

REPORT

FOR THE MID-TERM REVIEW (MTR) OF THE

SUSTAINABLE, ACCESSIBLE AND INNOVATIVE USE OF BIODIVERSITY RESOURCES
AND ASSOCIATED TRADITIONAL KNOWLEDGE IN PROMISING PHYTOTHERAPIC VALUE
CHAINS IN BRAZIL

PROJECT

ATLAS PROJECT ID/AWARD ID NUMBER: 00111078

ATLAS OUTPUT ID/PROJECT ID NUMBER: 00110219

UNDP-GEF PIMS ID NUMBER: 5792

GEF ID NUMBER: 9449

INTERNATIONAL CONSULTANT: MARIA ONESTINI

REPORT DATE:
DECEMBER 7 2021

I. OPENING PAGE:

TITLE OF UNDP SUPPORTED GEF FINANCED PROJECT:

Sustainable, Accessible and Innovative Use of Biodiversity Resources and Associated Traditional Knowledge in Promising Phytotherapeutic Value Chains in Brazil

PROJECT ID#S:

Atlas Project ID/Award ID number: 00111078

Atlas Output ID/Project ID number: 00110219

UNDP-GEF PIMS ID number: 5792

GEF ID number: 9449

MID TERM REVIEW TIME FRAME AND DATE OF REPORT

Time frame: September – December 2021

Date of Report: December 7 2021

REGION AND COUNTRY INCLUDED IN THE PROJECT:

Latin America and the Caribbean: Brazil

GEF FOCAL AREA:

Biodiversity

EXECUTING AGENCY / IMPLEMENTING PARTNER

UNDP CO Brazil

IMPLEMENTING ENTITY/RESPONSIBLE PARTNERS:

Ministry of Environment (MMA)

ACKNOWLEDGEMENTS

The mid-term review consultant would like to acknowledge and thank all who kindly shared their time, information, and inputs for the interviews and consultations that took place as part of this process.

DISCLAIMER

The analysis and recommendations contained in this document only represent the analysis and views of the author and do not necessarily reflect the analysis, views and opinions of the United Nations Development Programme, GEF, the Government of Brazil, nor any of the parties involved in the Project.

II. TABLE OF CONTENTS

i. Opening page:.....	2
Acknowledgements.....	3
Disclaimer.....	3
ii. Table of Contents	4
iii. Acronyms and Abbreviations	7
Executive Summary.....	8
Summary Project Description	8
Project Progress Summary	10
MTR Ratings and Achievement Summary Table.....	11
Concise Summary of Conclusions	12
Recommendations Summary.....	13
2. Introduction.....	14
Purpose of the MTR and objectives	14
Scope and Methodology: Principles of Design and Execution of the MTR, MTR Approach and Data Collection Methods, Limitations to the MTR	14
Structure of the MTR Report.....	16
3. Project Description and Background Context	17
Development context: environmental, socio-economic, institutional, and policy factors relevant to the Project objective and scope.....	17
Problems that the Project sought to address: threats and barriers targeted	18
Project Description and Strategy: objective, outcomes and expected results, description of field sites.....	19
Project Implementation Arrangements: key implementing partner arrangements, short description of the Project Board and of Committees.....	20
Project timing and milestones	20
Main stakeholders: summary list.....	20
4. Findings	23
Project Strategy.....	23
Progress Towards Results	30
Progress towards outcomes analysis	30
Remaining barriers to achieving the Project objective.....	31

Project Implementation and Adaptive Management	34
Management Arrangements	34
Work planning	36
Finance and co-finance	37
Project-level monitoring and evaluation systems	39
Stakeholder engagement	40
Reporting	40
Sustainability	40
Lessons Learned	42
5. Conclusions and Recommendations	43
Conclusions	43
Recommendations	44
6. Annexes	48

Figure 1: Project Information Table	8
Figure 2: Problem tree analysis.....	23
Figure 3: Theory of Change	24
Figure 4: Checklist Potential Social and Environmental Risks.....	27
Figure 5: Organizational Structure for the Project at Design.....	34
Figure 6: Cumulative Disbursements to June 30 2021.....	37
Figure 7: Planned Funding and Co Funding (In US Dollars).....	38
Figure 8: Co-Financing Table	38
Annex 1 MTR ToR (excluding ToR annexes).....	49
Annex 2 MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)	66
Annex 3 Ratings Scales	70
Annex 5: List of Persons Consulted	71
Annex 6 List of documents reviewed	72
Annex 7: Progress Towards Results Matrix.....	74
Annex 8 Signed UNEG Code of Conduct form.....	94

III. ACRONYMS AND ABBREVIATIONS

ABS	Access and Benefit Sharing (derived from the use of genetic resources)
ANVISA	Brazilian Health Surveillance Agency
BD	Biodiversity
CBD	Convention on Biological Diversity
CBO	Community Based Organization
CGEN	Genetic Heritage Management Council
CSO	Civil Society Organization
DIM	Direct Implementation Modality
FAO	Food and Agriculture Organization of the United Nations
FFFB	Herbal Medicines Formulary of Brazilian Pharmacopoeia - <i>Formulário de Fitoterápicos da Farmacopeia Brasileira</i>
FPIC	Free, Prior Informed Consent
FNRB	National Benefit Sharing Fund (<i>Fundo Nacional de Repartição de Benefícios</i>)
FSP	Full Size Project
GEF	Global Environment Facility
GIS	Geographical Information System
GoB	Government of Brazil
HMP	Herbal Medicinal Products
IBGE	Brazilian Institute of Geography and Statistics
ILCs	Indigenous people and local communities
LPA	Local Productive Arrangements
MMA	Ministry of Environment
MS	Ministry of Health
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
NBSAP	National Biodiversity Strategy and Action Plan
NIT	Nuclei of Technological Innovation and Technology Transfer
NGO	Non-Government Organization
PA	Protected Area
PIF	Project Identification Form
PIR	Project Implementation Reports
PMU	Project Management Unit
PNPMF	National Policy and Program on Medicinal Plants and Phytotherapeutic Products (<i>Política e Programa Nacional de Plantas Medicinais e Fitoterápicos</i>)
PPG	Project Preparation Grant
PPP	Public Private Partnership
RENAME	National List of Essential Drugs
RENISUS	National List of Medicinal Plants of Interest for the SUS (<i>Relação Nacional de Plantas Medicinais de Interesse</i>)
SDG	Sustainable Development Goals
SUS	The Brazilian Unified Health System (<i>Sistema Único de Saúde</i>)
TOC	Theory of Change
UNDAF	United Nations Development Action Framework
UNDP	United Nations Development Program

EXECUTIVE SUMMARY

SUMMARY PROJECT DESCRIPTION

FIGURE 1: PROJECT INFORMATION TABLE

Project Title	Sustainable, Accessible and Innovative Use of Biodiversity Resources and Associated Traditional Knowledge in Promising Phytotherapeutic Value Chains in Brazil		
UNDP Project ID (PIMS #):	5792	PIF Approval Date:	Oct 25, 2016
GEF Project ID (PMIS #):	9449	CEO Endorsement Date:	May 3, 2018
ATLAS Business Unit, Award # Proj. ID:	00111078	Project Document (ProDoc) Signature Date (date project began):	Dec 7, 2018
Country(ies):	Brazil	Date project manager hired:	Jan , 2019
Region:	Latin America and the Caribbean	Inception Workshop date:	Dec 3, 2019
Focal Area:	Biodiversity	Midterm Review completion date:	Dec 7, 2021
GEF Focal Area Strategic Objective:	BD-3 Program 8 - [BD3. Sustainably use biodiversity / Progr 8. Implement the Nagoya Protocol on ABS] BD4. Program 9 [BD4. Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors / Progr 9. Managing the Human-Biodiversity Interface]	Planned closing date:	Dec 7, 2024
Trust Fund [indicate GEF TF, LDCF, SCCF, NPIF]:	GEF Trust Fund	If revised, proposed op. closing date:	(not set or not applicable)
Executing Agency/ Implementing Partner:	UNDP CO Brazil		
Other execution partners:	Ministry of Environment (MMA)		
Project Financing	<i>at CEO endorsement (US\$)</i>	<i>at Midterm Review (US\$)*</i>	
[1] GEF financing:	5,722,770	239,708.61*	
[2] UNDP contribution:			
[3] Government:	27,726,195	4,221,069.99	
[4] Other partners:			
[5] Total co-financing [2 + 3+ 4]:	27,726,195		
PROJECT TOTAL COSTS [1 + 5]	33,448,965	4,460,778.60	

* - US\$ 89,439.07 expenditures and US\$ 150,269.54 – commitments

As indicated in the project planning documents, Brazil's rich floral diversity is under threat as a result of deforestation and degradation. The main driver for this is primarily by agriculture, in particular, cattle ranching and perennial crops (such as soybean and sugarcane). Other drivers are logging, forest fires, slash-and-burn agriculture, among other factors. The production and commercialization of plant material for the herbal medicinal plant (HMP) sector may provide an economic incentive to for biodiversity conservation instead of land use change. This requires, however, that sourcing of these materials be based on sustainable plant extractivism or that the cultivation of medicinal plants takes place in already established agricultural zones (rather than resulting in the clearing of new areas) or in degraded areas. If not, plant production or extraction in the HMP sector could result in direct threats to biodiversity due to overharvesting and could reduce the gene pool. Planning processes for this project identified three overarching barriers that stand in the way of advancing the long-term solution of promoting the conservation of native Brazilian biodiversity through strong phytotherapeutic value chains that are environmentally sustainable and ABS compliant and that promote socio-economic co-benefits. These include: 1) Phytotherapeutic value chains based on native Brazilian species are still underdeveloped and do not contribute sufficiently to biodiversity conservation and socio-economic development. 2) Insufficient partnerships between indigenous and local communities (ILCs), science and industry to promote ABS-compliant R&D on herbal medicinal products and increase the level of scientific knowledge on native medicinal plants and their products; 3) Regulatory and institutional challenges limit the registry, notification and commercialization of herbal medicinal products based on native Brazilian species and traditional knowledge in the Unified Public Health System (SUS), with opportunities lost for wider benefit sharing with ILCs.¹

The *Sustainable, Accessible and Innovative Use of Biodiversity Resources and Associated Traditional Knowledge in Promising Phytotherapeutic Value Chains in Brazil*² project's objective is to enhance global biodiversity benefits, as well as multiple national and local co-benefits, arising from the sustainable, accessible, and innovative use of medicinal plants in Brazilian ecosystems. It will do so by strengthening promising phytotherapeutic value chains, based on indigenous and local communities' traditional knowledge, in compliance with the applicable ABS regime, and while adhering to ecological sustainability criteria. The project will be implemented through the following four Outcomes:

Outcome 1: Sustainable phytotherapeutic value chains established in indigenous and local communities (ILCs) within Local Productive Arrangements (LPAs);

Outcome 2: Public and private R&D for the development of native Brazilian herbal medicinal products accelerated through strategic support for more equitable partnerships, ensuring the full engagement of ILCs and ABS compliance;

Outcome 3: Simplified and ABS-compliant regulations mainstreamed in the national public health system to increase the demand for, and provide broader access to, herbal medicinal products based on native plants; and

¹ Sources: Project Identification Form (PIF) and Project Document (ProDoc).

² The intervention is also known as the *Phytotherapeutic Project*.

Outcome 4: Knowledge management, monitoring and evaluation carried out to disseminate information on ABS-compliant and environmentally sustainable phytotherapeutic value chains and to promote upscaling.

The Project's financing plan set as design was as follows:

FINANCING PLAN	
GEF Trust Fund	USD 5,722,770
UNDP TRAC resources	
Other Cash co-financing administered by UNDP	
(1) Total Budget administered by UNDP	USD 5,722,770
PARALLEL CO-FINANCING	
Ministry of Environment (MMA)	USD 5,277,482.97
Ministry of Agriculture, Livestock and Food Supply (MAPA)	USD 16,727,195
Ministry of Health (MS)	USD 5,000,000
Ministry of Science, Technology Innovation and Communications (MCTIC)	USD 350,000
Secretariat for Agricultural Development (SEAD)	USD 371,517.03
(2) Total co-financing	USD 27,726,195
(3) Grand-Total Project Financing (1) + (2)	USD 33,448,965

PROJECT PROGRESS SUMMARY

Project has not achieved any of its expected midterm target levels for the objective. Although highly relevant within the Brazilian socio – economic context, it has had a very slow delivery and strong delays in delivery associated to challenges with project implementation. The challenges had been related to administration and political changes, institutional issues and the COVID-19 pandemic restrictions. Some activities have progressed, such as the development of herbal medicine hotspot list, mapping of potential stakeholders and partners (such as those involved in phytotherapeutic research and development) Engagement with communities has taken place to the degree possible considering the standstill and COVID-19 related issues. Although preparation of some outputs have begun or re begun after suspension of intervention due to the Government of Brazil request to do this, they have not had an impact as of yet at the outcome level.

MTR RATINGS AND ACHIEVEMENT SUMMARY TABLE³

Measure	MTR Rating	Achievement Description
Progress Towards Results	Objective Achievement Rating: Unsatisfactory: U	Project has not achieved any of its expected midterm target levels for the objective. No shortcomings in terms of relevance of the objective.
	Outcome 1 Achievement Rating: Unsatisfactory: U	None of the expected midterm targets at the outcome level have been achieved. Some activities have been developed such as a hotspot list. Engagement with communities has taken place to the degree possible considering the standstill and COVID-19 related issues. Although preparation of some outputs have begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level. Some activities are being programmed and Terms of Reference for some products have been agreed upon.
	Outcome 2 Achievement Rating: Unsatisfactory U	Project has not achieved any of the expected midterm target levels that were set. Some activities have been developed such as mapping of potential R&D partners. This will link with the work being done on the refinement of the native medicinal species hotlist. Although preparation of some outputs have begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level within this output. Some activities are being programmed and Terms of Reference for some products have been agreed upon with GoB. Consultations have taken place and the project has continued to engage with stakeholders. Again, however, these have not had an impact at the outcome level as of yet.
	Outcome 3: Achievement Rating: Unsatisfactory U	Project has not achieved any of the expected midterm target levels that were set. Although preparation of some outputs have begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level within this outcome. At the output level draft legislation activities and products have not been generated.
	Outcome 4: Achievement Rating: Unsatisfactory U	Project has not achieved any of the expected midterm target levels that were set Although preparation of some outputs has begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level within this outcome. M&E system is being implemented according to schedule, but it has issues such as a lack of a full indicator system.
Project Implementation & Adaptive Management	Rating: Unsatisfactory: U	There are strong delays in delivery associated to challenges with project implementation.
Sustainability	Rating: Moderately Likely (ML)	If achievements are made, although extremely few products/outputs have been attained thus far, and therefore a there is a very low degree of delivery, there are moderate risks to sustainability, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review. That is, if the project would attain outcomes, then there is a moderate context of sustainability.

³ Reference: The ratings for performance follow a six – point scale (Highly satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU)). The ratings explanations are found in annexes (see Annex 2: Rating Scales). In the text of this report full narratives with background for these ratings are found in the sections that refer to each of these components.

CONCISE SUMMARY OF CONCLUSIONS

The *Sustainable, Accessible and Innovative Use Of Biodiversity Resources And Associated Traditional Knowledge In Promising Phytotherapeutic Value Chains In Brazil Project* has as its primary overall objective to enhance global biodiversity benefits, as well as multiple national and local co-benefits, arising from the sustainable, accessible, and innovative use of medicinal plants in Brazilian ecosystems. It aims to do so by strengthening promising phytotherapeutic value chains, based on indigenous and local communities' traditional knowledge, in compliance with the applicable ABS regime, and while adhering to ecological sustainability criteria. The design of the Project has been quite appropriate conceptually. However, the Project has encountered a great deal of setbacks that have hindered practically all delivery up to the point of this midterm review. Cumulative delivery to June 2021 has only been 2.44 % of total approved financing. The operational setbacks have been mainly due to the rapidly changing political context that Brazil has experienced throughout the last few years. After an overdrawn standstill, as of mid – 2021 some indications of a virtual “re-start” are taking place. The Project Board is operational once again and some processes have been approved to channel implementation. Over the last few months there have been a number of technical papers developed and mapping of actors and stakeholders that can aid in swiftly implementing the processes and products that need to be achieved in order to have effects and outcomes. This renewed impetus signals the possibility that the *Phytotherapeutic Project* may indeed start to generate needed processes. As several stakeholders have indicated, the Project is just starting. The remaining operational period for the Project can be critical in several ways, not only in generating products but to impel outcomes and long-lasting policies and plans to achieve objective.

