNDP collaboration with the regional Development Planning Agency of the Northeast region (SUDENE) resulted in the first ever development plan of the Northeast region. The plan, which was being discussed in Congress at the time of the evaluation data collection, is expected to improve the coherence, synergy and effectiveness of public and private investments in the region. The evaluation noted that the institutional development of SUDENE as a planning agency and broker of constitutional funds (for finance and guarantee in PPPs) was evident in its renewed legitimacy vis-à-vis the constituent states and the holistic regional perspective, as opposed to individual state planning. Likewise, UNDP supported the restructuring and capacity development of the state of Mato Grosso do Sul's Strategic Partnerships Office, which contributed to enhanced institutional capacity for the management of PPPs.

Similar to the interventions in the social sector, UNDP's operational support was crucial for facilitating the execution of these complex projects, dealing with highly technical interventions (e.g., PPPs, investment simulation models and public accounting taxonomy, etc.). UNDP was also recognized for its role in facilitating knowledge transfer through its global networks, as well as promoting mainstreaming of SDGs and gender concerns in development interventions. Other stakeholders perceived that UNDP had little or no technical inputs and follow up in the diffusion of results (*discussed further under section 2.8*).

2.2 Support to the 2030 Agenda and SDG localization and monitoring

Brazil played a leading role in the global negotiations that led to the 2030 Agenda. In 2016, a national SDG Commission with wide civil society representation was established to provide a multi-stakeholder institutional coordination mechanism for the implementation of the SDGs. The commission developed a two-year action plan to advance SDG mainstreaming. Mainstreaming, Acceleration and Policy Support (MAPS)⁷⁰ missions at national and sub-national level (Piauí state) were undertaken in 2018 to support the government in its implementation. In 2019, the new government dissolved the national SDG Commission.

Brazil submitted its first Voluntary National Review in 2017, and had aligned its previous multi-year strategic framework, PPA 2016-2019, with the SDGs.⁷¹ The current national PPA (2020-2023) does not integrate the SDGs, however regional development plans submitted to Congress shortly after the current PPA referred to the SDGs as a basis for planning.

⁶⁸ A public-owned national bank.

⁶⁹ OECD (2020) SME and Entrepreneurship Policy in Brazil in 2020.

⁷⁰ This was done jointly with IPEA and IBGE (MAPS is the UN common approach to support countries in SDG implementation at country level).

⁷¹ Voluntary National Review 2017 Brazil, <https://sustainabledevelopment.un.org/memberstates/brazil>

The country programme has been engaged in SDG mainstreaming and localization at sub-national level under UNDP's decentralized strategy. SDG mainstreaming initiatives were directly implemented by UNDP (DIM projects).

Finding 3. UNDP adopted a multi-stakeholder, territorial approach to promote ownership of SDG mainstreaming and localization initiatives. UNDP leveraged private sector partnerships, but overall the progress of these initiatives has been uneven, and the sensitization and engagement of regional, state and municipal government actors and civil society is a work in progress.

UNDP has been advocating with regional, state and municipal governments to align their planning tools to the SDGs. Efforts in this area were supported by private sector funding. Through sensitization, support for participatory planning, and partnerships, several platforms and databases for SDG analysis and monitoring were developed. The most successful of these initiatives is the *Oeste do Paraná 2030* web platform (www.oestepr2030.org.br), in partnership with *Itaipu Binacional* (a state-owned enterprise).⁷² This platform uses business intelligence tools to monitor the SDG indicators in the 54 municipalities of West Paraná state, using official administrative data. It is also linked to other databases, such as the UNDP-supported Human Development Atlas (see Box 1). The *Oeste do Paraná 2030* web platform and the overall project approach is considered as innovative by *Itaipu*, the main partner. It is becoming a national and international reference for SDG localization at sub-national level and is recognized on the UN Department of Economic and Social Affairs webpage as one of the good practices for SDG localization. The project's participatory approach, bringing on board public and private sector partners and civil society organizations is expected to have positive effects for ownership, replication and sustainability.

UNDP attempted to replicate a similar approach on two other projects⁷³ but faced internal and external challenges. These included ambitious coverage targets (110 municipalities initially, expanding to 116 in one of the projects) as well as an implementation strategy which did not sufficiently take into account the participation of government and civil society stakeholders (e.g., municipal secretaries of planning, agriculture, environment, etc; as well as municipal associations and consortia). Due to the COVID-19 pandemic, planned in-person training and workshops were redesigned as online courses, which did not have the same impact as in-person courses. While important for increasing coverage, stakeholders did not find online courses as equally motivating. But according to UNDP, these were more conducive to meeting the needs and expectations of a heterogenous audience (small, medium and large municipalities). Local elections in 2020 slowed down implementation, but the inauguration of new mayors in 2021 is an opportunity for UNDP to increase participation and speed up the implementation of the project. According to UNDP, targeted activities to strengthen civil society organization engagement will be conducted in 2021.

There is scope to strengthen sustainability aspects, as it was not clear how many municipalities were using the SDG diagnostic tools (Rapid Integrated Assessment). These were introduced, but their roll out was delayed due to municipal elections in 2020. In 2021, 5,570 municipalities will be preparing multi-year planning for 2022-2025 local development plans. This presents an opportunity to engage with local governments to integrate the 2030 Agenda in local plans.

⁷² The Sustainable Development in West Parana project.

⁷³ The Petrobras project, funded by the Brazilian Petroleum Corporation, and the Piauí project, funded by Contour Global and the Brazilian National Development Bank.

BOX 1. Human Development Atlas

Atlas presents the municipal HDI and more than 330 indicators covering health, education, income, employment, housing, social vulnerability, environment and political participation for all municipalities, macro regions, federation units, metropolitan regions and integrated development regions of the country.

By continuously improving the quality and scope of national, sub-national and local indicators related to the SDGs, Atlas has become the main reference for national and sub-national governments, academia, the private sector and civil society for the elaboration of new laws, policies and socio-economic analysis. The democratization of socio-economic data and information promoted by Atlas contributes to the strengthening of capacities, improvement of public administration and informed public participation, and helps to strengthen the social contract.

Atlas won several IT and government awards in 2014 and 2015.

www.atlasbrasil.org.br

UNDP's contribution to SDG localization and integration included joint advocacy initiatives with the UN country team and media organizations. The country team supported the government in the preparation of the first Voluntary National Review in 2017 and the above-mentioned MAPS missions.

Finding 4. UNDP's longstanding support to the Atlas of Human Development has enabled it to become a flagship research, monitoring and decision-making tool for public policies.

The Atlas of Human Development has become one of the country programme's flagship initiatives. First created in the mid-1990s, the database has been continuously updated to provide new data and analysis techniques. It has also enjoyed national ownership. Since 1998, Brazil's national human development reports have taken the form of Atlases that disaggregate the HDI by municipality, state, and in some cases neighbourhood, as well as by race and gender. Atlas has long since been recognized as an

important research and decision-making tool with regard to public policies, which is used by all walks of life. In 2013, UNDP launched the electronic Atlas platform in partnership with IPEA and the João Pinheiro Foundation. Its objective was to provide governments, educational and research institutions, civil society organizations and the public with access to socio-economic data to promote and support the achievement of the Millennium Development Goals (MDGs)/SDGs. Between 2013 and 2018, the Atlas website recorded over 23 million page views.⁷⁴ In 2020, UNDP, together with IPEA and the João Pinheiro Foundation, launched an updated Atlas platform with several innovations to strengthen interconnectivity with other government databases. One of the success factors of Atlas has been the partnerships forged since the beginning between UNDP and the Ministry of Planning, IPEA and the João Pinheiro Foundation. Continuous innovation is another. UNDP's leadership role is seen to promote public confidence in relation to data standards.

⁷⁴ UNDP: Progress Report, Atlas of Human Development Project, 2019.

2.3 Governance and justice for development

Outcome: A peaceful, fair and inclusive society promoted through social participation, transparency and democratic governance, respecting the secularity of the State and ensuring human rights for all.

Outputs:

- Innovative approach to security policies and programmes promoted through capacity development, knowledge building and dialogue, with participatory and multidisciplinary methodologies.
- Institutional and technical capacity developed to enhance transparency, accountability and innovative institutions at all levels, through social participation, effective management, information and coordination mechanisms.
- Access to Justice actions promoted, strengthening the justice system and promoting alternative dispute resolution mechanisms, fostering a culture of peaceful dispute resolution at all levels.
- Strengthening national and sub-national mechanisms and policies for the promotion of human rights, considering gender, race, ethnicity and generational inequalities, and excluded groups, regardless of their nationality.

As noted in the context section, Brazil's challenges regarding SDG 16 ('Promote just, peaceful and inclusive societies') are considerable, particularly with regard to police violence, human rights, race and gender inequality. UNDP partnered with justice, human rights and governance institutions to strengthen institutional frameworks and capacities to promote inclusive and accountable institutions, especially for vulnerable populations. Since 2019, space has opened for UNDP in this area; existing partnerships were expanded, while new ones were established. Between 2017 and 2020, the programme's budget increased from \$5 million to \$63 million, and delivery rates in the same period increased from 38 percent to 57 percent.

The programme components at output level are: a) public security; b) transparency and accountability; c) strengthening access to justice and alternative

dispute resolutions; and d) promotion of human rights, particularly of vulnerable groups. The key implementation strategies included policy advice, capacity development, innovation, knowledge transfer and development of partnerships.

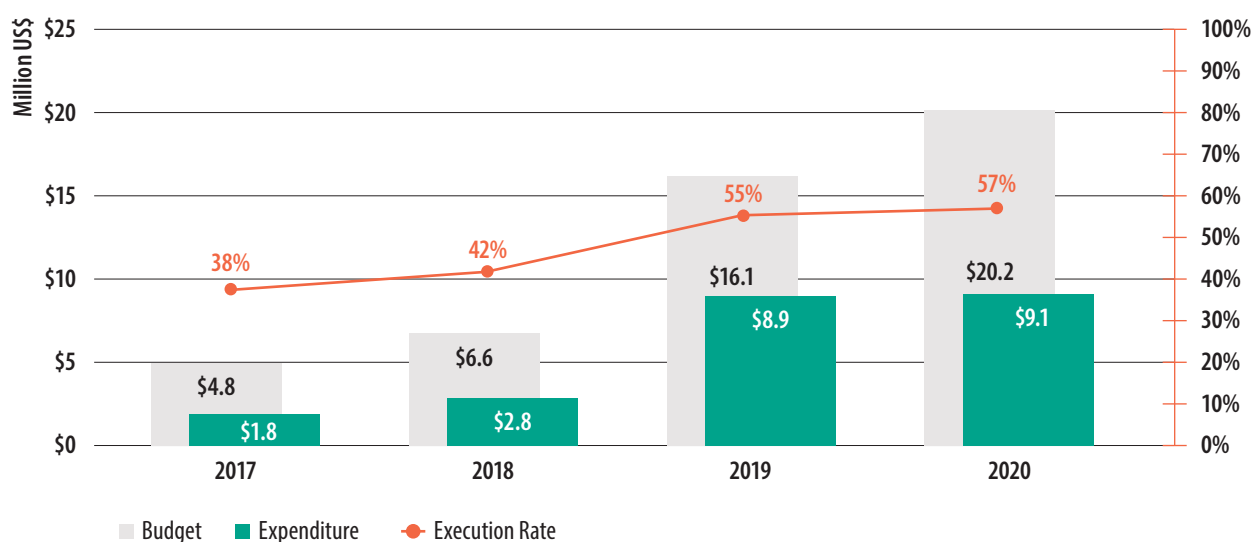
The portfolio supported 24 projects,⁷⁵ mostly NIM (the project with the National Council of Justice is the exception). The evaluation conducted an in-depth review of seven projects.

Finding 5. UNDP support to the justice sector contributed to national efforts to reform the prison management system and strengthened access to justice for people deprived of liberty. This was achieved through the introduction of innovation, new technology and capacity development of the judiciary.

⁷⁵ This number changed during the evaluation, as some projects were closed and new ones were approved.

FIGURE 3. Evolution of expenditure and budget, 2017-2020

OUTCOME: Governance and justice



The UNDP-supported *Justiça Presente* initiative of the National Council of Justice is considered a success by stakeholders. This is the largest expenditure area in this outcome (over \$12 million between 2018 and 2020), and aims to improve prison management and access to justice. With an occupancy rate of more than two people per vacancy and high rates of provisional inmates, prison conditions contradict human rights principles and reduce scope for the re-socialization of people deprived of liberty.⁷⁶ The creation and implementation of the Electronic Unified System represents a key component of an integrated prison management system. The system, which has standardized the management of criminal sentencing proceedings on a national scale is considered an innovative approach. It will allow judges and lawyers to track the beginning and end

of the sentence of anyone convicted in a court of law, and enables early detection of inmates who are eligible for release. The system has been introduced in 25 out of the 27 states and is in use in 29 state and regional courts. The digitization of court processes constitutes significant efficiency gains, with 99 percent of court cases digitized in states implementing the system. In collaboration with the United Nations Office on Drugs and Crime (UNODC), progress was made in consolidating and reinforcing custody hearings, an important step in improving human rights in the country, according to stakeholders. A custody hearing before a judge within 24 hours of detention is an important mechanism for protecting detainees against ill-treatment and reducing police excesses. Custody hearings are also facilitating the introduction of alternative sentencing

⁷⁶ Ferreira and Carvalho (2020) *A Superlotação Carcerária e a Lentidão Processual no Brasil* (Overcrowding and Slow Legal Procedures in Brazil), *Direito Processo Penal Journal*, 2020. p.1

measures throughout the country.⁷⁷ According to the National Council of Justice, UNDP's value added stands out in relation to its technical contributions, the introduction of new ideas and technology, and knowledge transfer. The mobilization of institutions and key partners in the states, as well as capacity development and training for judiciary personnel were fundamental for the achievement of results. This project was directly implemented by UNDP.

Finding 6. Despite limited space for UNDP in governance, UNDP established partnerships with national secretariats to support rights-based social protection services to vulnerable groups, but ongoing changes in government and ministries limited their scope and progress.

Among the sample of projects reviewed by the evaluation, the only project that progressed is the one with the National Secretariat for the Promotion of the Rights of Children and Adolescents. This aimed to roll out integrated solutions for the protection of the rights of children and adolescents, including young people in conflict with the law. With over 18 million children and adolescents (34 percent of the total) living in low-income households⁷⁸ and vulnerable to violence and child labour, the project's focus was on providing them with comprehensive support and protection, particularly those in conflict with the law. Renovation and construction of 16 of 23 planned socio-educational facilities was completed,

and state-level public managers who will oversee the implementation of social protection services in these facilities were trained on managerial and substantive areas. UNDP played a key role in advocating for a restorative approach rather than punitive measures with regard to children and adolescents in conflict with the law, and supporting the ministry to adapt the project's approach in line with international human rights standards.

Other planned interventions have not progressed as anticipated. For example, planned capacity development of the Secretariat for the Promotion of Racial Equality and the National Secretariat for the Promotion of the Rights of People with Disabilities did not materialize and were affected by restructuring of the Ministry of Women, Family and Human Rights, following changes in government.

Despite the expansion of the governance portfolio since the inauguration of the new government, which promised to address public security and crime, there is relatively limited space for UNDP's engagement in this sector. The evaluation of UNDP's development cooperation in middle-income countries noted that UNDP's governance portfolio was most at risk of shrinking because of potential political sensitivities and a dependence on government financing. This can lead to some areas that are important for SDG achievement being under-represented in programmatic portfolios.⁷⁹

⁷⁷ Alternative sentences such as community service, electronic monitoring devices to be worn by offenders, restorative justice.

⁷⁸ UNICEF (2018) *Pobreza Na Infância E Na Adolescência*. Brasília. p.5. UNICEF argues that the rights of about half (49.7 percent) of Brazil's 27 million children and adolescents are not met. According to UNICEF, 13.8 percent are in school but are illiterate or are behind, and 6.5 percent are out of school; 8.4 percent of all adolescents aged 14 to 17 years (almost 1.2 million) work more than 20 hours per week, above the limit set under Brazilian law.

⁷⁹ UNDP (2020) Evaluation of UNDP Development Cooperation in Middle-income Countries.

2.4 Sustainable management of natural resources

Outcome: Strengthened institutional capacity to promote public policies for the sustainable management of natural resources and ecosystem services, combating climate change and its adverse effects, and ensuring the consistency and implementation of these policies.

Outputs:

- Policies strengthened for the adoption, implementation and monitoring of mitigation and adaptation measures to climate change, mainstreaming and integrating national plans and international agreements.
- Policies strengthened to guarantee the effectiveness of eco-systemic services and biodiversity conservation, promoting sustainable land use, recovering degraded land and combating desertification.
- Partnerships with governmental institutions, private sector and civil society established to ensure sustainable consumption and production patterns, promoting energy efficiency, clean and renewable technologies, and environmentally sustainable practices.
- Strategies and technical capacities strengthened for making cities, communities and territories inclusive, integrated, safe, accessible, resilient and sustainable, with special attention to the needs of those in vulnerable situations.
- Capacities strengthened for the elaboration and implementation of policies and actions in disaster risk management, prevention and disaster preparedness, including climate change adaptation, through a multisector and integrated approach.

Through policy advice, capacity development and partnerships at federal, state and local community level, the UNDP programme aimed to contribute to ecosystems, biodiversity, natural resource management, land management and combating desertification. UNDP also intended to support climate change mitigation and adaptation, and the sustainable consumption and production of clean and renewable energy. It also intended to promote resilience building with special attention to vulnerable groups, and building national capacity in disaster risk management.

UNDP envisioned support to the Government of Brazil in the implementation of national environmental legislation, multilateral and international commitments, particularly those focused on biodiversity, desertification, chemicals, the Montreal Protocol and climate change.

It also aimed to support the government in the implementation of the regulatory framework and related policies at the different levels, which promote sustainable management of natural resources, effectiveness of ecosystem services, land use and land use change, recovery of degraded areas, as well as territorial and environmental management, by vulnerable groups (e.g. Indigenous, Quilombola and rural populations). This is in order to improve their resilience to climate change, to reduce land degradation and to guarantee their constitutional rights. Thus, there was a clear and ambitious social equity element to the portfolio.

While there are five expected outputs under the outcome, for the purpose of the evaluation they are clustered into three thematically coherent groups: a) climate change; b) biodiversity conservation, natural resource management and land use; and

c) management of chemicals. The planned budget for the period 2017-2021 was \$100 million, with \$93 million by December 2020. Annual expenditures between 2018 and 2020 dropped from 82 percent to 57 percent. The COVID-19 situation was a significant constraint to programme delivery.

The portfolio consisted of 36 projects, and the evaluation conducted an in-depth review of 14 of these. Project implementation followed a mix of NIM and DIM. The programme’s expenditure decreased from 2019 onwards (Figure 4).

2.4.1 Climate Change

Finding 7. UNDP has successfully partnered with the Government of Brazil and key sectors to promote energy efficiency and the adoption of renewable energy options, to reduce dependence on oil/gas and hydropower and to demonstrably reduce GHG emissions. These initiatives were built on

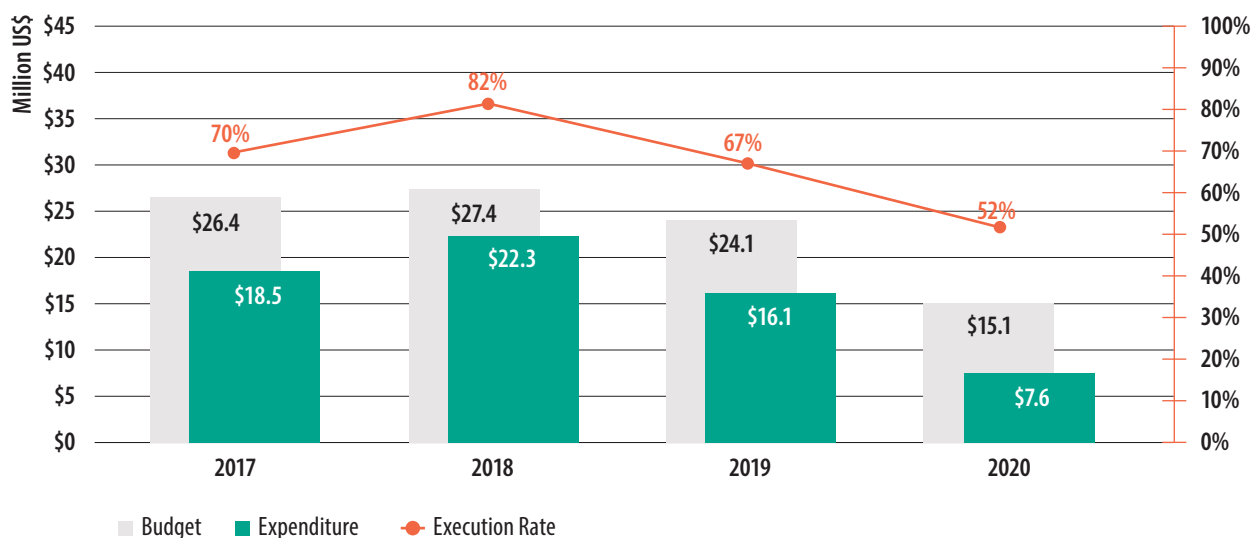
previous experiences and technical knowledge, and supported innovations that large-scale private sector operators could invest in and benefit from financially. However, uptake of these approaches and technologies by smaller operators has been hampered by poor economies of scale, lack of awareness and lack of interest from commercial lending institutions.