RECOMMENDATIONS SUMMARY⁴

Rec#	Recommendation	Entity Responsible
1	Request an ample no -cost extension considering the impact of COVID-19 and delays caused by recurring political shifts.	Project
2	Understanding that requests are not automatically granted, not even with the COVID-19 context in Brazil and its hindrance upon implementation, the project should carry – out and speed – up work planning and delivery in order to make up for lost time, and have this as a contingency should the extension not be granted.	Project
3	The Project should quickly lay the ground work and generate preparatory materials (including but not only terms of reference) to diagnostic work and products (preliminary or those included in the expected results framework).	Project
4	Strengthen project management team, incorporating key personnel in order to fully support implementation.	Project
5	Generate a clear schedule for the time-bound action (roadmap) regarding the activities that the Project intends to implement in relation to objectives and results-based management (in the remaining period of implementation).	Project
6	Understanding that other actors have advanced in some areas that the Project should have progressed, generating products and processes that were planned to take place within the Phytotherapeutic Project, then these should be streamlined or cancelled.	Project
7	Convene governance structures (both Indigenous and Local Communities Consultative Commission as well as Project Advisory Committee) to impel their role in overall multi-stakeholder guidance for project implementation while at the same time generating buy-in.	Project
8	Generate different process and events such as meetings –ad hoc, formal, informal, etc. These dialogues and information sharing process should aim at generating appropriation of the Project at several different levels and engender ownership for future processes of implementation. with several expectations.	Project
9	Generate events or processes where government – level articulation is maintained and/or generated and supported by UNDP as the implementing partner.	Project
10	Seek, through GEF and UNDP’s networks, exchanges and/or collaboration with other similar interventions in other countries or regions that promote phytotherapeutic and herbal medicine, particularly those that work with indigenous and local communities.	GEF/UNDP

⁴ These are summarized recommendations. The full recommendations set is found in Chapter 5 of this report.

2. INTRODUCTION

PURPOSE OF THE MTR AND OBJECTIVES

As indicated in the monitoring and evaluation framework contained in the Project Document (PRODOC), the Project is to undergo an independent Mid-Term Review at the mid-point of project implementation. The MTR has as its purpose to determine progress being made toward the achievement of outcomes and to identify course correction if needed. It focuses on the effectiveness, efficiency and timeliness of project implementation; highlights issues requiring decisions and actions; and presents initial lessons learned about project design, implementation and management. Findings of this review also lead to recommendations for enhanced implementation during the final half of the Project's term. The review follows methods and approach as stated in UNDP manuals, relevant tools, and other relevant UNDP guidance materials, including *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* and *UNDP's Handbook on Planning, Monitoring and Evaluating for Development Results*.

SCOPE AND METHODOLOGY: PRINCIPLES OF DESIGN AND EXECUTION OF THE MTR, MTR APPROACH AND DATA COLLECTION METHODS, LIMITATIONS TO THE MTR

This mid-term review has focused primarily on assessing the Project in light of the accomplished outcomes, objectives and effects. It includes the following scope and indications on what mid-term reviews should be mainly focused on, such as:

- Assess progress towards achieving project objectives and outcomes as specified in the Project Document.
- Assess early signs of project success or failure as to identify the necessary changes to be made in order to set the project on track to achieve its intended results.
- Review the project's strategy in light of its sustainability risks the project's preparation of a strategy after UNDP-GEF project support ends.

The scope of this review follows the guidelines defined in the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* as well as guidelines developed to carry out evaluative processes within the context of COVID-19. New guides (June 2020) contained in the Terms of Reference for Conducting Mid-Term Reviews template were also followed.

The approach for the Project's review is contained in the Terms of Reference (ToR) for this assignment and it follows the methods and approach as stated in UNDP and GEF guidance materials. The analysis entails reviewing different stages and aspects of the Project, including design and formulation; implementation; results; and the involvement of stakeholders in the Project's processes and activities. It has been carried out following a participatory and consultative approach ensuring close engagement with government counterparts, UNDP, project team, and other key civil society stakeholders.

In order to carry out this review exercise, several data collection tools for analysing information from the principles of results-based reviews were used. Following UNDP/GEF guidelines, the relevant areas of the Project are evaluated according to performance criteria and prospects of sustainability with ratings as summarized in the tables found in annexes (Annex 3 Ratings Scales).

The tools chosen for the mid-term review, with a mixture of primary and secondary data sources as well as a combination of quantitative and qualitative material, were selected in order to provide a spectrum of information and to validate findings. These methods allow for in-depth exploration and yield information that facilitated understanding of observed changes in outcomes and outputs (both intended and unintended) and the factors that contributed to the achievements or lack of accomplishments. Regarding specific methodologies to gather assessment information, the following tools and methods were used:

- *Document analysis.* In depth scrutiny of documentation was used as an instrument of analysis. The analysis examined documents formulated during the preparation and implementation phases of the Project (i.e. the Project Document, project reports including Annual Project Review/PIRs, etc) as well as technical documents produced within the Project and by other stakeholders/projects. A list of consulted documents is found in annexes [see Annex 5 List of documents reviewed].a
- *Key informant interviews:* Interviews were implemented through a series of open and semi-open questions raised to stakeholders directly and indirectly involved with the Project. Key actors (stakeholders) were defined as government actors, project staff, former project staff, Regional Office staff and UNDP officers. The interviews were carried out online due to travel limitations owing to the COVID-19 pandemic.

A first tool developed for the review process was an evaluation matrix (which can also be found in annexes – see Annex 2 MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology). This matrix guided the data collection process and, as the review proceeded, the matrix was used to collect and display data obtained from different sources that relate to relevant criteria and questions. The matrix contains Evaluative Criteria Questions (that is questions, and where relevant sub questions, related to each of the criteria contained in the review); Indicators; Sources; and Methodology.

Limitations: The review process took place during the COVID-19 pandemic. This pandemic, undeniably, has not only influenced the implementation of the Project for nearly two years but it also has had an impact on the review process. It has had an early impact in delaying the review, but also due to the methodologies to be used due to an understandable lack of mission. Therefore, UNDP guidance on planning and operating an evaluation during COVID-19 for the design and implementation of the evaluation process was followed to carry out the review. Virtual methodologies (such as videoconferences, internet interviews, etc.) were applied and due to this the report was made generated on credible and reliable information, as well as useful data despite the circumstances.

STRUCTURE OF THE MTR REPORT

The mid-term review report is structured beginning with an executive summary, where a project summary, ratings tables, progress, conclusions and recommendations of this report are summarized. A second section introduces methodologies, scope and information of the execution of the mid-term review. A third section contains an overall project description within a developmental context, including an account of the problems the Project sought to address, as well as its initial objectives. A fourth core section of this report deals principally with review findings relating to the actual implementation of the Project. The fifth section of the present report entails overall conclusions as well as forward looking issues such as recommendations for future actions and future programming. Lastly, an annex section includes project and mid-term review support documentation.

3. PROJECT DESCRIPTION AND BACKGROUND CONTEXT

DEVELOPMENT CONTEXT: ENVIRONMENTAL, SOCIO-ECONOMIC, INSTITUTIONAL, AND POLICY FACTORS RELEVANT TO THE PROJECT OBJECTIVE AND SCOPE

As the Project Document states, the environmental, socio-economic, institutional and policy factors of the country closely interlink with the project in its objective and scope. The environmental context is indicative of Brazil's wide ranging climate zones and biogeography which –in turn-- constructs ecosystems that range from equatorial rainforests, in semiarid deserts, tropical savannas, to temperate coniferous forests from the north to the south of the country. Brazil is considered the most biologically diverse country in the world. This abundance in biodiversity is also linked to environmental services and development opportunities for the country. For the issues under consideration this genetic legacy is linked specifically to the sustainable use of herbal medicinal plants (also called phytotherapics). However, the vast genetic resources of potential value in the treatment of disease and illness remain largely unexplored.

In parallel to biodiversity diversity, the country also has social diversity and deep socio – economic contrasts. Regarding genetic resources and biodiversity, these are closely linked to the bio-cultural knowledge held by Brazil's indigenous peoples and local communities (ILCs). The planning documents for this project point out that the traditional peoples and communities mentioned in the composition of the National Council of Traditional Peoples and Communities (CNPCT) go beyond indigenous people. These also include quilombola people, terreiro peoples and communities/peoples and communities of African origin, gypsy peoples , artisanal fishermen and women, extractive workers, coastal and marine extractive workers, caiçaras, faxinalenses, benzedeadas (healers), ilhéus, raizeiras, geraizeiros, caatingueiros, vazanteiros, veredeiros, collectors of herbaceous ornamental flowers, pantaneiros, morroquianos, pomerano people, mangaba collectors, babassu nut crackers, araguaia migrants, back-pasture communities, riverside communities, capoeira's, andirobeiros and caboclos.⁵

Brazil has a number of socio-economic indicators that illustrate the country's inherent social inequalities. These show that Brazil has high unemployment; increasing poverty ratios; and gender inequality and gender-based discrimination. Within the context of this analysis, it is understood that the phytotherapeutic or herbal medicinal sector can contribute to the country's socio-economic development.

Herbal Medicine Products (HMPs) are medicines obtained from plants, as well as fungal or algae sources as active raw materials, except for isolated substances, for prophylactic, curative or palliative purposes. HMPs fall under two categories, both of which will be included in this project: herbal medicines (HM), which are licensed by demonstrating safety and efficacy through non-clinical and clinical trials, and traditional herbal products (THP), which are licensed based on the traditionality of use. The production of herbal medicinal products follows agro-industrial processes that rely on plant-based raw materials as the main ingredients in finished products.

⁵ Source: Project Documents.

The industry is required by the health surveillance system to follow strict standards of product standardization and quality control. In addition, because HMP value chains are R&D based and they are built on the back of diverse genetic resources, sectoral players are also required by environmental authorities to comply with national legislation on access and benefit sharing (ABS).

Although the native medicinal plant window is very diverse in the country, non-native medicinal plant species prevail in products' composition. The Project Document points out that only 27 out of 101 species of plants used in HMPs (licensed by ANVISA at the time of project planning) were native to Brazil. Despite the low number of licensed products with native species, it should be noted that there is a large number of products in the informal market that rely on native biodiversity. However, these have not been evaluated for quality, safety, and efficacy before, notwithstanding the fact that they are being commercialized. Considering the above, therefore, there are ample opportunities for the development of phytoterapics.

The federal government supports the HMP segment for several reasons. First there is the potential for cost reduction within the framework of the country's health system. Also, to impel via integrated value chains, other agricultural techniques such as organic or agroecological production. Furthermore, the development of these value chains presents opportunities for indigenous peoples and local communities to contribute to and benefit from sustained development practices, if safeguards to guarantee that harvesting and cultivation of HMPs are carried out in a sustainable way and to ensure adherence to social safeguards.

PROBLEMS THAT THE PROJECT SOUGHT TO ADDRESS: THREATS AND BARRIERS TARGETED

The project tries to address a series of issues related to threats and barriers. The pressures identified deal with deforestation and degradation and how these threaten floral diversity. The main deforestation drivers are rapid urban expansion, industrialization, as well as changes in land use driven by agriculture and cattle ranching. Degradation of logging, forest clearing and fires are all associated with degradation that leads to habitat and biodiversity loss and fragmentation.

In relation to the above, the design also discerns what are the root causes of deforestation in the country. These are underlined as the lack of an integrated mainstreamed development vision that takes into account the development potential associated with biodiversity and the little livelihood diversification opportunities so that two of the main land uses in the project's areas of intervention are agriculture and livestock. This is very fitting with the project expectations and it articulates very well with the explicit, implicit and general aims of the intervention since it attempts to address both of these deforestation root causes.

The Project Document identifies three predominant barriers that hinder advancing upon a long-term solution for conservation and sustainable use of native Brazilian biodiversity through strong phytotherapeutic value chains. Specifically, these were:

- Barrier 1: Phytotherapeutic value chains based on native Brazilian species are still underdeveloped and do not contribute sufficiently to biodiversity conservation and socio-economic development.
- Barrier 2: Insufficient partnerships between indigenous and local communities (ILCs), science and industry to promote ABS-compliant R&D on herbal medicinal products and increase the level of scientific knowledge on native medicinal plants and their products.
- Barrier 3: Regulatory and institutional challenges limit the registry, notification and commercialization of herbal medicinal products based on native Brazilian species and traditional knowledge in the Unified Public Health System (SUS), with opportunities lost for wider benefit sharing with ILCs.

PROJECT DESCRIPTION AND STRATEGY: OBJECTIVE, OUTCOMES AND EXPECTED RESULTS, DESCRIPTION OF FIELD SITES

The above is a background introduction to the Project. As the design documents indicated, this project was designed with the objective to: *enhance global biodiversity benefits, as well as multiple national and local co-benefits, arising from the sustainable, accessible, and innovative use of medicinal plants in Brazilian ecosystems.*

The intervention's expected outcomes are as follows:

- *Outcome 1:* Sustainable phytotherapeutic value chains established in indigenous and local communities (ILCs) within Local Productive Arrangements (LPAs)
- *Outcome 2:* Public and private R&D for the development of native Brazilian herbal medicinal products accelerated through strategic support for more equitable partnerships, ensuring the full engagement of ILCs and ABS compliance
- *Outcome 3:* Simplified and ABS-compliant regulations mainstreamed in the national public health system to increase the demand for, and broaden access to, herbal medicinal products based on native plants
- *Outcome 4:* Knowledge management, monitoring and evaluation carried out to disseminate information on ABS-compliant and environmentally sustainable phytotherapeutic value chains and to promote upscaling.

In summary, the Project is expected to bring about sustainable, accessible, and innovative use of medicinal plants in Brazilian ecosystems by strengthening promising phytotherapeutic value chains (based on indigenous and local communities' traditional knowledge) and in compliance with the applicable ABS regime. This is intended as a result while also adhering to ecological sustainability criteria.

Although not entirely conceived as field sites per se, the Project does focalize its actions in four biomes. The four Brazilian targeted biomes are: Amazon, Atlantic Forest, Caatinga and the Cerrado.

PROJECT IMPLEMENTATION ARRANGEMENTS: KEY IMPLEMENTING PARTNER ARRANGEMENTS, SHORT DESCRIPTION OF THE PROJECT BOARD AND OF COMMITTEES

The Project is implemented within UNDP's Direct Implementation Modality (DIM). Given this, it has been indicated at design that the Project Management Unit (PMU) will be based at UNDP in Brasilia, with intended recurrent travel to the focalized areas (productive sites and focalised biomes). As described in planning documents, the foreseen roles for the PMU were varied, ranging from operational management to the promotion of inter institutional linkages. Within this framework, it was stipulated that the PMU would regularly liaise with the technical staff of the Ministry of Environment (MMA).⁶

Further implementation arrangements and functions were also prescribed at design. Among the most relevant ones are those that differentiate UNDP's roles given that this is a DIM project. There is supposed to be a differentiation between UNDP's role in oversight as a GEF Implementing Agency and its role as an executing agency.

Other management arrangements were also planned at design. These include a Project Board with overall responsibility for making management decisions and a Project Advisory Committee (PAC) for supporting technical coordination of the project and to oversee that activities and products lead to outcomes. The design also contemplated an ILC Consultative Commission in order to ensure project implementation effectiveness through the inclusion of indigenous people and local community representatives in project guidance.

PROJECT TIMING AND MILESTONES

The Project has a planned six-year duration, with a planned start date of September 2018 (with an actual start date of December 2018) and a planned end date of December 2024. The Mid-Term Review milestone takes place at exactly implementation midpoint (that is late 2021).

MAIN STAKEHOLDERS: SUMMARY LIST

At the design stage a stakeholder analysis took place. The purpose of this analysis was to identify the main potential stakeholders and to consider their potential roles and responsibilities in the implementation and/or guidance of the Project. The list of stakeholders identified at the design stage was as follows:

- Government of Brazil
 - Ministry of Environment (MMA)
 - Ministry of Agriculture, Livestock and Supply (MAPA)
 - Ministry of Science, Technology, Innovation and Communication (MCTIC)

⁶ Following the guidelines for this sort of review, this section deals with project implementation arrangements at design. In the section on findings (following this part of the report) there is information and analysis on the Project's actual implementation processes.

Special Secretary for Family Agriculture and Agricultural Development (SEAD)

Ministry of Industry, Foreign and Services Trade (MDIC)

Ministry of National Integration (MI)

Ministry of Health (MS)

- NGOs and Institutes

National Indian Foundation (FUNAI)

Socio-Environmental Institute (ISA)

Institute for Society, Population and Nature (ISPN)

- Traditional Communities

National Council for Sustainable Rural Development (CONDRAF)

Movement of Rural Women Working in the Northeast (MMTR-NE)

National Federation of Workers of Technical Assistance, Rural Extension and Agricultural Sector of Brazil (FASER)

National Council of Traditional Peoples and Communities (CNPCT)

National Council of Rubber Tappers (CNS)

Amazon Working Group (GTA)

The Coordination of Quilomba Communities (CONAQ)

The National Council for Indigenous Policies (CNPI)

Articulation of the Indigenous Peoples of Brazil APIB

The Brazilian Association of Fine Chemical Industries, Biotechnology and its Specialties (ABIFINA)

The Brazilian Association of Companies of the Phytotherapeutic Sector, Food Supplement and Health Promotion (ABIFISA)

- Academic sector/ Research Centres (public and private)

Botanical Garden of Rio de Janeiro

Brazilian Biosciences National Laboratory (LNBio)

Federal University of Santa Catarina – UFSC (Atlantic Forest)

University of São Paulo -USP (Atlantic Forest)

Institute of Technology in Pharmaceuticals - Farmanguinhos of Fundação Oswaldo Cruz FIOCRUZ (Atlantic Forest)

Fluminense Federal University (Atlantic Forest)

State University of Maringá (Atlantic Forest)

Federal University of Rio Grande do Norte (Atlantic Forest, Cerrado)

University of Brasilia (Cerrado)

Federal University of Ceará (Caatinga)

Museu Paraense Emílio Goeldi (Amazon)

Federal University of Western Pará – UFOPA (Amazon)

Federal University of Maranhão – UFMA (Amazon, Atlantic Forest)

Federal University of Pará – UFPA (Amazon)
Federal University of Pernambuco – UFPE (Caatinga)
Brazilian Agricultural Research Corporation (Embrapa) (Amazon, Atlantic
Forest, Caatinga, Cerrado)
Private Sector
Brazilian Development Bank (BNDES)
Anidro do Brasil (Centroflora and Phytobios)
Beraca
Biolab
EMS
FQM
Hebron
Herbarium
Hypermarcas
Catarinense Lab
Marjan
Momenta
Yanten

For each of these stakeholders their roles were also analysed at the time of design, not only their functions vis-à-vis the Project's issues but also their relevant roles regarding project implementation. The list is not only extensive, it covers a wide array of stakeholders (national government, academia, local interest groups, private sector). Furthermore, it also covered the inclusion of stakeholders from all four target biomes (that is, Amazon, Atlantic Forest, Caatinga and the Cerrado).

4. FINDINGS

PROJECT STRATEGY

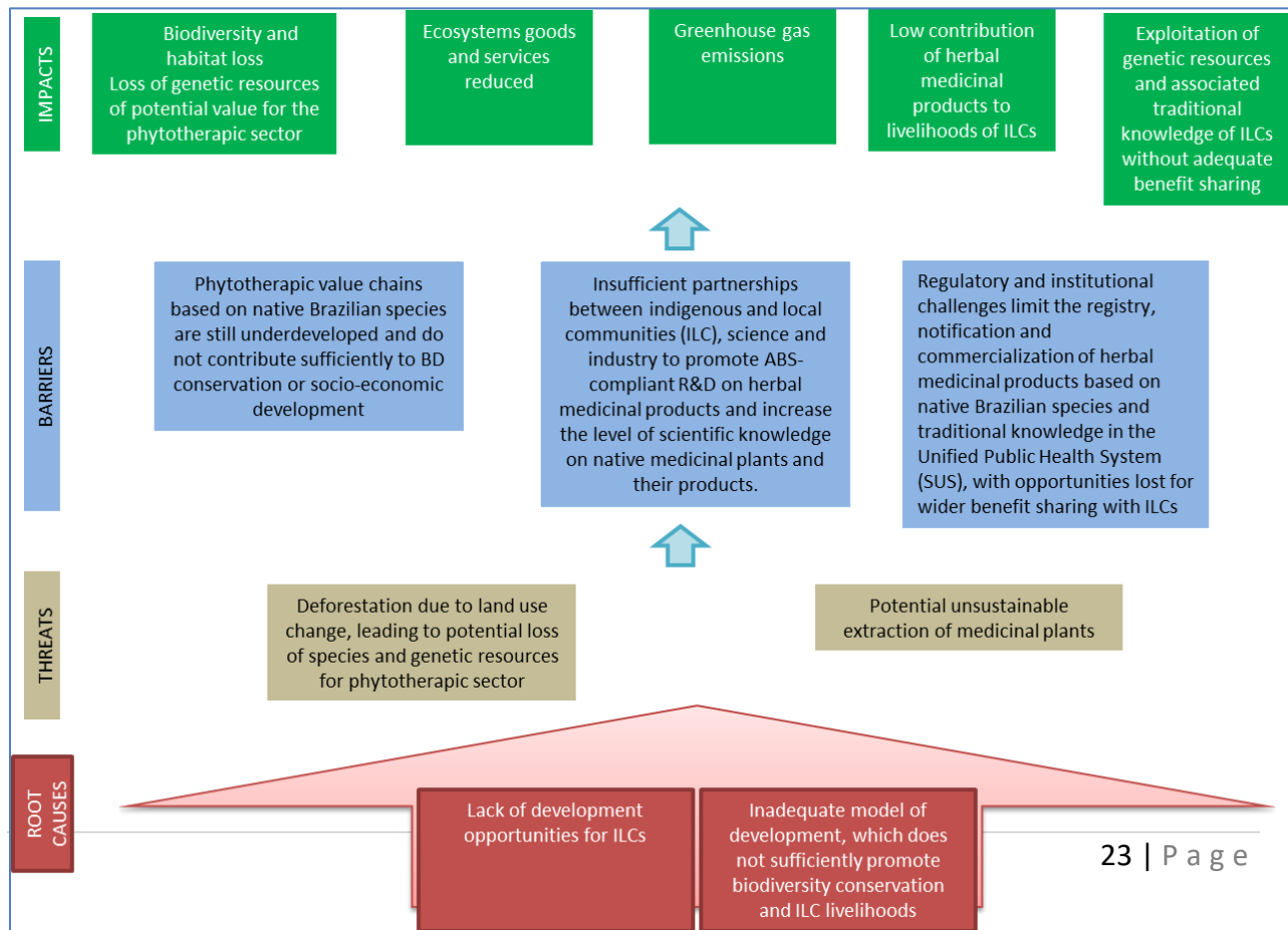
PROJECT DESIGN

The project design follows standard structure for these sorts of interventions with intended outcomes and outputs within a framework of an expected objective. Moreover, the formal logic of the interventions identifies threats as well as barriers and plans to endeavour to act upon them in order to obtain products, processes and results. The overall approach is satisfactory, in the sense that barriers and threats are identified and ways to overcome these are recognised. Therefore, it is understood that the objective would be achieved through the four outcomes and their corresponding expected outputs. And these, in turn, are articulated through multiple and assorted expected outputs, sub-outputs, and activities.

There is some confusion in the terminology since in some sections of the report “outcomes” is used together with “components” or as a synonym. This is at times confusing since the two words connote different things within a results framework. For the sake of clarity, this review will exclusively use the word outcome.

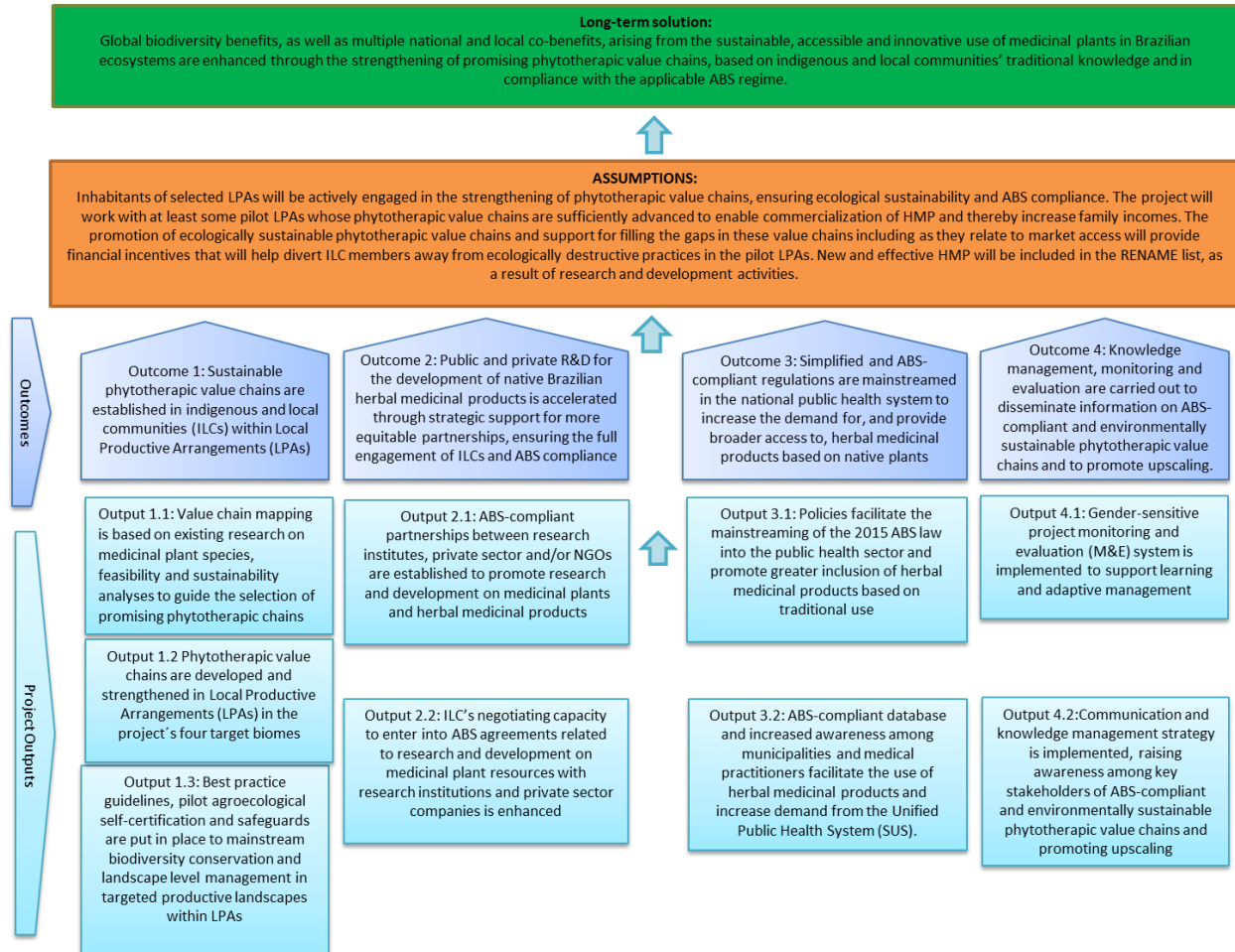
Two planning tools were introduced in design within the Project Document: a problem tree analysis and a Theory of Change (ToC). Both figures are below. After each graphic representation of these tools an analysis is made as they relate to design and implementation.

FIGURE 2: PROBLEM TREE ANALYSIS



The problem tree analysis is a suitable easily understandable representation of the issues mentioned above which frames the underlying issues in a graphic manner. It links sequentially root causes to threats to barriers to impacts.

FIGURE 3: THEORY OF CHANGE



Above is the Theory of Change diagram, which is also a powerful tool not only for design but also to generate appropriation of the Project at several different levels (as will be seen further along, this has been one of issues encountered thus far regarding performance). The ToC lays out also in a graphic manner not only the project outputs and outcomes, but also the assumptions on which the intervention is based upon. It articulates and illustrates the causal intentions of the Phytoterapics Project. The ToC also lays out the underlying premises regarding strengthening HMP value chain of native Brazilian species, as well as the promotion of research and development to provide a scientific base and strengthen the public health system and support local communities. It includes innovation, the link between local and national systems, access to markets as an incentive for conservations/sustainable use, and several other features that makes this an integrated design. Both (the problem tree and the theory of change) are powerful tools to return to engender ownership as further implementation takes place.

Conceptually, the Project is highly appropriate. It contains different planes and aspects and involves multi-stakeholder platforms with the explicit understanding that there is a need to approach the issue in the multivarious manner that a complex problem deserves. The approach to the use of biodiversity resources is done attending to several issues (such as): support of local communities, strengthening the health system in the country, equitable access to genetic resources, applied research and development backing, as well as the economic component as an incentive deriving from the value chains approach.

The design was fairly participative, with engagement with stakeholders at several different stages of the design process. This engagement took place through the participation of stakeholders in different types of events such as workshops, through questionnaires, through specific meetings with key actors, and through a field visit in the LPA of Sao Paulo.

The Project Document states that the Phytotherapeutic Project incorporated learning from other similar projects or initiatives in its design but it does not specify which these were. However, when this document deals with partnerships it mentions other GEF-funded initiatives the Project would collaborate with and with which evidently it is expected they would mutually generate lessons learned. The main projects mentioned at design were: “Mainstreaming Biodiversity Conservation and Sustainable Use into non-timber forest products (NTFP) and agroforestry systems (AFS) production practices in Multiple-Use Forest Landscapes of High Conservation Value” implemented by the Brazilian Agricultural Research Corporation (EMBRAPA) with UNDP as the Implementing Agency; the “Capacity building and institutional strengthening on the national framework for access and benefits sharing under the Nagoya Protocol” implemented by the federal Ministry of Environment, which has the Inter-American Development Bank-IADB as its Implementing Agency; and the “Taking deforestation out of the soy supply chain” executed by Conservation International as part of a global UNDP-led, multi-agency Integrated Approach Pilot.

The Project addresses country priorities to a great extent. Its concept is in line with national development priorities and specific norms and plans. The most salient of these are priorities in increasing access to affordable medicines for the Brazilian population as reflected in the National Policy and Program on Medicinal Plants and Phytotherapeutic Products (PNPMF), the National Policy on Integrative and Complementary Practices (PNPIC) which includes phytotherapy in the list of health care options to be made available in the country’s Unified Health System (SUS), the Pluriannual Plan (PPA) of 2016-2019 that promotes a development model with social inclusion and less inequalities. Other national policy with which the Project is aligned include the National Plan for the Promotion of Social Biodiversity Product Chains (PNPSB), the National Plan for Agroecology and Organic Production (PLANAPO II), the National Policy Plan for Women – PNPM, as well as Decree No. 6,040 which establishes the National Policy for the Sustainable Development of Traditional Peoples and Communities. The aim for the Brazilian population benefits to benefit from its natural resources and biodiversity and promoting a sustainable bioeconomy is expressed in Article 1 of the 2015 ABS Law, which stresses that ‘Brazilian genetic resources’ are assets for ‘shared use of the people’.

The Project carried out a set of risks analysis, either embedded in the design narrative or thorough identification of environmental and social risks as identified through the UNDP Environmental and Social Screening Procedure (SESP). The narrative identifies the following risks: (a) low engagement of indigenous and local communities; (b) project value chain strengthening and R&D activities could potentially adversely affect the rights, lands and traditional livelihoods of indigenous people, who may not have the capacity to claim their rights; (c) risk that the project will promote the strengthening of value chains and R&D activities with herbal medicinal plants that have been used traditionally by ILCs in Brazil without adequately compensating the ILCs for this traditional knowledge (TK) and cultural heritage and that this TK will be taken by others for their commercial benefit; (d) risk that gender inequalities in terms of the overrepresentation of women in labour-intensive and poorly remunerated activities, and their underrepresentation in the trading and other higher value chain more profitable activities, are reproduced by this project; (e) project duration is not sufficiently long to influence livelihoods at the level of the target LPAs; (f) risk that the value chain strengthening activities under Outcome 2 in the target LPAs could have a negative impact on ecosystems (including areas recognized by indigenous peoples as important for conservation and areas with sensitive habitat) and a risk that collection and/or harvesting and commercial development of herbal medicinal plants could negatively affect genetic resources of phytotherapeutic plants; (g) potential occupational health and safety risks for ILCs associated with the operation of equipment and use of chemicals for plant processing or production of plant extracts and oils; (h) climate change undermines the sustainability of phytotherapeutic plant cultivation and harvesting in the LPAs. Although the risks identified are catalogued with varied degrees of potential impacts and probability, the high number of threats identified signalled the potential concerns regarding the project and the need for risk management.

Although extensive, risk analysis was also weak during the design of the Project. As will be seen further along in the sections of implementation and as indicated in the latest PIR, risks have been and are substantial, and several were not properly identified with potential for impact that in turn they have had thus far upon implementation. Although of course risks that have arisen during implementation, such as radical changes in government and government policies to the degree experienced in Brazil in the last few years, could not have been fully predicted many years before implementation, government changes and accompanying staff changes, are a constant even before this project was designed and –perhaps if more forcefully identified— there could have been at least some risk managements mechanism in place, besides those already deployed and within the willingness of government (or, better yet, with those areas of government that were willing to engage).