UNDP has been actively involved with mainstream energy efficiency and energy replacement initiatives, working with the government and private sector operators in the sugar industry, the iron and steel industry, and the building/chiller refrigeration sector. Some of these initiatives were started well before the current country programme and one is still in progress.

One of the most successful initiatives was UNDP’s support to the Brazilian Bio Renewables National Laboratory, part of the Brazilian Centre for Research in Energy and Materials (LNBR/CNPEM).⁸⁰

FIGURE 4. Evolution of expenditure and budget, 2017-2020

OUTCOME: Sustainable management of natural resources



⁸⁰ SUCRE was conceived and proposed to GEF by the Sugarcane Technology Centre (CTC) but soon after approval by GEF, the CTC became a for-profit institution, thus losing its eligibility to receive GEF funds. UNDP then sought another Brazilian institution qualified to carry out the project and invited the LNBR/CNPEM, which was selected to develop the project.

This involved further establishing a commercial market for a sugarcane-based electricity supply to the Brazilian grid in order to displace fossil-fuel electricity. It would also create new jobs.⁸¹ There was significant engagement and uptake by large sugar producers, and the original GHG emission reduction target was exceeded within the project timeframe.⁸²

One positive factor in the success of the project was the willingness of the sugar mills to share their data on the process, despite being competitors. Economic feasibility and increased revenue were demonstrated in all the participating sugar mills (in the state of Sao Paulo). Additional mills have expressed interest in participating in the project, which is an encouraging sign of scaling-up. However, the project's mid-term review indicated that further private sector investment, especially from small sugar producers, may be constrained by an unclear regulatory framework for selling biomass electricity to the grid. Other countries in South America have expressed interest in the Brazilian experience with electricity from sugarcane.

In the iron and steel sector, under a partnership with the Ministry of Environment, UNDP successfully promoted the use of renewable biomass⁸³ charcoal in the state of Minas Gerais. This resulted in an annual CO₂ reduction equivalent of 350,000 tons (20 times the project target)^{84 85} through six results-based payment contracts with companies. This is an example of a clear GHG emission reduction benefit from new technologies, but the economics for small- and medium-sized businesses, which produce most of the iron in Brazil, are challenging.⁸⁶

Discussions supported by this project contributed to the DN 227/2018, the first Minas Gerais norm focused on charcoal production.⁸⁷

UNDP supported energy efficiency in 20 buildings and established alliances with sector stakeholders. The project partner, the Inter-American Development Bank, established the energy efficiency guarantee mechanism which stimulated some investment but did not manage to scale up.⁸⁸

Finding 8. UNDP successfully supported an extensive partnership with various government ministries and other institutions to bring together all the required elements for the submission of Brazil's Fourth National Communication to the UNFCCC. This included extending coverage of the Brazilian Inventory of Anthropogenic GHGs, and associated institutional capacity building. However, uptake of climate change information from the Fourth National Communication process (how it can change the climate change management process) remains unclear.

UNDP assisted the Ministry of Science, Technology, Innovation and Communication (MCTIC) to prepare Brazil's Fourth National Communication to the UNFCCC, which was successfully submitted in December 2020. UNDP worked with the secretariats of several different ministries and other project partners to develop a National Adaptation Plan to monitor the progress of the mitigation actions, and to support data from other government initiatives (e.g., FREL/REDD, sub-national GHG emission inventories, etc.). A significant part of the initiative was increasing the level of institutional capacity in Brazil,

⁸¹ This was a natural evolution from long-standing actions using bagasse (mill cane waste) and it more fully exploited the waste products of the sugar industry (sugarcane outer leaves and tops). It was developed from previous GEF-supported initiatives in the sector (the last 15 years).

⁸² The initial four sugarcane processing partners have been generating and exporting to the grid 36 percent more than the project document target: 25,482 Gwh in 2017; a GHG emission reduction of 10.32 gtCO₂e, a highly satisfactory outcome. Twelve mills are now involved. Partner sugar mills in 2019 exported 1.14 TWh/year to the grid, avoiding the emission of 0.58 MtCO₂e (2.38 MtCO₂e during the five-year implementation period, compared with the emissions from a gas-powered plant). See: Terminal Evaluation, SUCRE project. 2020

⁸³ Mostly planted eucalyptus stands.

⁸⁴ UNDP Brazil: Results-oriented Annual Report 2020.

⁸⁵ UNDP Brazil: Results-oriented Annual Report 2020. The Kalin-furnace system promoted by this project (evident in two demonstrations) reduces over 46 percent of CO₂ equivalent per ton of charcoal produced.

⁸⁶ New burners are expensive.

⁸⁷ DN (Normative Resolution) 227/2018 establishes procedures to monitor and reduce atmospheric emissions of charcoal kilns from planted forests and to evaluate air quality in its surroundings.

⁸⁸ Energy Efficiency in Buildings project, which is part of the GEF-supported portfolio on energy efficiency.

through education, training and public awareness related to climate change.⁸⁹ However, the project's mid-term review noted that it is unclear how the preparation and distribution of knowledge products will lead to an increased level of institutional capacity in Brazil with regard to climate change management.

This raises an important question about target audiences and compelling messages – how behaviour (individual, household and business) can change as a result of information. Appropriate policies and inducements are needed at all levels to be effective. The mid-term review recommended that the design of the Fifth National Communication needs to be more explicit on the use and value of knowledge products, including developing a communication strategy and plan.⁹⁰ MCTIC has tried to maintain climate change responsibility,⁹¹ however it is unclear if the Ministries of Agriculture, Livestock, Food, and Mines and Energy will still be convergent with MCTIC on climate change management, given current government priorities. Energy efficiency, generating power from sugarcane and producing biomass-based charcoal are quite straightforward and not controversial, but any climate change actions that impose changes or constraints on land use are going to be tied up in financial and political debates.

2.4.2 Biodiversity conservation, natural resource management and land use

Finding 9. UNDP's programme has been highly relevant for advancing Brazil's national biodiversity conservation, natural resource management and land use agenda, as well as supporting

its compliance to international agreements. Interventions in this area provided important tests of policy and institutional effectiveness, while trying to engage end-users in actual land and biodiversity interventions in priority areas, and improve the livelihoods and incomes of marginalized communities. However, uncertainty remains about the scaling up and sustainability of these initiatives, mostly due to a shift of government commitment away from environmental conservation to pro-business interests.

The National Biodiversity Strategy and Action Plan of Brazil has informed the targets and directions of various initiatives supported by UNDP to help set priorities and maintain some coherence in the overall programme. Brazil is part of the BioFIN global initiative, which promotes financial solutions for biodiversity conservation,⁹² and this is ongoing. Brazil also recently ratified the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in 2020, which is a major achievement. Capacity building is ongoing.

Similarly, some significant policy level results were achieved with regard to the conservation of mangrove ecosystems, implemented by the Chico Mendes Institute for Biodiversity Conservation (ICMbio). A National Plan for Mangroves⁹³ was developed in 2015, while a trust fund was conceptualized and eventually taken up and broadened by the government to include coastal and marine conservation. The government launched the Blue Fund in 2017 with commitments of \$140 million by 2022. This has so far not had follow up.⁹⁴ The project also set up plans, policies and fisheries agreements in eight federal protected areas of Pará and Maranhão. The project further promoted the management of *uçá*

⁸⁹ This included preparation of a communication plan, MCTIC publications, the development of ten infographics, and the translation of IPCC reports into Portuguese.

⁹⁰ It was recommended in the mid-term review that the establishment of a network of low-cost data collection devices for the assessment of the human perception of climate variability be dropped from the Fourth National Communication. On the other hand, the mid-term review emphasized the need for better communication and use of knowledge products in the Fifth National Communication – UNDP Brazil agreed with the recommendation.

⁹¹ UNDP Brazil, Project Mid-term Review.

⁹² The BioFIN objective in Brazil is to periodically and systematically measure public expenditures on biodiversity, identify gaps and propose innovative financing mechanisms for the conservation and sustainable use of biodiversity. This has been complementing efforts undertaken by IPEA in advancing the Financial Resources Mobilization Strategy for Biodiversity.

⁹³ Updated and approved in 2019, <https://www.gov.br/icmbio/pt-br/assuntos/biodiversidade/pan/pan-manguezal>. Now a National Strategy for Participatory Monitoring of Mangroves.

⁹⁴ Note that the UN Ocean Conference website indicates that Brazil's first progress report is three years overdue.

crab (*Ucides cordatus*⁹⁵) fishery and fishers' livelihoods.⁹⁶ However, lack of funds and capacity constrained project outcomes.

Similar efforts to reduce deforestation in agriculture and promote sustainable soy production in the MATOPIBA⁹⁷ region had mixed results.⁹⁸ Progress was made in several areas (e.g., a partnership with the Brazilian Agricultural Research Corporation – EMBRAPA – to create a loan programme for farmers for transition to low carbon agriculture; and a comprehensive mapping of the major actors in the ecological restoration chain in the West of Bahia and Tocantins, which was produced in collaboration with Bioflora).⁹⁹ The project depended on the acceleration of environmental regulations of targeted farms, but these have been delayed.