The SESP analysis carried out at design also identified risks, several similar to the ones in the narrative, but using that tool's definitions or screening factors. The potential social and environmental risks identified within the SESP checklist are in the chart below. Again, given the high number of risks identified upon planning, this was an intervention predicted to have substantial threats.

FIGURE 4: CHECKLIST POTENTIAL SOCIAL AND ENVIRONMENTAL RISKS

FIGURE 4: CHECKLIST POTENTIAL SOCIAL AND ENVIRONMENTAL RISKS	
Principles 1: Human Rights	
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?
Principle 2: Gender Equality and Women’s Empowerment	
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)
Standard 3: Community Health, Safety and Working Conditions	
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?
Standard 4: Cultural Heritage	
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?
Standard 6: Indigenous Peoples	
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?
6.8	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?
Standard 7: Pollution Prevention and Resource Efficiency	
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?

Relevant gender issues were raised in the project design. At the design stage (as early as the PPG), a gender analysis and action plan were developed. This included specific gender analysis of several aspects of phytotherapeutic matters, such as the role of women in extraction, cultivation and use of herbal medicinal products, norms and plans that relate directly and indirectly the gender approach to biodiversity conservation; gender inequality issues in Brazil including differential access to resources (such as income and land) and other relevant matters as baseline information for the development of a gender action plan. In the Project Document, therefore, there is an action plan to achieve gender mainstreaming throughout all outputs and activities. Therefore, the design is mindful of several gender issues and has specific aims for some gender equality matters and mainstreaming.

RESULTS FRAMEWORK/LOG FRAME

Within the results framework, the four expected outcomes are clearly established as intended short and medium-term effects of the intervention.⁷ They are fairly well expressed in the sense that they are established as anticipated results that would stem directly from the Project.

However, these expected outcomes are ambitious in some ways. For instance, although the project had a fairly extended planned life span of six years, it is deemed that this might not be sufficient to see results as expected. This is the case primarily with expected Output 2 (*Public and private R&D for the development of native Brazilian herbal medicinal products accelerated through strategic support for more equitable partnerships, ensuring the full engagement of ILCs and ABS compliance*) since research and development frequently needs more time than a few years to unfold.

When doing a SMART analysis of the end of project target indicators, it can be said that they fulfil several of these parameters. For instance, several of them are specific (S) since they clearly communicate a description of a future condition, such as with first indicator where it states: *Number of direct project beneficiaries, disaggregated by gender (including beneficiaries of LPAs, of capacity building activities and of R&D activities) Total of: 450, including 300 women and 150 men (400 inhabitants of LPAs + 10 researchers funded + 40 ILC members to be trained)* for mid-term target and *Total of: 1184, including 770 women and 414 men (This includes 800 inhabitants of LPAs (100 per target LPA, at least 2 LPAs per biome, 4 biomes) + 20 researchers*

⁷ Outcome 1: Sustainable phytotherapeutic value chains established in indigenous and local communities (ILCs) within Local Productive Arrangements (LPAs)

Outcome 2: Public and private R&D for the development of native Brazilian herbal medicinal products accelerated through strategic support for more equitable partnerships, ensuring the full engagement of ILCs and ABS compliance

Outcome 3: Simplified and ABS-compliant regulations mainstreamed in the national public health system to increase the demand for, and broaden access to, herbal medicinal products based on native plants

Outcome 4: Knowledge management, monitoring and evaluation carried out to disseminate information on ABS-compliant and environmentally sustainable phytotherapeutic value chains and to promote upscaling.

funded + 120 ILC members to be trained) + 240 medical practitioners (40 per year for 6 years) + 4 municipal staff of secretariats) for end of target level .⁸

If they are specific and determined –such as those above-- then they are **(M)** since they are presented with metrics (although a great deal of them don't have baseline, midterm, nor target metrics, however). They are relevant (**R**) since they aligned with Brazil's national development framework, as seen in the section dealing with relevance and alignment with national policies prior to this section. They are relevant within national policies related to health (for instance, *Number of additional herbal medicinal products with access to markets as a result of project support*, with an expectation of having at least two additional HMPs by project end) or with land management/biodiversity policies (such as it emerges in the indicator *Area (in hectares) of landscapes under improved management for biodiversity and ecosystem services in the project's LPAs (includes application of ecologically sustainable cultivation and harvesting techniques of medicinal plants as confirmed through agroecological self-certification, as well as consideration of landscape-level criteria such as connectivity and areas of high conservation value, as defined in the best practice guidelines to be produced with project support)*). Where it is expected that 400,000 hectares would be under improved BD management at midpoint and 1,200,000 hectares at project end.

The indicators are time bound (**T**) given that they are expected to be achieved by the end of the intervention. Yet, and as will be seen in the implementation sections of this report, several of the indicators (particularly those in Outcome 2) are overly ambitious and not within the capacity of the partners to achieve (**A**). For instance, it is deemed that the time period allotted for implementation perhaps might not be sufficient for research and development processes to cast concrete results.

The midterm review cannot carry out a full SMART analysis since indicator values are missing even after three years of implementation. However, below is the analysis of those indicators that do have values attached to them as well as those that can be analysed generally even if they don't have values or if there are a number of unknowns.

However, the major problem with indicators is that they were not set at design. The original log frame indicates that several indicator baseline, midterm and target values would be set at project beginning or inception. Baseline values are not established for many outcomes either because it has not been carried out as indicated at design or because the Project indicates that this information is non – existent in the context of Brazil. Moreover, no midpoint nor target values have as of yet been set at this time (as reflected in the 2021 PIR that was prepared a few months before this review and as it will be seen in the Progress Towards Results chart further along this report). This was supposed to be done at inception but this process did not take place, neither at inception nor in the interim implementation period. The Project asserts that values cannot be defined since first it is necessary to know who the beneficiaries are, which has also not been done as of yet.

⁸ This indicator is also calling for sex disaggregated data.

Within the midterm review context and for monitoring in general the lack of a robust indicator system hinders several factors. First, overall proper monitoring by the Project is hindered by the fact that there is no way to tally progress when the indicator system is not complete (that is with proper values for the Project overall). Second, a thorough analysis of the indicators cannot be made.

PROGRESS TOWARDS RESULTS

PROGRESS TOWARDS OUTCOMES ANALYSIS

In annexes is the Progress Towards Outcomes Analysis in chart form (Annex 6: Progress Towards Results Matrix). This graph reviews the indicator-level progress reported in the most recent PIR (2021) as well as information from other sources. Following indications for Mid Term Reviews, the chart includes an analysis regarding achievements and categorises them with colour coding⁹ at the objective and at the outcome levels as indicated in the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*:

- (a) has already been achieved (colouring table cell green);
- (b) is partially achieved or on target to be achieved by the end of the Project (colouring table cell yellow); or
- (c) is at high risk of not being achieved by the end of the Project and needs attention (colouring table red).

Furthermore, classifications following a Six - point Progress Towards Results Ratings have also been added (Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), or Highly Unsatisfactory (HU)).¹⁰ The Progress Towards Outcomes Chart also includes the specific outputs and sub outputs that were achieved as of the last reporting cycle (as expressed in the Project Implementation Review –PIR– 2021). The following paragraphs contain a narrative of the progress towards outcomes analysis and are linked to the mentioned chart.

As clearly seen in the chart, which is based on the project’s monitoring reports, very little has been accomplished by the Phytotherapeutic Project thus far. None of the outcomes nor objective were accomplished at the expected midterm levels. However, some activities, products and processes have been carried out at the output levels. These are briefly discussed below (for a full description of these see Annexes¹¹):

- *Technical reports on refining of medicinal plants’ hotlist and mapping of medicinal plants’ value chain.* The first product (hotlist) has been already validated by MMA. The mapping of value chains report was approved by MMA, on August

⁹ For further details on this sort of indications and analysis, see *Guidance for Conducting Midterm Reviews Of UNDP-Supported, GEF-Financed Projects*.

¹⁰ Explanation of rating scale is attached in annexes (in the section Progress Towards Results Rating Scale).

¹¹ See Annex 7: Progress Towards Results Matrix).

2021 after internal technical validations by the ministry. The mapping of the medicinal plants' value chains is related to the determination of the most promising species from the refined hotlist. These products are baseline studies and products that will be used to guide the construction of other products (such as the strengthening of the local productive arrangements and the research and development activities).

- *Engagement with non – governmental stakeholders.* The project has engaged with a variety of stakeholders through different activities, first in an inception event and then an initial information meeting to initiate what should have been the Indigenous people and Local communities' Consultative Commission (ILCCC), and then through field site visits (when COVID-19 restrictions were not in place). In the last year and a half (when restrictions for displacements and gatherings were in place), this engagement took place online and virtually. The groups contacted were part of an ample typology of actors, such as: local communities, indigenous groups, technical specialists, researchers, ILCs members, NGOs, and the private sector. These engagements had a number of purposes: in the first place as an outreach to the varied stakeholders that can potentially be part of the Project as well as to generate buy – in from their part and second to collect information to feed the technical studies mentioned above as well as information to generate the mapping exercises indicated below.

- *Mapping exercises.* Several were precise while others were more general. In order to support the gender component in the project, women's groups and female-led community pharmacies were mapped out. Second, a general mapping was carried out of research and technical institutions that can underpin the R&D activities and provide support for the development of the R&D-related components and products. Within this exercise, networks were also identified that can provide synergies and catalytic processes for these activities.

REMAINING BARRIERS TO ACHIEVING THE PROJECT OBJECTIVE

As seen above, and in the Progress Towards Results matrix in annexes, neither the objective nor any of the anticipated outcomes nor outputs have been achieved at the midterm expected levels. The barriers that have hindered achieving the Project's objective and outcomes re varied. There were no conceptual nor design barriers identified. The barriers found are implementational and organisational in nature, which implies that with proper adjustments most of these can be attuned and the Project can be channelled to a positive completion.

- *Political context.* The Phytotherapeutic Project began to be negotiated with one political party in power, was designed with another, and has been under implementation under yet another different political party. Although the broad concepts and general objective cannot be argued at a partisan level, since none of the governments thus far involved in the project can or have opposed the objective conceptually (considering the objective at this level is *to generate multiple national and local co-benefits, arising from the sustainable, accessible*

and innovative use of medicinal plants in Brazilian ecosystems), the political transitions have hindered appropriation at the implementation stage. In addition to this, there have been a number of shifts in staff and political appointees within the Ministry of Environment's structure, which have caused a serious number of delays. The key point persons have changed and decision – making processes that do deeply involve the MMA were deferred. The national government suspended activities vis-à-vis the Project from September 2020 to June 2021 and – therefore—the work plan could not be approved nor could other governance decisions be taken. This in turn has affected the appropriation of the MMA of the Project as a whole. As of June 2021, a new momentum is perceived with further involvement of the political areas of the MMA involved and decisions are advancing albeit at a slow pace still. The technical areas of the Ministry have been involved throughout as possible within the above mentioned political standstill. The political context at implementation was also affected due to a lack of background and context from national government structures regarding working with international institutions. This factor is highly relevant in the context of a direct implementation modality project.

- *Slow set up and start up.* The set-up process and inception were very slow. This was not only due to political factors but also to operational factors. The inception workshop was carried out approximately one year after the Project was signed, for example. And even the dynamics of this inception workshop were not those that are generally part of a tool for implementation, since participating stakeholders wanted to re-negotiate what had already been approved during this event. Many issues that needed to be taken care at set up, such as updating the risk analysis and very importantly setting up an indicator system (with established indicator targets) to properly guide implementation and monitoring were clearly delayed. There is also a bottleneck since baseline and target values need to be established for specific LPAs, but these have not been identified as of yet. Therefore, until these LPAs are not determined, then the values cannot be set. This engenders issues that enormously affect the whole process and structure of the Project since without an LPAs determination there is no baseline, no midpoint nor target can be determined, and if these are not determined the analysis is truncated since there is little possibility to monitor what has been done and what needs to be done to implement. Therefore, it is essential to determine these LPAs.
- *Personnel rotations.* In addition to the political rotations, there have been a number of staff rotations. Many have been associated to low morale due to the lack of advance that the Project experienced until the recent attempts to advance in a joint manner between all parties, due to institutional frictions, as well as the indelible impacts that COVID-19 has had. This has left the project implementation structure weakened and in a dire need for it to be strengthened quite shortly to surpass these issues.
- *Governance structures not active or never convened, or weakened.* In addition to the Project Board that functions as a Steering Committee, there are

two very crucial governance and steering structures that have not been properly activated to promote country driven ownership, inclusion and technical strength. In the first place the ILCCC that assures project implementation effectiveness through the inclusion of indigenous people and local community representatives in project guidance was not properly convened. There was a meeting but this was more of an informational nature. Second, the very key Project Advisory Committee (PAC) has never been fully activated; this multi-stakeholder platform is critical since it needs to assure inter – agency and technical coordination, complementarity of actions, creation of synergies and overseeing that activities truly derive in expected outcomes. Furthermore, even the Project Board has been weakened in participation since in it technical staff from the MMA no longer participate in the meetings. Although technical staff do not have voting power, they customarily accompanied these meetings to provide technical inputs. However, this has changed as of lately.

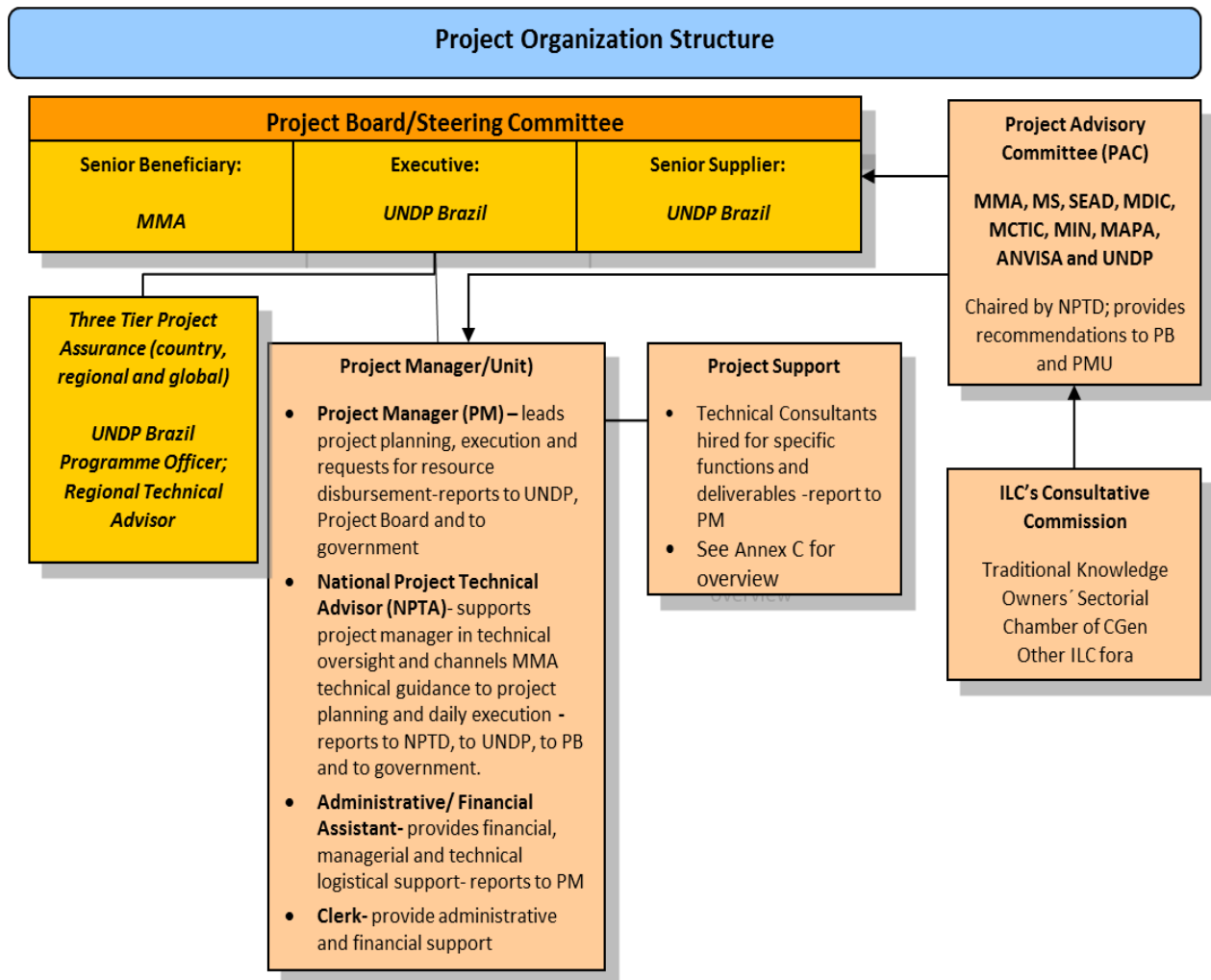
- *COVID-19.* In addition to all of the above, COVID-19 has had a deep-seated negative impact in many aspects. Brazil has been a highly affected country by the pandemic, not only in the mortality and morbidity planes, but also regarding the social and economic impacts that the pandemic have had in the country and in its society. Specifically, the project was affected in operational terms given that travel and gathering were restrained. Due to this there was a migration to online activities. The assimilation of these activities by the indigenous and local communities however has been dissimilar given their few possibilities to engage in these modes due to the large digital gap present with those groups.

PROJECT IMPLEMENTATION AND ADAPTIVE MANAGEMENT

MANAGEMENT ARRANGEMENTS

The management arrangements were openly established at design. The management arrangements agreed upon at project signature indicate that this would be direct implementation modality project. Following is a chart of the managerial organization design. After that there is an analysis of how these key parts of management structure have unfolded.

FIGURE 5: ORGANIZATIONAL STRUCTURE FOR THE PROJECT AT DESIGN



Therefore, the arrangements agreed are as follows, with information on how they have been implemented added:

- UNDP would be the GEF Implementing Agency (IA).
- The Project is implemented within UNDP's Direct Implementation Modality (DIM).

- The Project Management Unit is supposed to consist of a Project Manager, one National Project Technical Advisor (NPTA), one Administrative Financial Assistant, one clerk, and technical consultants responsible for specific deliverables and hired with GEF resources. Although that has been approximately the make – up of the PMU, there has been high rotation of personnel due to the very slow and sluggish pace of implementation, and morale issues associated with lack of results thus far as well as inter-institutional conflicts.
- A Project Board with overall responsibility for making management decisions was also designated as a management structure at design. The Project Board only met twice, on December 2019 and in June 2021. The first meeting (in 2019) was basically the Project’s inception workshop. After a standstill due to the lack of appropriation of the Project by the Ministry of Environment (MMA), and after a rather long period of negotiations (from November 2020 to June 2021), the Project Board finally met June in 2021. At this meeting the Project’s Work Plan was approved. This meeting signalled a pivot in the involvement of the MMA, and it is expected and anticipated that after this a more active participation of the Ministry of Environment can take place and that MMA can assume its leadership roles associated to their position as Senior Beneficiary and be proactive within the scope of the Project.
- The Project Advisory Committee (PAC) has never been fully activated. Given the multiple issues that the project deals with this is a crucial matter. The project not only deals with biodiversity and conservation, it also deals with health, agriculture, science and other key matters. For this, a multi-stakeholder and multi-agency PAC was specified in order to integrate institutions such as the Ministry of Health, Special Secretary of Familiar Agriculture and Agrarian Development, Ministry of Development, Industry and Commerce, Ministry of Science, Technology, Innovation and Communication, Ministry of National Integration, Ministry of Agriculture, Livestock and Food Supply, National Health Surveillance Agency (ANVISA) in the fabric of the project. The PAC was supposed to be constituted at inception. The delays have been associated to administration changes, COVID-19 related restrictions, as well as inter institutional conflicts. However, it should be stressed that the role of this Committee is critical to assure inter – agency coordination, technical coordination, complementarity of actions, creation of synergies and overseeing that activities truly derive in expected outcomes.
- The design also contemplated an active ILC Consultative Commission in order to ensure project implementation effectiveness through the inclusion of indigenous people and local community representatives in project guidance. The role of the ILCCC was defined as the provision of inputs for the implementation of activities and ensure alignment of the Project with other relevant policies (industrial, social, conservation, educations) concerning ILCs and relevant to phytotherapeutic value chains. Although at very beginning of the implementation process (early 2019) a meeting with this ILCCC was organised, this was more of an

informational meeting. The ILCCC has not been convened since then. The issue with this is twofold: first the governance structure associated to the main stakeholders is not there; second this lack of inclusion can also cause fatigue from stakeholders that are convened sporadically and then no continuity is perceived. Both of these can hinder further appropriation by the main stakeholders and even resistance to participate in the near future.

- Although the beneficiary LPAs were not selected, and the baseline could not be determined, during this reporting period, the Project Team carried out activities to engage the ILC groups in the targeted biomes of the Project.
- A Webinar and meetings with the Management Council of Biodiversity Hubs were held between July and August 2020. The main objectives of these activities were to identify the actions in the Biodiversity Hubs, especially ILC groups' experiences, and the main challenges in strengthening the medicinal plants and phytotherapeutic value chains.

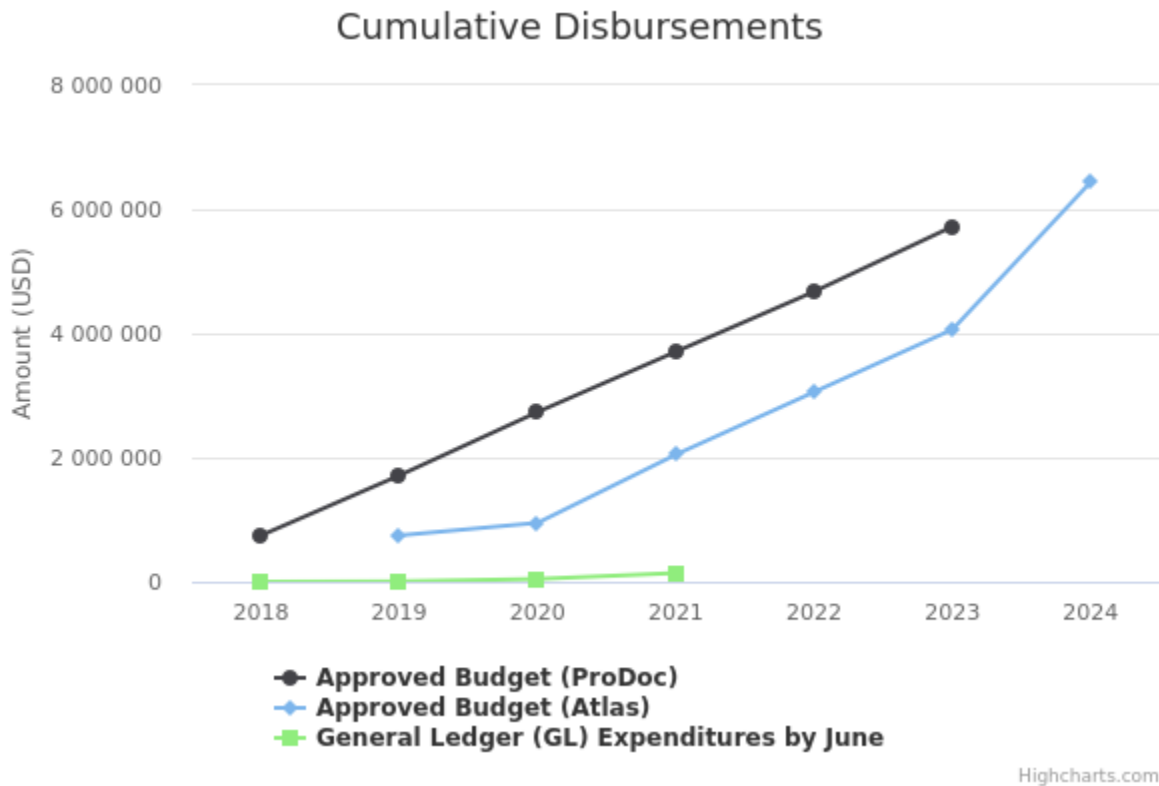
WORK PLANNING

As indicated before, the Project has had large delays in project start-up, which are related to some degree to work planning. The inception workshop was delayed for a year and its functions were not understood by the partners who participated. However, the greater impact upon work planning has been the standstill that the Project has had for the last several years. Since the Project Board was not truly operational, Annual Work Plans and other similar tools could not be approved and therefore could not be implemented as a plan.

FINANCE AND CO-FINANCE

Below is information and graphs from the PIR 2021, which covers financing and disbursements until June 30th 2021. The graph also shows the disparity between planned and actual cumulative disbursement, which can be indicative for future financial planning.

FIGURE 6: CUMULATIVE DISBURSEMENTS TO JUNE 30 2021



Cumulative GL delivery against total approved amount (in Project Document):	2.44%
Cumulative GL delivery against expected delivery as of this year:	3.77%
Cumulative disbursement as of 30 June:	139,838

A few months before this review process began place, the Project reports delivery against the total general ledger of total approved amount of GEF financing of only 2.44 % and only 3.77 percent of what was expected for the period July 2020 – June 2021. As the intervention is at midpoint (i. e. with all things considered it should have had an approximate financial delivery of 50 %) the discrepancy between planned and actual financial delivery is very large. Evidently, this is also an indicator that the Project –to date—has not delivered outputs and activities even nearly at the expected pace. The cumulative disbursement of GEF funds has been 139,838 USD.

The figure below is a summary of the funds and project co-funding committed at CEO endorsement (i.e., planned funding).

FIGURE 7: PLANNED FUNDING AND CO FUNDING (IN US DOLLARS)

FINANCING PLAN	
GEF Trust Fund	USD 5,722,770
UNDP TRAC resources	
Other Cash co-financing administered by UNDP	
(1) Total Budget administered by UNDP	USD 5,722,770
PARALLEL CO-FINANCING	
Ministry of Environment (MMA)	USD 5,277,482
Ministry of Agriculture, Livestock and Food Supply (MAPA)	USD 16,727,195
Ministry of Health (MS)	USD 5,000,000
Ministry of Science, Technology Innovation and Communications (MCTIC)	USD 350,000
Secretariat for Agricultural Development (SEAD)	USD 371,517
(2) Total co-financing	USD 27,726,195
(3) Grand-Total Project Financing (1) + (2)	USD 33,448,965

The figure below is actual co – financing at the time of this mid-term review. It reflects reported co-financing from different national government agencies.

FIGURE 8: CO-FINANCING TABLE

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement(US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
National Government	Ministry of Environment (MA)	Grants	5,277,483	211,782	4.01
National Government	Ministry of Agriculture, Livestock and Supply (MAPA)	Grants	12,711,535	251,518	1.98
National Government	Ministry of Agriculture, Livestock and Supply (MAPA)	In Kind	4,015,660	0	0.00
National Government	Ministry of Health	Grants	5,000,000	0	0.00
National Government	Ministry of Science, Technology and Innovation (MCTIC)	Grants	300,000	3,654,187	1218.06
National Government	Ministry of Science, Technology and Innovation (MCTIC)	In Kind	50,000	103,581	207.16
National Government	Special Secretariat of Family Agriculture and Agrarian Development (SEAD)	Grants	371,517	0	0.00
		TOTAL	27,726,195	4,221,069	15,22%

Of the total planned co – financing, only a total of 15 percent of what was committed has been leveraged at the time of the mid-term review. There is a vast variation between committed and actual funds leveraged between the different government agencies. The Ministry of Environment co – financed four percent of what was expected while the Ministry of Agriculture, Livestock and Supply co – financed two percent of expected funds. On the other hand , Ministry of Science, Technology and Innovation reports that it has allocated in grants 1,218 per cent more than it committed.

PROJECT-LEVEL MONITORING AND EVALUATION SYSTEMS

Monitoring at design included standard instruments and tools which are characteristic for monitoring and evaluation of UNDP-implemented / GEF-funded projects. In the monitoring and evaluation strategy drawn in the Project Document the following are the types of monitoring and evaluation activities that should take place within the Project’s implementation time frame:

- Inception Workshop and Report
- Measurement of Means of Verification of project results.
- Measurement of Means of Verification for Project Progress on output and implementation
- APR (annual project report)/PIR (project implementation report)
- Periodic status/ progress reports
- Mid-term Review
- Terminal Evaluation
- Project Terminal Report
- Audit
- Visits to field sites.

Therefore, design at entry for monitoring and evaluation is the standard for the Project’s specific context. Monitoring and evaluation is imbedded, furthermore, as Outcome 4 (Knowledge management, *monitoring and evaluation* carried out to disseminate information on ABS-compliant and environmentally sustainable phytotherapeutic value chains and to promote upscaling).

Yet the implementation of the M&E framework has varied to some degree from what was planned. The inception workshop was held a year after project start. However, it was not truly understood by parties involved what an inception workshop’s functions are and its potential inputs to support the project-level monitoring and evaluation system as planned were weakened. As indicated in the section on design, the intervention still lacks a robust set of values for the indicators (baseline, midpoint, end). This is partly due to the enormous delay that implementation has had, but also because this was not done at the inception stage as planned. The Project has had two Project Implementation Reports, one for 2020 and a second one for 2021. Visits to field sites have been carried out extensively. Evidently this was done before the restrictions enforced with regard to the COVID-19 pandemic. After the restrictions, attempts

were made to engage with the field via online and virtual formats. However, the large digital gap affecting local communities and indigenous groups has made it difficult to reach them and purposefully engage with those actors.

STAKEHOLDER ENGAGEMENT

As seen in the section on design, at the Project formulation stage there was strong, multi stakeholder involvement planned. The level of involvement then was from a diverse set of institutions and stakeholders since different agencies in national governments, local and indigenous communities, academic institutions, civil society organizations, and the private sector are to be included in the Project in different capacities.

Stakeholder engagement that was to take place through governance structures has not taken place as planned. And although the project has at times tried to engage with different stakeholders outside government, it is indicated that these actors are not fully aware of what the project intends to do since it is a general conception across the board that this project has not started yet. This runs against original expectations as to what the Project was supposed to achieve through the involvement of key actors. As indicated before, there has been a meeting with ILCs, and although this was labelled as a committee meeting it was more of an informational nature. Approaching ILCs without full backing for project implementation can be a risk, given that expectations are generated for these groups that have not been fulfilled. Approaching ILCs without full backing of potential implementation can engender mistrust and eventually the unwillingness to engage.

In the last few months mapping exercises have taken place that can be used to generate an updated typology of actors, in particular this exercise identified a number of institutions that can conceivably take part in research and development activities and processes. This can aid in meaningful engagement and to accelerate future activities.

REPORTING

Reporting for the Project (as stated in other relevant sections of this report) is done following and fulfilling UNDP and GEF reporting requirements. This includes reporting as indicated in the monitoring plan and other reporting requirements (including PIRs, etc.). The PIRs, for example, to a great degree convey what activities and process have taken place as part of the implementation process, yet due to the delay in implementation there is not a great deal to report in this sense. PIRs are candid in their scoring and evidence is uploaded when it exists.

SUSTAINABILITY

Mid-term reviews, when dealing with sustainability, assess the likelihood of sustainability of outcomes at project termination. Sustainability is normally considered to be the prospect of continued benefits after the Project ends. Consequently, the assessment of sustainability considers the risks that are likely to affect the continuation of project outcomes. Guidelines for GEF-funded / UNDP-implemented project evaluations and reviews establish four areas for considering risks to sustainability: financial, socioeconomic, institutional framework, and

environmental. That is, at midpoint, evaluations attempt to recognise early identification of risks to sustainability.

Since to date no outcomes nor many outputs have been achieved at the expected levels, it is impossible for this midterm review to give a complete analysis since the sustainability risk factors for something that is not achieved cannot be wholly determined, yet the analysis of the different elements of sustainability, risks and their likelihood are indicated in this section.¹² Therefore, what is presented here, besides the above, are more general analyses with an outlook to what the Project and its partners should be aware of to achieve sustainability of results. Below are assessments of risks to sustainability divided by each of the components.

FINANCIAL RISKS TO SUSTAINABILITY

Regarding financial issues, an evaluation ascertains if there are financial risks that may jeopardize the sustainability of project outcomes as well as the likelihood of financial and economic resources not being available once granted assistance ends. In the case of the Phytotherapeutic Project, it is at this point impossible to determine whether public funds will be available after closure. However, the positive aspect is that the value chain promotion process is a tool that has the potential to generate ongoing income generation that can provide financial support and clear incentives for the use of phytotherapeutic products in Brazil. Therefore, there is likelihood that funds will be available for continued research and development and continued growth and expansion of phytotherapeutic products (particularly from the private sector) after the project close if the above matters are taken into account.