These delays, and concern for the progress and sustainability of other natural resource management and biodiversity initiatives, started with the reversal of environmental policies and non-congressional changes in statutes (Executive Acts) that began in 2017-2018 (to help spur growth due to the recession at that time). They continued in 2019-2020 with the induction of the new government, which is pro-business. The specific reversals, which worked against the principles of almost all UNDP-supported natural resource management and biodiversity projects, included: allowance of mining and forestry in Amazonia; dismantling the country's

environmental agencies; undoing the environmental licensing system and deforestation control programmes; amnesty for illegal deforestation; conservation units being run by military personnel; taking forest management responsibilities away from the Environment Ministry (giving them to the Agriculture Ministry); expropriation of property within federal conservation units (allowing logging and tourism); and suspension of the ratification of indigenous lands.¹⁰⁰

The most successful initiatives supported by UNDP in the biodiversity/natural resource management theme have been those that focus mostly on traction with local communities or beneficiaries of the initiatives, and those expected to maintain sustainable land use practices with minimal government support or intervention. These include the Small Grants programme¹⁰¹ (implemented by the *Instituto Sociedade, População e Natureza* – ISPN, a Brazilian non-governmental organization) and the Dom Távora Loan Agreement (implemented by the Sergipe State Secretariat for Agriculture, Agrarian Development and Fishing). They had the advantage of providing financial support to sustainable activities without getting bogged down in new institutional structures and policies. They were also well-founded on the experiences of the Programme of Support for Agri-extractivism and to the Traditional Peoples and Communities (started in 2008).¹⁰²

⁹⁵ Mangrove crabs, also known in Portuguese as *carangejo uçá*.

⁹⁶ A national plan for the management of the *Ucides cordatus* fishery was developed. Some technology changes (in the basket for transportation of crabs) significantly reduced mortality (from 50 percent to 3 percent). The *Seguro Defeso*, a social security measure to pay fishers for not fishing during the reproductive period of specific species, such as uçá crab, was also revised.

⁹⁷ Maranhao, Tocantins, Piaui and Bahia.

⁹⁸ It is part of the Good Growth Partnership being implemented in Brazil, Liberia, Indonesia and Paraguay.

⁹⁹ UNDP Brazil (2019) Results-oriented Annual Report 2019.

¹⁰⁰ For the UNDP programme, these changes created challenges, with policy instability and implementation partners very uncertain about their work plans. Specific examples of reversals were noted in Mongabay (5 August 2020) and Nature (13 November 2018): Environmental Policy in Brazil.

¹⁰¹ The Small Grants programme 6 was evaluated recently, but there is a serious issue with lack of corroborative numerical evidence; the evaluator relied mostly on anecdotal information, and that was not properly documented.

¹⁰² BRA/08/12, Programme of Support for Agri-extractivism and to the Traditional Peoples and Communities. This lasted from 2008 to 2018/19 under the Ministry of Environment, with federal government funding. Among its good results was drawing up the PNGATI (Environmental and Territorial Management of Indigenous Lands), which is still active today. Under this project, UNDP supported the Ministry of Environment and relevant public agencies in consolidating efforts to strengthen sustainable production and environmental management of the agro-extractive sector, on which indigenous and traditional peoples and communities depend, to improve the living conditions of these populations. UNDP's support in a context of extreme poverty conditions, vulnerability and isolation of traditional peoples and communities was relevant for socio-economic inclusion and the recognition of their human rights as a social group. UNDP assisted the incorporation of SDG concepts and focused on sustainable development in the project, which introduced new economic concepts of agro-extractivism and agro-forestry. The implementation of the project was extended beyond its initially planned closure, and reportedly all the planned outputs were achieved. Especially important was the Minimum Price Guarantee programme for Socio-biodiversity Products policy. This policy guarantees a minimum price for 17 extractive products to ensure socio-economic benefits through price equalization for extractive producers and farmers who make up the production chains of socio-biodiversity.

At community level, UNDP contributed technical expertise in capacity building, productive inclusion of low-income populations, and overall project management. UNDP supported the execution of the Dom Távora IFAD loan project in the state of Sergipe. The project targeted family farmers in 15 municipalities in the state with a very low HDI, so that they may have the opportunity to receive financial and technical support to develop businesses in areas such as animal breeding, handicraft production and rural tourism. This initiative focused mostly on access to credit for the development of livelihoods and did not necessarily tie directly into natural resource management and biodiversity conservation. As of September 2019, over 4,000 families had benefitted from capacity building (about 10,000 people were trained) and project financing from Dom Távora, in handicrafts, poultry, sheep farming, aquaculture, and artisanal fishing.¹⁰³ The environmental sustainability aspects and associated safeguards with this programme remain unclear.

2.4.3 Management of Chemicals and Waste

Finding 10. UNDP support to the Government of Brazil in its efforts to meet commitments under international protocols and conventions related to harmful chemicals was partially successful, with documented phasing out of hydrochlorofluorocarbons (HCFCs) and related capacity building.

However, efforts to support the destruction of polychlorinated biphenyls (PCBs) were challenged by technical and operational complexities.

Brazil acceded to the Vienna Convention and the Montreal Protocol in 1990, and since then has phased out the consumption of CFCs and partially phased out HCFCs. As part of the global effort to address these ozone depleting substances (ODS), UNDP supported the Government of Brazil in the execution of the HCFC Phase-out Management Plan for Stages I and II. The projects contributed to the implementation of the Integrated ODS Management

System, by strengthening ODS identification and classification capacity of four ODS regeneration and storage centres and the adaptation of an incinerator for final disposal. Up to 2020, these initiatives built capacity and certified 346 companies, and phased out the consumption of 238 ozone depleting potential tonnes of HCFC-141b in the foam sector. Support to the polyurethane foam sector resulted in conversion to ODS-free technologies in 53 national SMEs, as well as phasing out the consumption of 100 ozone depleting potential tonnes. However, the conversion process introduced by the project had a high cost. Companies from southern Brazil had difficulty adhering to the project (contaminated equipment that had to be replaced was not being maintained or repaired). For the refrigeration and air conditioning sector, 270 companies were supported to eliminate ODS;¹⁰⁴ 4,800 technicians from the commercial refrigeration sector were also trained.¹⁰⁵ These ODS initiatives seem to have been effectively implemented to phase out CFCs and HCFCs in Brazil, as expected.

As a signatory to the Stockholm Convention, Brazil's goal for PCBs is to attain sustainable PCB management and strengthen the regulatory and institutional arrangements for control and progressive elimination of this class of substance, in accordance with requirements of the Stockholm Convention, with the complete elimination or destruction of PCBs by 2028 or earlier. UNDP supported the Establishment of PCB Management and Disposal Programme, which focused on developing the capacity to manage and dispose of PCB oils and develop equipment to contain PCB and other PCB residues in a sustainable manner. An agreement was established with the Environmental Company of the State of Sao Paulo to strengthen national capacity for PCB management. Some 180 technicians from the government and the private sector were trained on PCB management systems. Stakeholder awareness also increased, especially in the power sector. This included demonstration projects for decontamination of

¹⁰³ Tripartite meeting minutes, 26 September 2019.

¹⁰⁴ Results-oriented Annual Report 2017.

¹⁰⁵ Ministry of Environment, Brazilian HCFC Phase-out Management Plan (HPMP) Stages 1 and 2 Progress Report 2017/2018.

contaminated sites and equipment, but these were significantly delayed. A Phase 2 project to ensure PCB destruction was approved in 2019. An environmentally sustainable market approach has been suggested, working with the Institute of Environment and Renewable Natural Resources.

2.5 Gender equality and women's empowerment

Finding 11. UNDP's advocacy for the integration of gender concerns in all aspects of interventions was highlighted by most stakeholders as an area in which UNDP added value. In general, gender equality concerns were better integrated in downstream activities within the environment portfolio. Other areas of the programme that focused on macroeconomic issues, infrastructure engineering, logistics and transport were perceived to be less gender-friendly.

The evaluation identified gender mainstreaming actions in only half of the sampled projects. This is understandable given UNDP was not involved at the programme design stage in many of the interventions, especially those following NIM. Most of the identified gender actions were gender targeted. For example, UNDP-supported habitat conservation and sustainable land use interventions aimed to increase the role of women (and disadvantaged or marginalized communities) through gender-focused actions, including gender assessment, gender action plans and monitoring indicators, with support from the UNDP gender focal point and key project actors. Similarly, the initiatives supporting agri-extractivism have an advanced gender focus, with strong female leadership. For example, in 2020 UNDP implemented several recommendations of the gender analysis of five environmental projects (*Siderurgia Sustentável*, *Semiárido Nordeste Sergipe*, *Bem Diverso*, *PPP-Ecos*, *Mangues*). The analysis was commissioned to understand the degree of gender mainstreaming and obstacles for women's empowerment. The results highlighted the importance of involving women in activities such as: exchanges of experiences

between women's groups; innovations that affect women's daily routines; and some methodologies that discuss gender roles in agro-extractive activities, as well as discussions on income generation from biodiversity products.

Several other initiatives generated gender-sensitive analysis and recommendations to promote women's political, social and economic empowerment. With regard to women's political participation, the national report, *Brasil: Onde está o compromisso com as mulheres?* (Brazil: Where is the commitment to women?), produced jointly with UN Women presented a robust analysis of the country's electoral system and recommendations, which led to wide media coverage highlighting the importance of increasing women's political participation. The Resilient Women initiative, implemented as part of the SDG localization initiatives in Piauí state, also produced recommendations and policy options to promote and accelerate women's economic and social empowerment.

There were some examples of gender responsive initiatives. For example, the installation of more efficient ecological stoves enabled women to avoid a four-hour walk transporting a 20-kg load of firewood three times per week under the sun. The improved time management enabled women to take better care of their subsistence agriculture initiatives and nutrition. It also improved women's breathing quality. Although the foam sector comprises mainly men, 53 companies led by women, or with women as business partners, benefited from the initiatives. In response to COVID-19, the Dom Távora project helped women transition to making fabric masks and selling them to state institutions.¹⁰⁶

The COVID-19 pandemic disproportionately affected women in Brazil (in terms of the economy, workload and safety concerns). In Sergipe, female-owned craft enterprises were especially hard hit. Thanks to the advocacy of UNDP's gender focal person, several of the interviewed stakeholders said they had conducted or were planning to conduct

¹⁰⁶ There was a similar initiative in Piauí State.

gender analyses or evaluations, including in sectors perceived to be less gender-friendly, such as the National Treasury project which undertook an internal gender analysis as part of an institutional strengthening strategy.