SOCIO-ECONOMIC RISKS TO SUSTAINABILITY

The socio-economic risks to sustainability of the Phytotherapeutic Project would arise mainly if the level of stakeholder ownership is insufficient to allow for the project outcomes/benefits to be sustained. In the forthcoming implementation period, therefore, the main way in which the Project can diminish socio-economic risks is to generate processes that reinforce ownership. This can be done by demonstration (for instance, by demonstrating that the value chain approach generates benefits for the various stakeholders including government and therefore it is in their interest that these be maintained over time), by engendering public awareness of the benefits of the project, and overall transmit these aspects to all stakeholders in a clear manner. Therefore, with these factors in mind, there is less risk (i.e. less likelihood) that there won't be socio-political buy-in to continue to work toward the project's objective after the project closes.

INSTITUTIONAL FRAMEWORK AND GOVERNANCE RISKS TO SUSTAINABILITY

The Phytotherapeutic Project has a powerful instrument that can reduce governance risks to sustainability in Outcome 3: *Simplified and ABS-compliant regulations mainstreamed in the national public health system to increase the demand for, and broaden access to, herbal medicinal products based on native plants*. The two potential outputs for this outcome would greatly support putting in place frameworks, policies, governance structures and processes that will create mechanisms to institutionally enhance governance after the project's closure. The two

¹² Given these matters no grading on the likelihood of achievement can be done at this point.

planned outputs deal with drafting regulations for simplifying procedures for production, manufacturing, commercialization, registration and licensing of traditional HMPs and for increasing the inclusion in phytotherapeutic products in RENAME (Relação Nacional de Medicamentos Essenciais), which is the national list of essential medicines. Evidently the project can generate the outputs, it is up to the State to uptake and implement these policies, but the drive that these institutional and governance instruments can have should be underlined in the upcoming implementation processes of the Project. There is less risk, and increased likelihood of sustainability, if the regulations for simplifying procedures for production, manufacturing, commercialization, registration and licensing of traditional HMPs will be developed within the project's framework and approved by the government.

ENVIRONMENTAL RISKS TO SUSTAINABILITY

Regarding environmental risks to sustainability, these are quite present, especially and evidently threats that relate to biodiversity in Brazil in general and specifically those associated with deforestation and habitat loss. Deforestation has increased in the country regrettably, and it is currently at its highest levels since 2006.

LESSONS LEARNED

Lessons learned represent knowledge generated by reflecting on the actual results of a project until the time of this review and on the experience that has the potential to improve future programming and actions. The Project gives rise to and motivates a series of lessons learned such as those extended below.

- Complex projects implemented in dynamic and changing situations should anchor their implementation process in multi-stakeholder platforms, including key governance mechanisms, in order to provide continuity in fluctuating national situations. These should include in decision – making instances the direct beneficiaries, such as local communities and diverse social groups as well as other key non – state actors (acknowledging at the same time their capacity) since their participation guarantees continuity beyond whatever ideological shifts a country may be experiencing.
- Risk analysis should be thorough and candid and take place throughout the different stages of a project. Risks should be adequately and openly valued, and a mitigation strategy drawn at the planning stages. As soon as a risk is flagged, mitigation and containment measures need to begin to be applied.
- Preparation and inception processes should not be underestimated since they provide the needed support for adjusting design if need be, lay the key groundwork for implementation, and accrue efficiency and effectiveness as soon as project begins.
- Design components should be fully developed in the design stage. Leaving important components out of this stage, such as a project's indicator system that should include baseline, midpoint and target values, is only detrimental and slows down / hinders the implementation processes.

5. CONCLUSIONS AND RECOMMENDATIONS

CONCLUSIONS

The *Sustainable, Accessible and Innovative Use Of Biodiversity Resources And Associated Traditional Knowledge In Promising Phytotherapeutic Value Chains In Brazil Project* has as its primary overall objective to enhance global biodiversity benefits, as well as multiple national and local co-benefits, arising from the sustainable, accessible, and innovative use of medicinal plants in Brazilian ecosystems. It aims to do so by strengthening promising phytotherapeutic value chains, based on indigenous and local communities' traditional knowledge, in compliance with the applicable ABS regime, and while adhering to ecological sustainability criteria.

The design of the Project has been quite appropriate conceptually. It includes the multiple issues and aims to involve the multiple stakeholders that should take part in a project that deals with such a complex issue with an innovative perspective. The design lays the basis for a project with high potential that includes research and development, benefit sharing for local and indigenous communities, biodiversity conservation and sustainable use, as well as market access within a value chain framework.

The Project has encountered a great deal of setbacks that have hindered practically all delivery up to the point of this midterm review. Cumulative delivery to June 2021 has only been 2.44 % of total approved financing. The operational setbacks have been mainly due to the rapidly changing political context that Brazil has experienced throughout the last few years. Therefore, these changes have had, explicitly and tacitly, a great deal of impact upon implementation, upon ownership, and of course upon delivery. The set – up and inception of the Project were slow. The inception events and inception period and in many ways were missed opportunities for some of the partners to appropriate themselves of the Project. There has been ultimately a standstill until mid-2021, which has not only hindered implementation per se but also the set-up of governance structures that can impel execution and the attainment of products that can lead to desired outcomes.

After an overdrawn standstill, as of mid – 2021 some indications of a virtual “re-start” are taking place. The Project Board is operational once again and some processes have been approved to channel implementation. Over the last few months there have been a number of technical papers developed and mapping of actors and stakeholders that can aid in swiftly implementing the processes and products that need to be achieved in order to have effects and outcomes. This renewed impetus signals the possibility that the Phytotherapeutic Project may indeed start to generate needed processes.

As several stakeholders have indicated, the Project is just starting. The remaining operational period for the Project can be critical in several ways, not only in generating products but to impel outcomes and long-lasting policies and plans to achieve objective. The following is a set of recommendations that could enhance and enrich the implementation process.

RECOMMENDATIONS

Recommendations presented here reflect suggested corrective actions for the implementation of the Project, proposals for future directions underlining main objectives as well as actions to follow up or reinforce initial benefits from the Project. The first recommendation are linked to an extension request while the others are more general recommendations for the Project's remaining implementation period.

- 1 Request an ample no -cost extension considering the impact of COVID-19 and delays caused by recurring political shifts. It is important for the Project to make a strong argument as to the on the ground and general impact that the pandemic has had upon project implementation in order to support this request. This request should be started as soon as the GEF implementing agency (i.e. UNDP) requires this to be done formally and should be based on grounded information and consolidating reasons why this should take place. Should an extension request be presented, it is the consideration of this review that it should be granted given the implementation delays that the Project experienced. To assure that this extension is operated properly, this request should be seen as an opportunity for the Project (including all relevant stakeholders and partners) to bring up to date and clear-out several implementing, planning and programming issues that have hindered successful implementation processes to date.
- 2 Understanding that requests are not automatically granted, not even with the COVID-19 context in Brazil and its hindrance upon implementation, the project should carry – out and speed – up work planning and delivery in order to make up for lost time, and have this as a contingency should the extension not be granted. For this, it is suggested that the Project should adjusting as necessary to be effective in implementation and move the implementation forward at a faster pace. In order to move delivery forward at a quick pace, consider bundling contracting and creating procurement packages in order to avoid a slow piecemeal approach.
- 3 The Project should quickly lay the ground work and generate preparatory materials (including but not only terms of reference) to diagnostic work and products (preliminary or those included in the expected results framework). The Project needs to determine this quickly, yet some suggestions –*inter alia*-- include:
 - advancing and updating list of targeted native species;
 - strategic studies to guide the type of research and development efforts that need to be implemented;
 - determination of LPAs;
 - value chain analysis/business plans with a clear incentives plan;
 - baseline studies for working with ILCs through benefit sharing and legal support;

- stakeholder mapping in all areas of interest (ILCs, private sector, research and development, policy actors at different levels);
 - planning for the generation of knowledge products (KM) in order to develop them as soon as knowledge is generated;
 - develop legal and normative studies, reviewing current legal system, and laying the groundwork for the development, approval and implementation of norms that to facilitate all aspects of phytotherapeutic value chains (including manufacture, commercialization, registry and notification.
- 4 Design a robust indicator system with strong metrics. Generate the missing indicator values that make up the log frame (indicator values for baselines, for midpoint, and targets). These should be understood as an indicator system that aids in implementation, monitoring etc. Indicators should be SMART, results-oriented, and gender-disaggregated.
- 5 Strengthen project management team, incorporating key personnel in order to fully support implementation. Generate and follow through with efficient procurement processes speeding up the so that all needed posts are filled quickly in order to impel and accelerate implementation. This should include, as needed and as pertinent the following staff and consultants, in order to not only strengthen management system, but also :
- management personnel;
 - administrative personnel;
 - technical personnel;
 - consultants in:
 - specific technical (R&D) areas that are not covered by technical staff;
 - stakeholder engagement specialists;
 - social development experts;
 - legal and normative technical support;
 - knowledge management and communications.
- 6 Generate a clear schedule for the time-bound action (roadmap) regarding the activities that the Project intends to implement in relation to objectives and results-based management (in the remaining period of implementation). This should be developed with the following underlying premises:
- keeping and making sure that the agreed activities, consultancies, products, etc., are constructed within the already agreed time frame;
 - a clear schedule for the time-bound action regarding the activities that the Project intends to implement has to be done in relation to objectives and results-based management, not only with the generation of products in mind;

- decisions taken by the governance system need to be tracked in order to verify their correct implementation in a timely manner;
 - road map should orchestrate also the concatenation of products and processes, given that they are clearly linked and that some products feed into other products quite closely. Without this connection and follow up if one task is delayed or fails, the other closely connected ones also fail.
- 7 Understanding that other actors have advanced in some areas that the Project should have progressed, generating products and processes that were planned to take place within the Phytotherapeutic Project, then these should be streamlined or cancelled, thereby avoiding needless duplication of efforts. For this, the activation of multi – stakeholder platforms that should come from governance structures (planned but never implemented) will be essential. But this is not only to be achieved through governance, project should map out what other
- 8 Convene governance structures (both Indigenous and Local Communities Consultative Commission as well as Project Advisory Committee) to impel their role in overall multi-stakeholder guidance for project implementation while at the same time generating buy-in, through:
 - The governance system and decision-making processes should be consolidated and underpinned within the Project;
 - It should be used to maintain interest and buy – in by the many stakeholders that are aligned in this process.
 - In particular regarding ILCCC, verify that the communities and groups convened are not led by false expectations and that their inputs are taken as valid and constant.
 - Improve the functioning of the Project Board by reincorporating technical personnel in their deliberation. It is understood that technical personnel do not have voting powers in the Project Board, but their inputs can only benefit the functioning of the board as a decision making occurrence.
 - Use or develop clear guidance on how these processes and decision making governance structures need to function (adopting manuals of procedures if those are not already been adopted as indicated in planning).
- 9 Generate different process and events such as meetings –ad hoc, formal, informal, etc. These dialogues and information sharing process should aim at generating appropriation of the Project at several different levels and engender ownership for future processes of implementation. with several expectations, among them the following:
 - first to inform relevant parties of the Project’s reactivation
 - create, promote as well as generate synergies between the different stakeholders, avoiding duplication and efforts,

- link with other potential partners that can help the Project move forward (such as sub national governments, other private sector actors, etc.)
 - promoting information sharing and dialogue.
- 10 Generate events or processes where government – level articulation is maintained and/or generated and supported by UNDP as the implementing partner. With the understanding that this is not a project that only deals with environment but it also deals with other key areas of the State (health and agriculture primarily) these processes need to be multi – stakeholders platforms that engage all agencies with government, properly reflecting the different value-added of each agency in dealing with the issues that the project attempts to confront.
- 11 Seek, through GEF and UNDP’s networks, exchanges and/or collaboration with other similar interventions in other countries or regions that promote phytotherapeutic and herbal medicine, particularly those that work with indigenous and local communities, in order to learn from each other.



6. ANNEXES

ANNEX 1 MTR ToR (EXCLUDING ToR ANNEXES)

RC 35367

Midterm Review Terms of Reference

BASIC CONTRACT INFORMATION

Location: Brazil

Type of Contract: Individual Contract

Post Level: International Consultant

Languages Required: Portuguese and English.

Duration of Initial Contract: 9 weeks

Expected Duration of Assignment: 47 working days.

BACKGROUND

A. Project Title

Sustainable, accessible and innovative use of biodiversity and associated traditional knowledge in promising phytotherapeutic value chains in Brazil (Phytotherapeutic)

B. Project Description

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled Sustainable, accessible and innovative use of biodiversity and associated traditional knowledge in promising phytotherapeutic value chains in Brazil (PIMS5792) implemented through the UNDP and the Ministry of Environment, which is to be undertaken in 2021. The project started on December 7th, 2018 and is in its third year of implementation. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*¹³.

The project was designed to: enhance global biodiversity benefits, as well as multiple national and local co-benefits, arising from the sustainable, accessible, and innovative use of medicinal plants in four Brazilian targeted biomes: Amazon, Caatinga, Cerrado, and the Atlantic Forest. It will do so by strengthening promising phytotherapeutic value chains, based on indigenous and local communities' traditional knowledge, in compliance with the applicable ABS regime, and while adhering to ecological sustainability criteria. The project is being implemented through the following four Outcomes: 1) Sustainable phytotherapeutic value chains established in indigenous and local communities (ILCs) within Local Productive Arrangements (LPAs);

¹³ Available at: <http://web.undp.org/evaluation/guidance.shtml#gef>.

-
- 2) Public and private R&D for the development of native Brazilian herbal medicinal products accelerated through strategic support for more equitable partnerships, ensuring the full engagement of ILCs and ABS compliance;
 - 3) Simplified and ABS-compliant regulations mainstreamed in the national public health system to increase the demand for, and provide broader access to, herbal medicinal products based on native plants; and
 - 4) Knowledge management, monitoring, and evaluation carried out to disseminate information on ABS-compliant and environmentally sustainable phytotherapeutic value chains and to promote upscaling.

The Phytotherapeutic Project was designed to be implemented over a six-year period, from December 2018 to December 2024. The Project has a budget of US\$ 5,722,770 (five million, seven hundred and twenty two thousand, seven hundred and seventy American dollars), financed by GEF. Another US\$ 27,726,195 (twenty-seven million, seven hundred and twenty-six thousand, one hundred and ninety-five American dollars) is provided as co-financing by the national Government, which are not included in this budget and are reported by the MMA to the GEF, through reports.

The Project's governance arrangement includes 1) Project Board, composed of UNDP, the Brazilian Agency for Cooperation (ABC), and MMA; 2) Advisory Committee, composed of: MMA, Ministry of Health (MS), Ministry of Regional Development (MDR), Ministry of Agriculture, Livestock and Food Supply (MAPA), Special Secretary of Familiar Agriculture and Agrarian Development (SEAD), Ministry of Science, Technology, Innovation and Communication (MCTIC), Ministry of Development, Industry and Commerce (MDIC), National Health Surveillance Agency (ANVISA) and UNDP; and 3) ILC's Consultative Commission, composed of representatives from ILC organizations of Traditional Knowledge Owners Sectorial Chamber of the Genetic Heritage Management Council (CGen) and other ILC fora relevant for the project.

The Phytotherapeutic Project foresees to undertake capacity development and intense field activities targeting traditional and rural communities. During 2020, there were difficulties in contacting ILC members because they were following protection measures related to the Covid-19 pandemic and had restricted internet access. Since March 2020, travel and in-person meetings were suspended, considering the social and sanitary vulnerability of the Project's targeted audience and restrictive measures adopted to contain the disease's outbreak. In this sense, the Project Team has conducted remote meetings and consultations with strategic stakeholders. Although the difficulties of internet access have hampered the accomplishment of the planned activities in the expected time, the remote consultations achieved positive results regarding the engagement of stakeholders and the information gathered.

In terms of the overall national Covid-19 situation, Brazil is currently one of the world's epicenters, having recently reached 540,000 deaths with a high contamination rate. Vaccination is proceeding at a slow pace, and this means that the Project does not foresee field activities until at least the end of the year.

C. MTR Purpose

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability and the project's preparation of a strategy for when UNDP-GEF project support ends.

The results of the MTR Report, including the analysis of the indicators and lessons learned, will serve the implementing partner (MMA/Government) and UNDP for the elaboration of adaptive management measures in order to achieve its envisaged results. Considering that 2021 is the Project's third year of implementation, we are aligned with the Commissioning Unit's evaluation plan.

The scope and objectives of the MRT must include aspects such as COVID-19 pandemic related challenges, delays and impacts, and the changes in government political and economic guidelines that have been affecting the implementation of the project during its lifetime.

DUTIES AND RESPONSIBILITIES

D. MTR Approach & Methodology

The MTR report must provide evidence-based information that is credible, reliable, and useful. The MTR consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure (SESP)), the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR consultant will review the baseline GEF focal area (Biodiversity) Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins. The MTR consultant is expected to follow a collaborative and participatory approach¹⁴ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

The engagement of stakeholders is vital to a successful MTR.¹⁵ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, Project Advisory Committee, ILC's Consultative Commission, project stakeholders, academia, local government and CSOs, etc.

¹⁴ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

¹⁵ For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. As external field missions are suspended in the Project, the MTR consultant should develop a methodology that takes into account the conduct of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys, and evaluation questionnaires. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit.

As the MTR is to be entirely carried out virtually, consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the

internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final MTR report.

Since field mission is not possible, remote interviews may be undertaken through telephone or online (Skype, Zoom, WhatsApp, etc.). No stakeholders, consultants, or UNDP staff should be put in harm's way and safety is the key priority.

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

The final methodological approach including remote interview schedule and data to be used in the MTR should be clearly outlined in the Inception Report and be fully discussed and agreed upon between UNDP, stakeholders, and the MTR consultant.

The final MTR report must describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths, and weaknesses about the methods and approach of the review.

E. Detailed Scope of the MTR

The MTR consultant will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

1. Project Strategy

Project Design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
 - Were relevant gender issues (e.g. the impact of the project on gender equality in the program country, involvement of women’s groups, engaging women in project activities) raised in the Project Document?
- If there are major areas of concern, recommend areas for

Results Framework/Logframe:

- Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Timebound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex disaggregated indicators and indicators that capture development benefits.

2. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; color code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as “not on target to be achieved” (red).

- Compare and analyze the GEF Tracking Tool/Core Indicators at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

3. Project Implementation and Adaptive Management

Management Arrangements

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

Work Planning

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved, including COVID-19 pandemic-related challenges and delays.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since the project start.

Finance and co-finance

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.

- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out by the Commissioning Unit and project team, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Sources of Cofinancing	Name of Cofinancer	Type of Cofinancing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at the stage of Midterm Review (US\$)	Actual % of Expected Amount
		TOTAL			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes co-financing amounts by source as ‘investment mobilized’ or ‘recurrent expenditures’. (This template will be annexed as a separate file.

Project-level monitoring and evaluation systems

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

Stakeholder Engagement

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to

have an active role in project decision-making that supports efficient and effective project implementation?

- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards the achievement of project objectives?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women’s participation in the project, including Covid-19 pandemic-related constraints. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project’s most current SESP, and those risks’ ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
 - The project’s overall safeguards risk categorization.
 - The identified types of risks¹⁶ (in the SESP).
 - The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project’s social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project’s design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP’s safeguards policy that was in effect at the time of the project’s approval.

Reporting

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfill GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners, and internalized by partners.

Communications & Knowledge Management

¹⁶ Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF’s “types of risks and potential impacts”: Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?

- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)

- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

4. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs, and the ATLAS Risk Register are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.

- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income-generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize the sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures, and processes pose risks that may jeopardize the sustenance of project benefits? While assessing this parameter, also

consider if the required systems/ mechanisms for accountability, transparency and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize the sustenance of project outcomes?

Conclusions & Recommendations

The MTR consultant/team will include a section in the MTR report for evidence-based **conclusions**, in light of the findings.

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. The MTR consultant/team should make no more than 15 recommendations total.

Ratings

The MTR consultant will include its ratings of the project’s results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See the TOR Annexes for the Rating Table and rating scales.

F. Expected Outputs and Deliverables

The MTR consultant shall prepare and submit:

#	Deliverable	Description	Responsibilities	Expected due date
1	MTR Inception Report	MTR consultant clarifies objectives and methods of Midterm Review	MTR consultant submits to the Commissioning Unit and project management	October 5 th , 2021.
2	Presentation	Initial Findings	MTR Consultant presents to project management and the Commissioning Unit at the end of MTR mission (virtual/remote meetings and interviews)	October 21 st , 2021.
3	Draft Final Report	Full report (using guidelines on the content outlined in Annex B) with annexes	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP	November 1 st , 2021.

4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Sent to the Commissioning Unit	November 23 rd , 2021.
---	----------------------	--	--------------------------------	-----------------------------------

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

G. Institutional Arrangements

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is Country Office in Brazil.

The Commissioning Unit and the Project Team will provide support to the operationalization of virtual/remote meetings and will provide the MRT consultant with an updated list of interested parties with contact details (phone and email), in addition to providing all online documentation for the MRT consultant.

H. Duration of the Work

The total duration of the MTR will be approximately *47 working days* over a period of *9 weeks* starting *September 20th, 2021*, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- *(August 15th, 2021):* Application closes
- *(September 17th, 2021):* Selection of MTR consultant
- *(September 20th, 2021):* Prep the MTR consultant (handover of project documents)
- *(September 30th, 2021):* Document review and preparing MTR Inception Report
- *(October 4th, 2021):* Finalization and Validation of MTR Inception Report- latest start of MTR mission
- *(October 5th, 2021 to October 18th, 2021):* MTR mission: stakeholder virtual meetings and interviews
- *(October 21st, 2021):* Mission wrap-up virtual meeting & presentation of initial findings- earliest end of MTR mission
- *(November 1st, 2021):* Preparation of MRT draft report
- *(November 1st, 2021):* Circulation of MRT draft report for comments
- *(November 18th, 2021):* Incorporation of comments on MRT draft report into Audit Trail /Finalization of MTR report
- *November 23rd, 2021):* Circulation of final MRT report and approval •
- *(November 30th, 2021):* Preparation & Issue of Management Response
- *(December 7th, 2021):* *Expected* date of full MTR completion.

The date start of the contract is *September 20th, 2021*.

I. Duty Station

The MTR Consultant will work home-based, with the remote support of the Project's Team, who will provide support in the agendas and interviews with stakeholders.

REQUIRED SKILLS AND EXPERIENCE

J. Qualifications of the Successful Applicants

The international consultant will conduct the MTR with experience and exposure to projects and evaluations in other regions globally. The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with the project's related activities.

The consultant must comply with the following:

Mandatory criteria:

- Minimum 10 years of relevant professional experience in related areas of the TORs;
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s); • Fluency in English with excellent writing skills;
- Fluency in Spanish.

Qualifying criteria:

- Post-Graduate in related areas of the TORs;
- Project evaluation/review experiences within the United Nations system;
- Experience of working on GEF evaluations, preferably with Biodiversity;
- Work experience in evaluations with traditional peoples and communities;
- Experience working in Latin America; • Experience working in Brazil;
- Fluency in Portuguese.

K. Ethics

The MTR consultant will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. The MTR consultant must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR consultant must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge, and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

L. Schedule of Payments

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

Criteria for issuing the final payment of 40%

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

In line with the UNDP’s financial regulations, when determined by the Commissioning Unit and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the MTR, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

APPLICATION PROCESS

M. Presentation of Offer

a) **Letter of Confirmation of Interest and Availability** using the [template](#) provided by UNDP; b) **CV** (use **Personal History Form - P11 form**);

c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)

d) **Financial Proposal** that indicates the total cost of the assignment (in US Dollars), as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

The CV (P11 Form) and the Financial Proposal **must be submitted in separate files**. Noncompliance with this provision will cause the application to be disregarded.

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

The evaluator selected should not have participated in the project preparation and/or implementation and should not have a conflict of interest with project-related activities.

N. Evaluation Procedure

The final criteria for this selection process will be **technical capacity** and **price**.

Individual consultants will be evaluated based on a cumulative analysis taking into consideration the combination of the applicants' qualifications and financial proposal. The award of the contract shall be made to the individual **consultant whose offer has been evaluated and determined as:**

CLASSIFICATION OF TECHNICAL QUALIFICATION (CV)

The maximum score in TECHNICAL QUALIFICATION is 100 points.

Analysis of the CV regarding compliance with the mandatory requirements specified in these Terms of Reference. Candidates who do not meet the minimum mandatory criteria described herein will be disqualified at this stage.

About the Evaluation Committee: The Committee should be composed of at least 3 members who will assign individual evaluation grades. The candidate's final score will be the weighted average of the evaluators' individual scores.

The individual scores will be attributed according to the information presented by the candidate in the CV. Therefore, it is important that the candidate clearly indicates in his/her CV the required professional experience, both in the mandatory and qualifying criteria, so that the Evaluation Committee can make the appropriate analysis.

CRITERIA	SCORE	WEIGHT	SUBTOTAL
Post-Graduate in related areas of the TOR			
Doctorate: 03 points; Master: 02 points; Specialization: 01 points	0 to 3	1	3
Experience			
Project evaluation/review experiences within the United Nations system 05 years or more: 05 points; Less than 05 years: 03 points; Less than 02 years: 01 point	0 to 5	3	15
Experience of working on GEF evaluations, preferably with Biodiversity 01 point per evaluation report	0 to 5	3	15
Work experience in evaluations with traditional peoples and communities 01 point per evaluation work experience	0 to 5	4	20
Experience working in Latin America 04 years or more: 05 points; Less than 04 years: 03 points; Less than 2 years: 01 point	0 to 5	1	5
Experience working in Brazil 02 points per evaluation work experience	0 to 6	2	12
Total			70

Candidates who obtain a minimum score of 40 points in the curriculum analysis (Qualifying Criteria) will be interviewed.

Candidates will be evaluated individually by an examining board. The interview will last a maximum of 30 (thirty) minutes per candidate and will consist of oral questioning on themes and practical situations related to the professional exercise and will deal with technical knowledge covering related contents and specific knowledge contained in the terms of reference.

In the technical-situational evaluation, the following criteria will be considered.

CRITERIA	SCORE	WEIGHT	SUBTOTAL
Interview			
Expertise in project evaluation methodologies and tools	0 to 5	1	5
Knowledge of GEF evaluations objectives, rules, and procedures	0 to 5	2	10
Understanding of issues related to biodiversity, especially in regard to its sustainable use by local/traditional communities	0 to 5	1	5
Analytical and communication skills.	0 to 5	1	5
Fluence in Portuguese.	0 to 5	1	5
Total			30

* The score in the interview will be assessed in accordance to the following: 5 points – Excellent; 4 points – Very good; 3 points – Good; 2 points – Acceptable; 1 point – Inferior; 0 point - Insufficient

CLASSIFICATION OF FINANCIAL PROPOSALS (PRICE) – FINAL

Only the financial proposals (price) of candidates who attain a **final Score of 70 points or higher in the**

TECHNICAL CLASSIFICATION will be taken into consideration.

The Final Score—FS—of the process will be reached by the sum of the **final Technical Score—TS multiplied by a factor of 0.70**, and the **Price Proposal score—PS—multiplied by a factor of 0.30**, i.e.:

$$FS = TS \times 0.70 + PS \times 0.30$$

The **PS** score will be calculated according to the following formula:

$$PS = 100 \times LPP / Ppe$$

Where:

PS = score of the price proposal

LPP = lowest price proposal

Ppe = price proposal under evaluation

The lowest price proposal will score one hundred (100).

The proposal achieving the highest final score will be selected.

ANNEX 2 MTR EVALUATIVE MATRIX (EVALUATION CRITERIA WITH KEY QUESTIONS, INDICATORS, SOURCES OF DATA, AND METHODOLOGY)

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Is the project strategy relevant vis-à-vis country priorities?	Coherence with national policies. Level of coherence between project expected results and project design internal logic	PIF Project Document	Document analysis
Is the project strategy relevant vis-à-vis national partners priorities (UNDP, GEF, etc.)?	Coherence with corporate policies of UNDP and GEF	PIF Project Document	Document analysis
Has the relevance changed at all at the national/local levels since project design?	Coherence with national and local policies	Governmental stakeholders	Interviews
Does the Project Strategy include cross-cutting issues, such as gender, SDGs, poverty alleviation, indigenous people's rights?	Coherence with national and local policies/UNDP – GEF corporate mandates	Governmental stakeholders UNDP/GEF stakeholder	Document analysis
Has the COVID-19 pandemic impacted upon strategy and project relevance?	Changes in national relevance due to pandemic impact.	Governmental stakeholders	Interviews
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far? (by Outcomes)			
What expected outputs have been achieved thus far? To what extent have the expected outcomes and objectives of the project been achieved thus far?	Degree of achievement vis a vis expected outcome indicators	PIR 2020 PIR 2021	Document analyses Interviews
How well has the project involved and empowered communities to implement outputs?	Involvement of beneficiaries in project development and implementation Analysis of participation by stakeholders (communities, civil society, etc.).	Project outputs and outcomes	Interviews

	Effect of project aspects implemented at sites		
<p>Are some outcomes more advanced than others in their implementation? What is causing delays in implementation in particular outputs for the project? Where are the implementation 'bottlenecks'? Are the products being developed according to schedule? How can these issues be solved? What changes need to be implemented?</p>	<p>Discrepancies between expected outputs/outcome by the time of mid-term and actual achievements</p>	<p>Findings in project documents, achievement indicators</p> <p>Minutes of meetings (board, back to the office reports, etc.)</p>	<p>Document analysis (minutes of meetings specially) Stakeholder interviews</p>
<p>Partnerships for implementation</p>	<p>Working relationship between PMU, UNDP, and other strategic partners Board functioning</p>	<p>Findings in project documents (PIRs, minutes of meetings, board meetings)</p> <p>Indications in interviews</p>	<p>Document analysis Stakeholder interviews</p>
<p>Were the relevant representatives from government and civil society involved in project implementation, including as part of the project?</p>	<p>Level of coherence between project design and project implementation approach Role of committees in guidance Harness effectiveness by analysing how project's results were met vis-à-vis intended outcomes or objectives Draw lessons learned/good practices from the implementation and achievement of results</p>	<p>Planning documents.</p>	<p>Document analysis</p>

Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far?

Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far?	Budgetary / financial means to implement outputs products.	Policy documents contain sustainability factors (policy adopted, implemented) Budget arrangements (allocations, etc.) made to sustain project outputs and outcomes	Documentation analysis Stakeholder interviews
To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?	Has the project been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?	Quality of existing information systems in place to identify emerging risks and other issues	Project documents
To what extent has progress been made in the implementation of social and environmental management measures??	Risk analysis in planning documents. Risk management measures in planning documents.	SESP	Project documents
Have there been changes to the overall project risk rating and/or the identified types of risks as outlined at the CEO Endorsement stage?	Risk management measures in planning documents.	SESP Stakeholders	Project documents Interviews
How did institutional arrangements influence the project's achievement of results?	How have institutional arrangements affected the efficiency?	Quality of risk mitigations strategies developed and followed	Interviews with the following: Governments (national, state local), Project team, UNDP
How has the COVID-19 pandemic impacted upon implementation?	Changes implemented in implementation modality due to pandemic. Impact of COVID-19 related restrictions upon implementation.	Government stakeholders UNDP / GEF stakeholders	Interviews Document review

Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Sustainability possibilities	In what way may the benefits from the project are likely to be maintained or increased in the future?	Indicators in project document results framework and log frame	Project documents and reports
Social sustainability factors	Is there sufficient public/stakeholder awareness in support of the project' s long-term objectives?	Evidence that particular partnerships/linkages will be sustained	Interviews. : Government of Brazil, Project team, UNDP
Political/financial sustainability	Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?	Evidence that particular practices will be sustained	Interviews. : Government of Brazil. Government of Sergipe, local governments Project team, UNDP; other actors.
Replicability and upscaling:	Which of the project's aspects deserve to be replicated in future initiatives?	Evidence that particular practices will be sustained, upscaled and replicated in other semiarid states and localities.	Interviews. : Government of Brazil, Local/state Governments, stakeholders, Project team, UNDP

ANNEX 3 RATINGS SCALES

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)

6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)

6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The Project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)

4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the Project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ANNEX 4: LIST OF PERSONS CONSULTED

UNDP	Maria Gabriela Pinto	Programme Associate
UNDP	Alexandra Fischer	Regional Technical Advisor
UNDP	Luana Lopes	Sustainable Development Coordinator/UNDP Program Officer
UNDP	Claudia Sampaio	Technical Advisor
UNDP	Mariana Machado	Technical Advisor
UNDP	Andre Nahur	UNDP
UNDP	Juliana Wenceslau	Planning Officer
MMA	Fabiana Pagani	Deputy Director (Genetic Heritage Department)
MMA	Nilton Reis Batista Jr.	Environmental Analyst (MMA)
MMA	Ana Luísa Arraes Alencar Assis	Environmental Analyst (MMA)
MMA	Ana Carolina Mendes dos Santos	Environmental Analyst (MMA)
MMA	Hetiene Pereira Marques	Project Coordinator (MMA)

ANNEX 5 LIST OF DOCUMENTS REVIEWED

- 2020 - Field Visit 2020-01-09 - Monitoramento
- 2020 - Field Visit 2020-03-09 - Monitoramento
- 2020 - Field Visit 2020-04-08 - Monitoramento
- 2020.07.30 Projeto BRA.18.G31 Field Visit Report - status processos de contratação
- 2020.08.27 Projeto BRA.18.G31 Field Visit Report - plano de trabalho refinamento lista de espécies
- 2020.09.04 Projeto BRA.18.G31 - Memória reunião refinamento da lista de espécies
- 2020.09.08 BRA.18.G31 memória reunião MAPA
- 2020.09.11 BRA.18.G31 memória reunião MS
- 2020.09.14 BRA.18.G31 memória reunião MCTIC
- 2020.09.16 Projeto BRA.18.G31 Field Visit Report - refinamento lista de espécies
- 2020.10.09 Projeto BRA.18.G31 memória reunião lista de espécies Caatinga
- 2020.11.17 BRA.18.G31 memória reunião PNUD DPG MMA
- 2021 - Reunião PNUD e MMA - Secretária Biodiversidade - 02.03.21
- 2021 - Reunião PNUD e MMA - Secretária Biodiversidade - 02.03.21.pdf"
- 2021 - Reunião PNUD e MMA - Secretária Biodiversidade - 22.04.21
- 2021 - Reunião PNUD e MMA - Secretária Biodiversidade - 22.04.21.pdf"
- 2021 - Reunião PNUD e MMA - Secretária Biodiversidade - 27.04.21
- 2021 - Reunião PNUD e MMA - Secretária Biodiversidade - 27.04.21.pdf"
- 2021.04.20 BRA.18.G31 memória reunião PNUD DPG MMA
- 2021.08.11 BRA.18.G31 memória reunião retomada
- Apresentação Projeto BRA18G31 - Cadeias produtivas de fitoterápicos - 16.11.2020
- Apresentação Projeto BRA18G31 - reunião 11.08.2021
- BRA18G31 - Apresentação Secretária Biodiversidade - 27.04.2021
- Briefing reunião com Secretária 22.4.2021 - Fitoterápicos
- Minutes of Tripartite Meeting, 2021.
- Project Document.