Internally, the UNDP office has started drafting a gender strategy as part of the application process for the corporate gender seal, but this has not yet been finalized. The office has a gender imbalance, with a gender distribution of 66 percent female and 34 percent male, considering all contract types. The distribution is the same with regard to staff positions (62 female and 38 percent male).

2.6 South-south cooperation for development

SSC has been an important policy instrument for the Brazilian Government. Brazil sees itself as a partner for development and emphasizes horizontal cooperation that is demand-driven and jointly designed. International agencies such as UNDP have played an important role supporting the government's SSC, which brings together the government, bilateral/multilateral agencies and southern countries for knowledge transfer.

Finding 12. UNDP continued to facilitate Brazilian technical cooperation, partnerships and knowledge transfer. In the process, UNDP enabled access to policy and technical knowledge under its mandate, but there is scope to meet the demand for knowledge products and greater access to UNDP's global network.

The national institutional framework for SSC is quite specific. According to ABC, SSC is demand-driven by design and relies on the engagement of Brazilian institutions and public officers, with expertise being sought. This expertise is captured and transferred to other countries through SSC projects. It leaves a small role for UNDP, as the content of SSC (know-how, capacity, technology, etc.) to be transferred comes from Brazilian institutions. Furthermore, countries channel their requests for cooperation through Brazilian embassies abroad

(although in some cases UNDP country offices can receive and transmit requests through the UNDP Brazil country office). On the other hand, as Brazil has no specific legislative framework for development cooperation, and current SSC initiatives are led by the ABC/Ministry of Foreign Affairs staff who are diplomats rather than development specialists, there is a reliance on external agents to make SSC operational. The main role of UNDP has been facilitating the operations of Brazil's technical cooperation and providing support in the recruitment of experts, as well as in developing guidelines, technical standards and instruments for managing SSC interventions. UNDP supported ABC in the implementation of nine projects focused on SSC in the current country programme period, covering areas such as education, health, agriculture and agribusiness, and vocational training.

The International Policy Centre for Inclusive Growth (IPC-IG) in Brasilia, which is managed by UNDP (see Box 2) is an important component of the country office's SSC work. The IPC undertakes analysis of inclusive growth and poverty reduction policies and programmes and its knowledge products promote SSC exchanges and capacity building.

According to stakeholders, UNDP is a partner that provides agile support and information, demonstrating comparative advantage. UNDP's role as enabler and facilitator of Brazilian SSC responds to counterpart needs.

UNDP also provided access to its global network of offices and knowledge (although sporadically rather than systematically), as well as some level of technical contribution, which may not be as specialized as some other agencies' inputs. However, this was not seen as a limitation as the technical know-how is expected from Brazilian institutions.

The evaluation noted variability in the degree of UNDP support to Brazilian partners regarding access to resources from its global knowledge network. Some stakeholders reported their institutions benefitted from UNDP's international contacts to gain access to best practices from other countries.

BOX 2. International Policy Centre for Inclusive Growth

IPC-IG was created as a partnership between UNDP and the Government of Brazil in 2002 to promote the exchange of experiences, knowledge and technical and institutional capacities for the design, formulation and evaluation of development policies that contribute to inclusive growth, poverty and inequality reduction, and human development. It develops and provides country- and context-specific solutions together with policymakers and experts in five main areas: social protection; technological innovation; inclusive growth; sustainable development and poverty reduction strategies. It delivers activities around three pillars: knowledge production, knowledge sharing and capacity strengthening. Since 2013, the Resident Representative of the UNDP Brazil country office has acted as the IPC-IG Director. The Centre is hosted in IPEA, a think tank under the Ministry of Economy and the focal point of the Brazilian Government at the IPC-IG.

Source: <https://www.ipcig.org/>

Other stakeholders expected UNDP could have brought more knowledge about best practices and experiences to the country. On the other hand, while UNDP provided access to its global network of offices and knowledge, it was not systematic and stakeholders noted that access to UNDP's global knowledge and experiences from different country offices and global and regional centres should be strengthened.

2.7 Private sector partnerships for the SDGs

The 2030 Agenda recognizes the crucial role of the private sector in driving productivity, inclusive economic growth and job creation, and calls on businesses ranging from micro-enterprises to multi-national corporations to help solve sustainable development challenges. Brazil has a vibrant private sector¹⁰⁷ which is not well integrated in the international arena, and is interested in integrating the SDGs. In line with UNDP's Corporate Private Sector Strategy (2018-2021), UNDP Brazil sought to promote the SDGs as a driver of business strategies.

Finding 13. UNDP's engagement with the private sector and banks is emerging. The country office has set the basis for structured engagement through the articulation of a well-defined strategy that has the potential to advance private sector partnerships for the SDGs.

The CPD made only general references to the private sector, with no plan as to a strategic approach. This was rectified in 2019 with the articulation of a comprehensive private sector strategy that sets out the priorities and potential entry points and partners. Along with the resource mobilization strategy that highlighted private sector partnerships, it represented a strategic approach to advancing private sector partnerships and to diversifying funding sources.

UNDP partnered with private sector entities, including large corporations, state-owned enterprises,¹⁰⁸ SMEs, foundations and banks in the areas of SDG localization and productivity. The evaluation identified a small number of partnerships, of which the collaboration with Petrobras for SDG localization in 116 municipalities is the largest. The private sector portfolio is still small-scale, totalling 5 percent of overall programme expenditure in 2017-2020 (it is 20 percent according to the country office's computation).¹⁰⁹

¹⁰⁷ The private sector is responsible for 84 percent of investment in Brazil; the public sector for 11 percent, and state-owned enterprises for 5 percent, <https://arte.folha.uol.com.br/mercado/2020/entenda-como-e-feito-o-pib/>.

¹⁰⁸ Such as Petrobras, Itaipu. Although state-owned enterprises are public companies, where the State is the main shareholder, they follow private sector legislation.

¹⁰⁹ IEO computation based on UNDP Corporate Planning System data, February 2021. The difference between IEO and the country office's calculations is explained by the fact that IEO excluded certain categories of funding sources from the private sector classification, while the country office included these.

Through support to the Global Compact¹¹⁰ and the SDG Philanthropy Platform, UNDP has been contributing to raising awareness of the private sector role in SDG implementation. UNDP acted as secretariat to the Global Compact and provided effective administrative and technical support from 2011 to 2020, when the project closed. With a membership of over 1,000 companies, the Global Compact-Brazil has become a reference source for the SDGs. Through advocacy, campaigns, training and development of guidance and tools, it has been helping companies align business practices with the SDGs. The Global Compact-Brazil has especially benefitted from the UNDP brand and partnership, which helped it build trust with stakeholders. As for UNDP, it was able to access the Global Compact's network of companies. Existing private sector partnerships materialized through this networking.

The SDG Philanthropy Platform (led by Rockefeller Advisors and now by Wings)¹¹¹ produced and launched the SDGs and Philanthropy report, which mapped the private social investment ecosystem in Brazil. This report will contribute to aligning efforts and resources to fill the public investment gap and leverage private funds.¹¹²

2.8 COVID-19 response and recovery support

As noted in the context section, the COVID-19 pandemic is continuing to have a devastating impact on Brazil, and is intensified by the country's high levels of income inequality. Brazil was already contending with slow economic growth resulting from the recession of 2014-2016, however the government's implementation of strong fiscal and monetary

policies to support COVID-19 recovery prevented a sharper economic contraction in 2020. Specifically, temporary emergency benefits were provided to informal, self-employed and unemployed workers, in addition to the expansion of unemployment benefits and the conditional cash transfer programme (*Bolsa Família*). Financial support was provided to SMEs and additional credit lines were created by the Central Bank. Direct spending on health and federal transfers to states and municipalities increased by about 2 percent of Gross Domestic Product.¹¹³ The World Bank predicts a slightly higher growth rate (2.2 percent) in 2021,¹¹⁴ but the expanded spending on COVID-19 responses raises concerns over debt sustainability in the medium and long term.¹¹⁵ On the other hand, the Federal Government's management of the pandemic has been criticized and has led to tension and lack of coordination, with different approaches being implemented at the federal and state level.

Finding 14. UNDP's COVID-19 support under the immediate response phase consisted of various initiatives across a wide range of thematic areas. Due to funding arrangements, supported initiatives were determined by ongoing activities and existing funding partnerships.

The UNDP Brazil COVID-19 response offer is set within the overall framework of the corporate strategy, which initially had three priorities (the June 2020 update reflected four priority areas).¹¹⁶ It is also aligned with the United Nations Framework for the Socio-economic Response and Recovery (SERP) to COVID-19 in Brazil. The country office developed a proposal to lead the socio-economic response and, in consultation with counterparts, re-purposed existing projects to respond to

¹¹⁰ The Global Compact is the 'arm' of the UN's systematic relationship with the private sector. It promotes private sector commitments to responsible business practices.

¹¹¹ This brings together foundations, companies and business networks, and provides information on partner engagement, real-time data, and events and solutions that funders and others are supporting on the SDGs.

¹¹² The review of the SDG Philanthropy project is based on a desk review and interviews with UNDP staff. Interviews with other stakeholders did not materialize.

¹¹³ OECD (2020) Economic Forecast Summary (December 2020), <http://www.oecd.org/economy/brazil-economic-snapshot/>; The World Bank (2020) COVID-19 in Brazil: Impact and policy responses.

¹¹⁴ The World Bank (2020) COVID-19 in Brazil: Impact and policy responses.

¹¹⁵ United Nations Brazil (2020) UN Framework to the Socio-Economic Response and Recovery to COVID-19 (SERP) (April).

¹¹⁶ UNDP (2020) COVID-19 Integrated Response (March). In June, UNDP released the phase two response plan, *Beyond Recovery: Toward 2030*. UNDP's response is aligned with the UN Response Plan in Brazil, the Framework for Socio-economic Response and Recovery to COVID (UN-SERP).

COVID-19. The office also received new funding (from the private sector) to support the economic recovery plan of the Ministry of Regional Development. Internally, the UNDP office moved quickly to adjust its procedures in response to the pandemic and the office transitioned to working remotely using corporate digital tools for business continuity.

UNDP's response encompassed a wide range of activities in the areas of governance, social protection, green economy, digital disruption, and innovation and health system support. UNDP supported the development of a set of recommendations by the National Council of Justice that resulted in the release of 32,500 vulnerable (to COVID-19) people from prison,¹¹⁷ as well as the sensitization of 400 judges/justice staff across the country on prevention and protection measures by the justice system. This was in collaboration with the UN Pan American Health Organization/World Health Organization, UNODC and the Office of the High Commissioner for Human Rights. Containing the spread of COVID-19 in prisons is a priority, given the overcrowded prison conditions.

In the health sector, UNDP supported ANVISA, the Ministry of Health, the National School of Public Administration and sub-national governments to develop a proposal to quickly leverage new technologies, procure medical supplies and conduct studies on the impact, risks and surveillance of COVID-19. UNDP also facilitated the delivery of personal protective equipment and other equipment to Haiti's health ministry (in partnership with the UN Office for Project Services, Haiti),¹¹⁸ as well as technical support to the health ministry of São Tomé and Príncipe (under ongoing SSC mechanisms).

UNDP promoted the harnessing of digital technologies to respond to and cope with the impact of COVID-19, in partnership with the National

Laboratory of Scientific Computing, Fiocruz, and the Brazilian Physical Research Committee. UNDP supported the COVID-19 hackathon, which mobilized a large group of scientists and researchers to develop technological innovations. The solutions and ideas that were proposed (numbering 82) were presented to partners, including the private sector, but the extent of uptake could not be established by the evaluation. UNDP is also working with the National School of Public Administration on an initiative called the 'Challenge Platform' which aims to mobilize short-term ideas and solutions from the public to address COVID-19 impacts. Information technology played a role in the continuity of project implementation. In areas where internet access was unstable, UNDP provided technical assistance to small family farmers, using WhatsApp to remotely support farm management, inspect equipment and deliver recorded video training to women engaged in poultry farming (this was under the *Dom Távora* project in Sergipe state).

IPC-IG/UNDP created the task force, Social Protection Responses to COVID-19. The taskforce maps and shares knowledge on social protection measures with a focus on how countries around the globe are responding to the crisis. The initiative produced an online community,¹¹⁹ a series of 32 webinars¹²⁰ and 23 weekly newsletters.¹²¹

In the area of advocacy and capacity building, UNDP, in collaboration with other UN agencies, supported the Ministry of Citizenship to train home visitors on remote childcare and stimulation under the early childhood education programme, *Criança Feliz*. Together with the International Labour Organization and the National Council of Justice, UNDP supported studies and advocacy on labour/income generation for people deprived of liberty and their families, in the context of COVID-19 recovery initiatives.

¹¹⁷ National Council of Justice Recommendation 62/2020; and <https://www.undp.org/content/undp/en/home/blog/2020/support-for-prisoners-during-a-pandemic.html>

¹¹⁸ 70,000 N95 masks, 415 goggles, 300 face shields, 13,000 gloves and 600 infrared thermometers (UNDP Brazil, COVID-19 mini Results-oriented Annual Report).

¹¹⁹ <https://socialprotection.org/connect/communities/social-protection-responses-covid-19-task-force/1-how-can-i-support-covid-19>

¹²⁰ <https://socialprotection.org/connect/communities/social-protection-responses-covid-19-task-force/2-webinar-series-social>

¹²¹ <https://socialprotection.org/connect/communities/social-protection-responses-covid-19-task-force/4-newsletter-social-protection>

The above are examples of UNDP’s response activities, many of which presented opportunities for strengthening UN collaboration, with initiatives being undertaken in partnership with other UN agencies. UNDP was able to build on the existing inter-agency project and non-project agreements that were established before COVID-19 with different UN agencies such as the Food and Agriculture Organization, UNAIDS, the United Nations Population Fund, UNICEF, UNODC, the United Nations Office for Project Services and UN Women. Similarly, UNDP supported a consultative approach and promoted multi-sector stakeholder engagement with business and civil society partners to generate solutions for socio-economic recovery and promote cross-sectoral collaboration. The Global Compact developed the COVID Radar, which is a collective of more than 40 companies sharing data to manage the challenges of COVID-19 in Brazil. The initiative links those in need with those who can help, registering health system needs and support for the vulnerable while companies provide resources. It also provides real-time information to monitor the progress of the pandemic across regions, cities and neighbourhoods.

The above examples reveal that UNDP’s response activities covered a wide spread of thematic areas, which was driven by the availability of re-programmable funding. Overall, there is a narrow space for UNDP to engage in the pandemic’s immediate response given funding arrangements, national technical cooperation guidelines which limit its role, and the division of labour between UN agencies. UNDP will be able to create space for wider engagement in the recovery phase (an example is the recent partnership with the Ministry of Regional Development noted above). The current UNDP response could have been more systematic and based on an action plan, linking the operationalization of the response activities with commitments under the SERP. This could facilitate accurate estimates of expenditure on COVID-19, which the evaluation could not determine, as the country office was using the corporate COVID-19 marker to track budget and expenditure. This produced inaccurate expenditure estimates, as the marker was

applied to the entire output result which includes both COVID-19 and non-COVID-19 activities. UNDP will need to focus more on the quality of response over quantity, the latter being the focus of corporate reporting.

2.9 UNDP’s strategic positioning and other factors in programme performance

Finding 15. UNDP operated in its area of comparative advantage, which emerged as implementation support. Through such engagements, UNDP sought to optimize space for technical contributions. Overall, there is scope to balance implementation support with technical content.

Perception survey findings:

- 84% of respondents reported that implementation support constituted the key support required from UNDP.
 - 86% of respondents said UNDP met this expectation.
-

UNDP has been supporting the Brazilian Government in the implementation of national programmes since the 1990s, and as a result has carved out a niche as a partner for institutional effectiveness. UNDP’s support to ministries and public agencies in project implementation addresses institutional bottlenecks in Brazil related to the recruitment of short-term technical assistance. Implementation support represented 65 percent of country programme expenditure (Figure 1).

Being government-financed, the UNDP programme reflects government ownership and UNDP’s responsiveness. Most stakeholders commended UNDP for its excellent administrative and management support. Some stakeholders also valued UNDP’s technical contributions, particularly in the areas of comparative advantage, such as justice, SDG

localization and gender mainstreaming. UNDP advocated with national implementing partners to integrate gender, racial, social, economic and other dimensions (Leave No One Behind) in project and non-project activities. But stakeholders also reflected that the heavy focus on administrative aspects, at times with little attention to the technical content of the interventions or follow up to help validate or disseminate results, was a limitation. UNDP staff countered that most projects with ministries and other public agencies were implemented as NIM. Under NIM, UNDP's role in project design, implementation and quality assurance is limited, unless it is asked to play a greater role. From the evaluation's perspective, however, both sides could have strengthened communication and been more explicit on expectations.

Notwithstanding NIM and DIM distinctions, stakeholders' reflections on a strengthened UNDP technical role are valid. The need for balanced operational and technical support in government-financed programmes has been raised in other IEO evaluations, including the previous independent evaluation of UNDP Brazil (2011).¹²² The concerns raised are multi-dimensional, ranging from UNDP's reduced policy dialogue space to potential loss of neutrality.

Perception survey findings:

- 95% of respondents said they understood the differences between UNDP and their institution's role in NIM projects.
- 86% of respondents said they understood the differences between UNDP and their institution's role in DIM projects.

From an evaluability perspective, UNDP is involved in a vast range of activities and it was difficult for the evaluation to aggregate results in a systematic

framework. The technical areas supported by UNDP have continued to expand and include social policy, health, education, social protection, infrastructure, transport, PPPs, and economic and financial studies. Although objectives of the projects were well-defined and clear, at higher level UNDP's programming required a more integrated strategy. The list of projects supported by the country programme (totalling 162 in February 2021) illustrated the extent of the challenge. Furthermore, the standardized corporate results-based management and reporting practices do not enable the country office to reflect its work accurately.¹²³ Different frameworks are required in programming contexts such as Brazil, not only for results-based management but for evaluations as well.

UNDP project reports are consistently good at documenting capacity building activities and the number and type of participants. However, linking improved capacity or new skills to improved institutional performance, livelihood improvements or better business viability, habitat protection, etc., is unclear. The emphasis has been on delivering training and capacity building, which is easily expressed in numbers, but evidence of linked outcomes of such activities is hard to measure. This view of performance as 'delivery' rather than 'changes in institutional performance or individual capacities' is a common issue in UNDP programmes beyond Brazil.

Finding 16. UNDP's growing presence at sub-national level to support local development reflects a key dimension of its continued relevance in Brazil, as well as an evolving area of comparative advantage, however it needs more resources to be fully leveraged.

Support to sub-national development is relevant to address geographic disparities and support capacity building at the local level, especially in the context of a very large and decentralized country such as

¹²² Other evaluations include: Evaluation of UNDP Support to Middle-income Countries (2020) and Evaluation of the Strategic Plan, Global and Regional programmes (2017).

¹²³ The indicators formulated in the CPD (18 outcome indicators and 28 output indicators) do not show the direct contributions of UNDP.

Brazil. UNDP has expanded cooperation at the local level with three offices (in Bahia, Piauí and Pará states in the Northeast and Northern regions), as well as project activities in several more states. These state offices have played an important role in piloting SDG platforms, tools and methodologies, including MAPS, International Futures and other innovations.

UNDP's decentralized cooperation strategy played an important role in the country programme, serving as a platform to engage the private sector in socio-economic development at the local level. It is characterized by a close relationship with local governments and the ability to identify their local needs, using integrated, multi-dimensional diagnostic tools. Sub-national projects were also closer to civil society, providing more space for participation and potentially reaching those left behind (e.g., small scale farmers). UNDP engagement at sub-national level, mainly in the areas of SDG localization initiatives (reaching 218 municipalities by 2019) and environmental management by vulnerable groups involved a range of partners, including state and municipal governments so that a broader range of development approaches were involved.

Funding availability for decentralized cooperation, which was often a mix of local government and mainly private sector funding, has been limited due to lengthy approval processes at the central level. UNDP is shifting its approach to work more with regional interstate consortia.

At sub-national level there is greater space to engage civil society, end-users and beneficiaries, whether to implement new initiatives, facilitate scaling-up or monitor progress, especially in SDG localization and GEF projects. Some of the successful projects in the country programme reserved space for civil society, which enhanced project results. However,

in general, different mechanisms for engagement have had different results. UNDP missed opportunities to strengthen engagement with civil society organizations. Brazil has a vibrant and dynamic civil society that has played a major role in achieving the country's progress. The previous independent evaluation of UNDP Brazil highlighted how strategies that focused on organizing and liaising with local governments and civil society were successful in localizing the MDGs at municipal level.

Finding 17. The UNDP programme was challenged by a lack of timely performance reviews of complex projects, effective management of risk, and implementing adaptive management. Internal and external factors undermined progress and delivery rates.

The CPD had identified risks related to currency fluctuations, fiscal deficits, high inflation and decreasing oil prices, as well as political shifts following municipal elections in 2016 and state government and presidential elections in 2018. These resulted in changes in policy priorities of sub-national and national governments. Some of these risks have materialized.

An uneasy political transition (between 2016 and 2019) caused a degree of institutional instability and affected programme implementation. The COVID-19 shock was an additional burden. As a result, the programme moved slowly. But there were also internal challenges. The evaluation's review noted ambitious project designs. In the case of the environment portfolio, inappropriate performance indicators and logistical challenges in field monitoring in such a large country made it difficult to manage projects.¹²⁴ Many projects¹²⁵ started slowly and were implemented over long periods, creating extra management costs and exposing them to risks that may not have been anticipated at the beginning

¹²⁴ There were also issues that only reflected the GEF process, for example, CI wanted to change some performance indicators in the soy project, but it was pointed out that this could only be done after a mid-term review, by which time it may be too late to make course corrections. There was similar resistance, blamed on GEF procedures, with the biomass charcoal project. The 4NC project did not have targets or indicators at all at the ProDoc phase. The mid-term review noted that an inception workshop could have resolved these issues.

¹²⁵ The ANVISA project, the support to traditional communities project, the vocational training project in Haiti and the mangrove management project are examples of projects that had slow starts and were implemented over long periods.

of the project (such as currency fluctuations, change in government and abrupt reversal of some environmental policies).¹²⁶

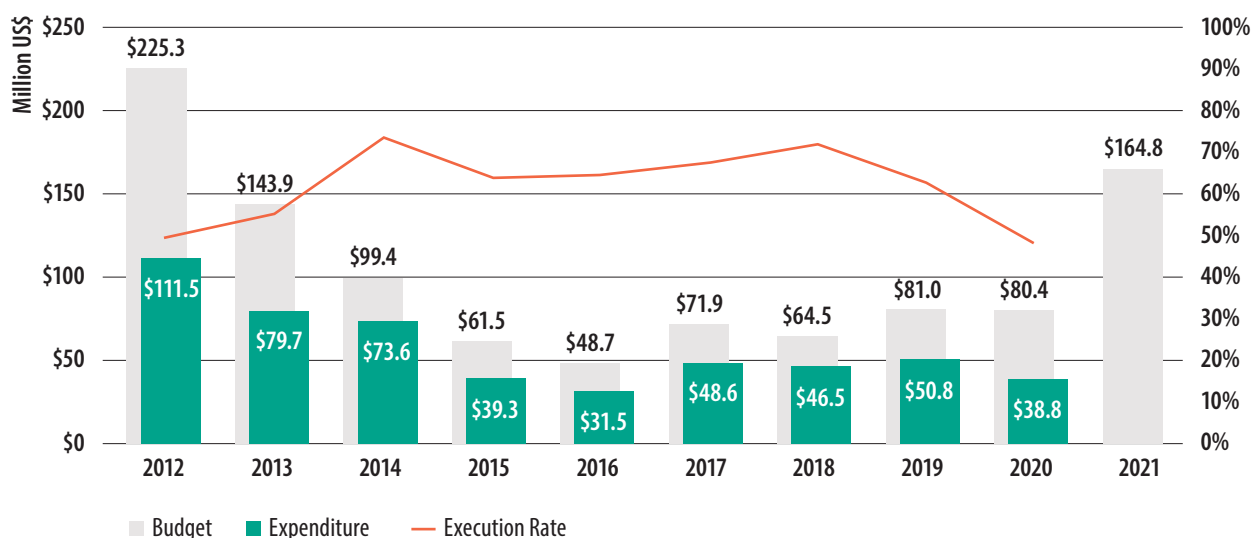
Perception survey findings:

- 55% of respondents said UNDP’s speed of decision-making and problem-solving was appropriate.
- 74% of respondents said UNDP provided adequate information on its rules, regulations and processes to allow for their institution to make informed decisions.

In addition, slow communication and decision-making problems affected the image of UNDP as an efficient and supportive organization, according to stakeholders.

Despite many projects being extended in implementation, expenditures were significantly below available budgets. The low delivery rates in the current programme cycle were attributed to government changes and COVID-19, but this may be only partially accurate. The evaluation examined expenditure since 2012 and found that the annual delivery rate of the country programme was consistently below 80 percent. The total annual programme budget more than doubled, from \$80 million to \$165 million between the start of the evaluation in September 2020 and February 2021 (Figure 5). Excluding a \$25 million tranche from the Green Climate Fund for the REDD+ project, the country programme mobilized an additional \$59 million during this period.¹²⁷ The country office would need to assess its fundraising potential against its delivery capacity. Considering concerns raised by different stakeholders about the adequacy of UNDP’s human resources, it is not clear how the country office would be able to utilize efficiently the available budget of some \$165 million while maintaining the same human resources level.

FIGURE 5. Evolution of UNDP programme budget and expenditure, 2012-2021



Source: UNDP Corporate Planning System, Atlas, February 2021

¹²⁶ See examples of these in Section 2.4.2 Biodiversity conservation, natural resource management and land use.

¹²⁷ The same pattern is visible in the historical financial analysis (since 2012).

CHAPTER 3

CONCLUSIONS, RECOMMENDATIONS AND MANAGEMENT RESPONSE



This chapter presents the evaluation's conclusions on UNDP's performance and contributions to development results in Brazil, recommendations, and the management response.

3.1 Conclusions

Conclusion 1. UNDP adapted to the evolving context in the country and remained a strategic partner of the Government of Brazil. UNDP has been well positioned in responding to government requests at federal, state and local level. Through engagement in implementation support to government programmes, UNDP provided relevant technical contributions, but there was scope to increase these.

UNDP partnered with federal, state and local government ministries and public agencies, the private sector and local communities to support programme implementation. Despite continuing changes in national policies and priorities resulting from changes in government in 2016 and 2019, UNDP's flexibility and long-standing relationships were important for adapting to changing government priorities. UNDP leveraged existing and new partnerships that have allowed it to engage in a wide array of themes and tap into new areas. However, programme delivery has been low and the ongoing COVID-19 pandemic continues to create complexity for programme execution, particularly at sub-national level.

UNDP demonstrated comparative advantage through technical and policy engagement in areas such as SDG localization, judiciary and environment, but this comes out as a small component of the programme based on financial expenditure. The substantive contributions of UNDP under the country programme were difficult to measure and communicate as they are embedded in large government-led programmes.

Conclusion 2. In the area of socio-economic development and governance, UNDP's engagement in policy advocacy in some of the most pressing development challenges, which will be intensified by the COVID-19 pandemic, has been limited.

Though UNDP-supported interventions cover a wide range of areas relevant to socio-economic development and governance with the objective of strengthening institutional capacities, coverage of pressing development challenges, such as high structural inequalities (ethnic, racial, geographical, gender) has been limited. Being government-financed, the programme responds to government requests which present more as implementation support. Consequently, implementation support emerged as UNDP's comparative advantage in Brazil over the last decades. Through the supply of timely and cost-effective recruitment of technical assistance, UNDP enables the government to implement its programmes effectively, while UNDP is guaranteed institutional sustainability through cost recovery. The reliance on government financing affects UNDP's engagement and advocacy role on areas important for SDG achievement, which may be under-represented in programme priorities due to political sensitivity.

At regional level the demand for UNDP support on these issues is high, however sub-national engagement requires the approval of the Federal Government through lengthy procedures. National technical cooperation guidelines with multilateral agencies limit the role UNDP can play in the country.

Conclusion 3. The UNDP natural resources management portfolio remains highly relevant to Brazil's ongoing climate change and natural resource management challenges, making a significant shift from policy development to policy implementation. This has brought clear reductions in GHG emissions, phasing out of HCFCs, and implementation of some land recovery measures, but has not led to a reduction in the deforestation rate, or documented habitat conservation gains.

The evidence to date points to the viability of mitigation measures (energy efficiency, use of biomass charcoal, and conversion of sugarcane waste to electricity) and proper land management (soy crops) for the larger operators and landowners. However, it is difficult for smaller businesses and local communities to take up these initiatives, mostly due to a lack of access to credit. This has meant a reliance on project grants or pay-for-work programmes as part of the social equity philosophy of the programme, which reduce the chance of uptake and scale-up, as well as eventual self-financing of small business and community initiatives.

There has been a high degree of stakeholder engagement in the implementation of activities that will help retain the appropriate climate change and natural resource management messages and approaches in future programmes.

Conclusion 4. There has been increasing collaboration with the private sector, but given the potential of the business and financial sector in Brazil, there is still a large space to be occupied.

UNDP maintained emphasis on private sector engagement with a well-defined strategy, but existing partnerships are relatively small scale and are focused on funding opportunities. Strategic partnerships as outlined in the country office's private sector strategy, which go beyond funding opportunities and corporate social responsibility, are yet to emerge.

Conclusion 5. SDG localization and achievements require stronger engagement of civil society groups. UNDP could have incorporated strategies to facilitate dialogue between government and civil society in its areas of engagement.

Brazil has a very large and vibrant civil society that has been important for localization of the MDGs. A variety of large, medium and small civil society groups operate in the country in diverse sectors and geographic areas. The country programme has included efforts to engage civil society, end-users

and beneficiaries in the implementation of new initiatives to facilitate scale-up and monitoring of progress, especially required in SDG localization and GEF projects. However, funding for collaboration of civil society has been limited. Moreover, UNDP's engagement approach in some of the supported initiatives needed to be more tailored and adapted to the context and capacities of civil society groups, which vary significantly between regions and states across the country.

Conclusion 6. While UNDP's operational support was instrumental in facilitating Brazil's technical cooperation initiatives with other countries, there is scope to strengthen UNDP's role and access to its knowledge networks.

Although UNDP's global network is a comparative advantage, there was variability in the degree that UNDP provided access to, and support from, its global knowledge network to Brazilian partners. There is demand from stakeholders for resources from UNDP's network of country offices and regional and global centres, and UNDP could have been more systematic. In addition, while UNDP's support for the institutional capacity of ABC for programme implementation responds to needs, UNDP could also have advocated for more structured SSC approaches.

Conclusion 7. The COVID-19 response and recovery in Brazil is nationally owned and led. In the immediate response phase, UNDP's support was relevant in technical advisory and advocacy roles, which materialized in some instances. Overall, the division of labour between UN agencies and available funding affected the level of UNDP's engagement. UNDP has a greater role to play beyond the immediate response phase.

The COVID-19 pandemic is continuing to have a devastating impact on Brazil, and is intensified by the country's high levels of inequality. Given limited capacities in some states, UNDP could have played a greater role at sub-national level, however Brazil's technical cooperation regulations do not allow UN agencies to engage in some roles, including

procurement. UNDP has however started to create space to plan the recovery with the Ministry of Regional Development. Given the division of labour among UN agencies, there will be greater space for UNDP in the immediate or humanitarian phase of the country's COVID-19 response. The current UNDP activities, though set within the corporate COVID-19

response strategy, as well as UNDP's commitments in the country level UN-SERP (which are broad frameworks of intent), lacked an operational plan, making the country office's response activities appear unsystematic and spread out. The absence of a detailed operational plan affects the monitoring of the quality of the response.

3.2 Recommendations and management response

RECOMMENDATION 1.



It is recommended that UNDP makes a concerted effort to enhance its strategic focus and measure its impact with balanced programmatic portfolios. The evaluation recognizes that UNDP's programme responds to government requests. The evaluation also recognizes the challenges country offices such as Brazil face regarding balanced programmatic portfolios. In the forthcoming country programme, attention should focus on strengthening strategic planning to demonstrate high programmatic impact in the context of national implementation, particularly in the socio-economic and governance portfolio. In its results framework and reporting, UNDP should distinguish activities to which it contributes and where it has strong influence over their design and results. The evaluation recognizes the measurement challenges faced by UNDP, but greater effort should be exerted to define suitable measurement approaches to capture UNDP's efforts, including in advocacy, technical contributions and other intangible support to ongoing government programmes. It is also recommended that UNDP strengthen research and policy analysis capacities to advocate for and help inform the medium- and longer-term socio-economic policy responses in the COVID-19 recovery phase.

The pandemic and related economic and health crisis have aggravated the structural weaknesses faced by Brazil. The prospects for medium- to long-term recovery from the impacts of the pandemic will be difficult due to existing challenges, which include high inequalities, debt servicing, development financing and the digital divide. Leveraging its convening power as a neutral multilateral development actor, UNDP can help create spaces for debate to highlight the gaps in existing social and economic policies, as well as new challenges imposed by the pandemic. This can help UNDP enhance its value proposition in Brazil.

This requires attention and support from the corporate level.

Management response:



In the forthcoming country programme, which will be formulated in 2022, UNDP will make greater effort to distinguish in its results framework and reporting, the activities it contributes to and for which UNDP has greater influence over their design and results. UNDP will strive to define measurement approaches to capture its work results, including in advocacy, technical contributions and other intangible support to ongoing government programmes.

| Key action(s) | Completion date | Responsible unit(s) | Tracking* | |
|---|-----------------|---|-----------|--|
| | | | Comments | Status (initiated, completed or no due date) |
| 1.1 Strengthen CPD results framework and reporting | December 2022 | Programme and strategic planning teams | | |
| 1.2 Strengthen research and policy analysis capacities to inform the debate of longer-term socio-economic policy responses in the COVID-19 recovery phase | December 2022 | Head office, Programme and strategic planning teams | | |

RECOMMENDATION 2.



Given the changes introduced by the new government and a shift in policy implementation in the natural resources management portfolio,¹²⁸ it is recommended that UNDP undertakes a review of policy/regulatory constraint analyses to determine what has worked, what has not, and how policy design and implementation in the future can handle external shocks. It seems that many of the assumptions about the programme in 2017 did not hold, and issues such as the change in government and economy-of-scale considerations were not factored into policies. Projects in which policy constraints occurred (i.e., the policies did not allow for full uptake of initiatives) can be examined. This can be done as individual small-group research activities, with UNDP and key partners involved. The objective would be to better understand how to design initiatives that are more resilient to external forces.

With regard to small business and local community uptake which is not occurring, a cost-benefit analysis should be developed. With the correct assumptions and different scenarios, this would help develop arguments for uptake and scale-up of climate change and natural resource management applications.

¹²⁸ See Section 2.4.2, Biodiversity conservation, natural resource management and land use, for specific examples of unexpected policy changes, many associated with the new government in 2019.

Management response:



The country office is constantly analysing the conditions for implementation of the natural resources portfolio, together with the Bureau for Latin America and the Caribbean and the Bureau for Policy and Programme Support (BPPS)/Nature, Climate Change and Energy (NCE), to adapt the projects and portfolio plans. An analysis of policy/regulatory constraints will be undertaken both during the new UN Sustainable Development Cooperation Framework formulation, including the UN Common Country Analysis, and the new UNDP country programme formulation. The country office will work with the Regional Bureau and BPPS/NCE on the specific aspects of the natural resources management portfolio.

| Key action(s) | Completion date | Responsible unit(s) | Tracking* | |
|---|-----------------|---|-----------|--|
| | | | Comments | Status (initiated, completed or no due date) |
| 2.1 CPD formulation debates, analysis and retreat with government, private sector, academia and civil society, and local community counterparts | July 2022 | Head office, programme and strategic planning teams | | |
| 2.2 Draft review of policy/regulatory constraint analysis with the Bureau for Latin America and the Caribbean and BPPS/NCE | December 2022 | Head office, programme and strategic planning teams | | |

RECOMMENDATION 3.



The country office's collaboration with the private sector needs to be more systematic to reflect the ambitions articulated in its strategy. UNDP should consolidate its approach to private sector engagement. It should continue to collaborate with the private sector on thematic areas, leveraging its global knowledge to introduce innovation, technology and know-how for stimulating innovative financing mechanisms, particularly in areas with limited public resources. UNDP should also find mechanisms to sustain engagement and coordination with the private sector, individually and collectively after the end of its Global Compact Secretariat role. The country office should fully operationalize its private sector strategy by developing an implementation plan with outputs and targets.

Management response:



UNDP will consolidate its approach to private sector engagement and continue collaboration on thematic areas, leveraging its global knowledge to introduce innovation, technology-based solutions and know-how for stimulating innovative development mechanisms.

| Key action(s) | Completion date | Responsible unit(s) | Tracking* | |
|---|-----------------|---|-----------|--|
| | | | Comments | Status (initiated, completed or no due date) |
| 3.1 Revise/update private sector strategy and develop an implementation plan with outputs and targets to operationalize private sector strategy | July 2022 | Head office, strategic planning, programme and operations teams | | |
| 3.2 Engage the private sector on CPD formulation debates, analysis and retreats | July 2022 | Head office, strategic planning, programme and operations teams | | |

RECOMMENDATION 4.



It is recommended that UNDP leverage its convening power to facilitate dialogue between the government and civil society. UNDP can also leverage resources to develop the capacities of civil society organizations, especially in the context of SDG localization, with a consideration to address disparities in civil society capacity. In the context of the Leave No One Behind principle of the SDGs, civil society organizations have a key role in giving voice to vulnerable and marginalized communities, as well as monitoring progress of the implementation of the SDGs. The SDG localization agenda calls for inclusive approaches that utilize local knowledge to customize the SDGs to local situations. UNDP has a role to play in facilitating a broader dialogue on the role of civil society actors and their engagement in debates on development issues. Though challenging in the current political climate, this could be an area where UNDP could provide an opening for these organizations.

Management response:



Indeed, the SDG localization agenda calls for inclusive approaches that utilize local knowledge to customize the SDGs to local situations. UNDP will facilitate a broader dialogue on the role of civil society and their engagement in debates on development issues.

◀ Recommendation 4 (cont'd)

| Key action(s) | Completion date | Responsible unit(s) | Tracking* | |
|---|-----------------|---|-----------|--|
| | | | Comments | Status (initiated, completed or no due date) |
| 4.1 Engage civil society on CPD formulation debates, analysis and retreats | July 2022 | Head office, strategic planning, programme and operations teams | | |
| 4.2 Take advantage of natural resource management projects to expand dialogue of local communities and government on development issues, and expand capacities of civil society organizations through participation in development projects | July 2022 | Head office, programme team | | |

RECOMMENDATION 5. 

It is recommended that UNDP advocate for and pursue more strategic engagement in SSC, going beyond a facilitation role and contributing to strengthening the ABC capacity with regard to the systematization, mapping, codification and validation of Brazilian knowledge, to facilitate more structured and efficient knowledge transfer to other countries. UNDP should enhance its positioning as a knowledge organization. This would strengthen the leverage of its global knowledge and expertise to meet stakeholder expectations of a more systematic approach and links with available resources. Knowledge from UNDP's network should be more easily identifiable and accessible to respond to demands from stakeholders.

Management response: 

UNDP will continue working to strengthen ABC capacities with regard to the systematization, mapping, codification and validation of Brazilian knowledge to facilitate more structured and efficient knowledge transfer to other countries.

◀ Recommendation 5 (cont'd)

| Key action(s) | Completion date | Responsible unit(s) | Tracking* | |
|---|-----------------|--|-----------|--|
| | | | Comments | Status (initiated, completed or no due date) |
| 5.1 Hire a knowledge management analyst to strengthen UNDP's position as a knowledge organization | September 2021 | Head office, strategic planning, SSC teams | | |
| 5.2 Seek more actively UNDP's network to respond to stakeholders' demands | December 2021 | Head office, strategic planning, SSC teams | | |

*Status of implementation is tracked electronically in the Evaluation Resource Centre database.

ANNEXES



Annexes to the report (listed below) are available on the website of the Independent Evaluation Office at: <https://erc.undp.org/evaluation/evaluations/detail/12785>

Annex 1. Terms of reference

Annex 2. List of projects for in-depth review

Annex 3. People consulted

Annex 4. Documents consulted

Annex 5. Summary of CPD indicators and status as reported by country office



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