- Project Identification Form.
- Project Implementation Report 2020.
- Project Implementation Report 2021.
- Projeto BRA 18_G31 _ Planilha de contratações e ToRs atualizados PJ - Seguimento reunião 17.11
- Projeto BRA18G31 - Cadeias produtivas de fitoterápicos - 26.04.2021
- UNDP GEF. Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects). 2014.
- UNDP. Handbook on Planning, Monitoring and Evaluating for Development Results. 2012.
- www.thegef.org/project/sustainable-accessible-and-innovative-use-biodiversity-resources-and-associated-traditional

ANNEX 6: PROGRESS TOWARDS RESULTS MATRIX

Objective: To enhance global biodiversity benefits, as well as multiple national and local co-benefits, arising from the sustainable, accessible and innovative use of medicinal plants in Brazilian ecosystems, through the strengthening of promising phytotherapeutic value chains, based on indigenous and local communities' traditional knowledge and in compliance with the applicable ABS regime.

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Cumulative progress since project start ¹⁷	Mid term Level & Assessment ¹⁸	Achievement Rating ¹⁹	Justification for Rating
Number of direct project beneficiaries, disaggregated by gender (including beneficiaries of LPAs, of capacity building activities and of R&D activities)	0	Total of: 450, including 300 women and 150 men (400 inhabitants of LPAs + 10 researchers funded + 40 ILC members to be trained)	Total of: 1184, including 770 women and 414 men (This includes 800 inhabitants of LPAs (100 per target LPA, at least 2 LPAs per biome, 4 biomes) + 20 researchers funded + 120 ILC members	As informed in the last PIR, in the second semester of 2020, the Project Team concentrated its efforts on preparing the Terms of Reference (ToRs) and launching the bidding processes as envisaged in the Work Plan for 2020. Eight ToRs related to this indicator were prepared, three of the hiring processes were launched and one was concluded by August 2020. Nevertheless, new changes in the structure of the Ministry of Environment (MMA) caused a new delay in the Project's execution.		U	Project has not achieved any of its expected midterm target level for the objective.

¹⁷ Following indications in the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects, the columns "Baseline Level", "Midterm Target", and "End-of-project Target" and the self-reported cumulative progress since project start are populated with information from the results framework, scorecards, PIRs and the Project Document

¹⁸ Following indications for Mid Term Reviews, the analysis also concludes whether the end-of-project target: a) has already been achieved (colouring table cell green); b) is partially achieved or on target to be achieved by the end of the project (colouring table cell yellow); or c) is at high risk of not being achieved by the end of the project and needs attention (colouring table red). Achievement ratings and justification are added at the outcome level (following indications in *Guidance*: "assign a rating on progress for each outcome"). For further details on this sort of analysis, see *Guidance for Conducting Midterm Reviews Of UNDP-Supported, GEF-Financed Projects*.

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
-----------------	----------------------------------	-----------------------------------

¹⁹ Six - point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU. The rating U for *Unsatisfactory* is classified as "The objective/outcome is expected not to achieve most of its end-of-project targets" Explanation of the full rating scale is attached in annexes.

			<p>to be trained) + 240 medical practitioners (40 per year for 6 years) + 4 municipal staff of secretariats)</p>	<p>A new Director of DPG/MMA was assigned in July 2020; however, it was only possible to arrange a first meeting about the Project in September 2020, due to scheduling difficulties reported by the MMA. This meeting was held by the Sustainable Development Cluster Coordinator – Haroldo Machado. In this opportunity, the MMA indicated their interest in revising the Project in order to align it with the new MMA’s directives. Subsequently, the DPG/MMA formalized by email the request to suspend the Project’s execution, canceling all the ongoing bidding processes. Since then, the Project team made great efforts to work with the DPG/MMA in order to make the necessary adjustments in the Project's implementation strategy, which was not possible due to successive cancellations of meetings. Considering the difficulties faced, the CO senior management held a meeting with the new Secretary of Biodiversity of MMA on November 5, 2020, in order to identify the bottlenecks and to move forward to define the adjustments to be made to the Project. At that time, the Secretary confirmed the MMA’s interest in implementing the Project and informed that the PRODOC would be analyzed, and technical guidelines would be provided to DPG/MMA team to prepare the Project’s Work Plan. At the end of November, the UNDP Project Team held a meeting with the new Director of DPG/MMA to discuss the project’s objectives, its outcomes, the theory of change, and the implementation strategy. Also, the Project Team systematized information on the hiring processes</p>			
--	--	--	--	---	--	--	--

				<p>to support MMA in preparing the Work Plan.</p> <p>In December 2020, the Project Team elaborated a Work Plan proposal consolidating the implementation strategies already discussed with DPG/MMA team, and included alternatives to execute the activities not yet defined, to be validated by MMA. However, in January 2021, the DPG's Director informed that they would need more time to define the Project's Work Plan. In addition, the COVID19 pandemic affected the MMA's technical team. In this sense, the discussion about the work plan could only be resumed in March 2021, when a new meeting was held with the CO senior management.</p> <p>In April 2021, two additional meetings were held with the Secretary of Biodiversity to discuss implementation strategies and to conclude the Work Plan. On that occasion, the Secretary informed that the Project was aligned with the government priorities and that she would validate the Project's Work Plan with the Minister of Environment. After a long period of negotiations (from November 2020 to June 2021), the Project Board Meeting was held on June 24th, 2020, and the Project's Work Plan was finally approved.</p> <p>Although it was not possible to advance with the hiring processes necessary to start the Project's field activities with its beneficiary audiences, the Project Team conducted the activities foreseen under Output 1.1. and advanced in collecting and analyzing the information needed to guide the selection of promising phytotherapeutic chains (Output 1.2) and to support the R&D to develop</p>			
--	--	--	--	---	--	--	--

			<p>phytotherapeutic products with the promising medicinal species (Output 2.1.).</p> <p>The Technical Advisor for Stakeholder Engagement worked to refine the medicinal plants' hotlist as foreseen and to map the medicinal plants' value chains. The MMA closely monitored the work and validated the technical results of the refined medicinal plants' list. The mapping of the value chains report was sent to MMA to be technically validated, which has not happened yet.</p> <p>The refinement of the hotlist is an important step to guide the implementation of the Project's field activities such as the strengthening of the local productive arrangements (LPAs) and the R&D activities.</p> <p>Between August and December 2020, 159 stakeholders were remotely consulted, including specialists, researchers, ILCs members, NGOs, and the private sector to collect information on each native species in the PPG Phase hotlist. The information gathered included: therapeutic use, whether or not used traditionally, available information on toxicology, ecological vulnerability (whether or not endemic, whether or not on any list of threatened species), any existing guidelines for cultivation and harvesting, level of productive organization and market demand from the private sector and the Unified Public Health System (SUS). This survey resulted in a refined hotlist of 39 promising native species to develop herbal medicinal products (please see the Report on the Refinement of the Promising Medicinal Species' and Native Medicinal Plant Data Base attached as evidence). Subsequently, the</p>			
--	--	--	---	--	--	--

				<p>Project Team conducted the mapping of the medicinal plants' value chains regarding the promising species from the refined hotlist. From December 2020 to April 2021, almost 370 remote interviews were conducted with strategic social actors, involving ILCs, the private sector, research centers, NGOs, community pharmacies, and rural extensionists. The information collected about the medicinal plant value chains included: the native species cultivated or extracted; groups of producers or extractives workers and their level of organization; interactions with market players (final consumers, industries in the food, pharmaceutical, cosmetic, and nutraceutical sectors); existence or not of partnerships and network support (rural technical assistance, R&D, local government institutions, etc.)</p> <p>The results are: 86 medicinal plants' value chains mapped out in the four target biomes. In addition, 30 women's groups and female-led community pharmacies were mapped out (please see the Report on the results of medicinal plants' value chain mapping and the medicinal value chain database attached as evidence).</p> <p>The next step is to conduct the economic feasibility analysis of the value chains to identify the most profitable native medicinal species and the most promising value chains for further strengthening of LPAs. The ToRs to hire the consultancy to conduct the economic feasibility analysis of the medicinal plants' value chains were reviewed and sent to MMA to validate it. It is expected to be launched in the second semester of 2021.</p>			
--	--	--	--	---	--	--	--

				<p>The implementation of low value grants to support value chain strengthening in the selected LPAs is expected to begin in the first semester of 2022. Regarding the strategic studies to guide the R&D support envisaged under Output 2.1., the Project Team mapped out the Universities and Research Centers which have experience in medicinal plants, and the ongoing R&D activities to develop herbal medicinal products using the native species from the refined hotlist. Through remote interviewing, the Project mapped out 96 Science and Technology Institutions engaged in R&D activities to develop medicinal products with 33 native medicinal species from the refined hotlist. It is worth noting that the Project mapped out at least 16 new native Brazilian herbal medicinal products with the refined hotlist species in an advanced development stage (see Report on the results of R&D activities mapping and the R&D database attached as evidence). The process to select the Universities and Research Centers which will carry out the R&D activities based on the refined hotlist will be launched in the second semester of 2021. Therefore, with the approval of the Work Plan at the Project Board meeting held on June 24, the hiring processes originally planned will be resumed and adaptive measures are being established.</p> <p>A new task force, composed of the Project Team and members of the DPG/MMA, will be organized to accelerate the implementation of activities. Considering the impacts on the Project timeline caused by the suspension of the bidding processes, and the backlog of activities to be executed in a shorter</p>			
--	--	--	--	--	--	--	--

				<p>period of time, the need to strengthen the Project Team was identified to meet the greater demand for technical support in order to accelerate the hiring processes and the analysis of products. In this sense, new hires may be considered in order to ensure that the Project meets its goals and objectives.</p>		
<p>Area (in hectares) of landscapes under improved management for biodiversity and ecosystem services in the project's LPAs (includes application of ecologically sustainable cultivation and harvesting techniques of medicinal plants as confirmed through agroecological self-certification, as well as consideration of landscape-level criteria such as connectivity and areas of high conservation value, as defined in the best practice guidelines to be produced with project support</p>	0	400,000 hectares	1,200,000 hectares	<p>As previously mentioned, due to changes in the MMA's structure, the bidding processes were suspended until the approval of the Project Work Plan in the Project Board Meeting. In this sense, it was not possible to advance in the selection of the LPAs to be supported by the Project, and consequently to report progress on this indicator. The ToRs to hire the consultancy to elaborate a baseline of the project's indicators in the selected LPAs is expected to be launched in the second semester of 2021. Thus, by the time the implementation of low value grants to strengthen the LPAs starts, the consultant will be already hired. Once the LPAs are selected through a public call, the consultant will measure and monitor this indicator, including recording georeferenced information of the Project's site interventions. The ToRs to hire the consultancy for the development of the best practice guidelines for medicinal plant harvesting and cultivation and the assistance to implement an agroecological self-certification scheme in the LPAs will be launched in the third quarter of 2021. Also, the process to select the organization responsible to provide support for targeted LPAs is expected to be launched in the first semester of 2022.</p>		

Outcome 1: Sustainable phytotherapeutic value chains established in indigenous and local communities (ILCs) within Local Productive Arrangements (LPAs)							
Description of Indicator	Baseline Level	Midterm target level	End of project target level	Cumulative progress since project start	Midterm Level & Assessment	Achievement Rating	Justification for Rating
Level of increase in family incomes and in livelihood security in target LPAs as a result of strengthening of phytotherapeutic value chains	Baseline can only be determined once LPAs are selected through a competitive process at project outset	Target to be determined during project implementation	Target to be determined during project implementation	<p>Due to the suspension of the Project's activities as of the second half of 2020, it was not possible to advance in the definition of the baseline for the indicator.</p> <p>However, with the approval of the Work Plan at the Project Board meeting held on June 24, the Project team and members of the DPG/MMA are already working in a new task force to resume the contracting processes.</p> <p>The consultancy for the economic feasibility analysis is expected to start in August 2021 and will identify the most profitable medicinal species and the most promising value chains, guiding the selection of the LPAs to be supported.</p> <p>The implementation of grant funds to support value chain strengthening in the selected LPAs is expected to begin in the first semester of 2022.</p> <p>The ToRs for the consultancy to provide training in business administration and fund management to the cooperatives/ small organizations in the selected LPAs will be launched in the first semester of 2022.</p> <p>The ToRs to hire the consultant who will measure the Project's socioeconomics indicators are scheduled to be launched in the fourth quarter of 2021.</p> <p>In this sense, when the targeted LPAs are defined, the hired</p>		U	<p>Project has not achieved any of the expected midterm target levels that were set.</p> <p>Some activities have been developed such as a medicinal plant hotlist.</p> <p>Engagement with communities has taken place to the degree possible considering the standstill and COVID-19 related issues (restrictions of travel and displacements, as well as digital gap vis-à-vis local communities and indigenous groups).</p> <p>Although preparation of some outputs have begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level.</p> <p>Some activities are being programmed and Terms of Reference for some products have been agreed upon with GoB. Consultations have taken place and the project has continued to engage with stakeholders.</p>

				consultant will collect the data to determine the baseline for this indicator and the end of the Project target level for this indicator.		
Percentage of total family income derived from sustainable herbal medicinal plant value chains in target LPAs	Baseline to be determined once target LPAs are selected through a competitive process.	NA as too early by project mid-point to measure this indicator.	15% increase in percentage of family income derived from sustainable herbal medicinal plant value chains (TBC once baseline established)	<p>Given that the Project's activities were suspended since the second semester of 2020, it was not possible to select the target LPAs or start the activities to strengthen the phytotherapeutic value chains in the selected LPAs and the baseline was not determined.</p> <p>A key step to achieve the end of project level is the consultancy on the economic feasibility which will indicate the most profitable native medicinal plants and the most promising value chain to guide the selection of the LPAs.</p> <p>The implementation of low value grants to support value chain strengthening in the selected LPAs is expected to begin in the first semester of 2022.</p> <p>The ToRs to hire the consultant who will measure the Project's socioeconomic indicators are expected to be launched in the fourth quarter of 2021. Thus, when the targeted LPAs are defined, the hired consultant will collect the data to determine the baseline for this indicator related to the percentage of total family income derived from sustainable herbal medicinal plant value chains.</p> <p>Moreover, the organization that will provide support to the LPAs, will prepare the business plans and foster links between LPAs and promising markets, as a measure to increase the commercialization of herbal medicinal products and the income of LPAs' members.</p> <p>In addition, it should be noted that during the mapping out of the medicinal plant value chains, the</p>		

				<p>Project Team contacted 24 private pharmaceutical companies which expressed interest in engaging in the activities foreseen in the Project.</p> <p>The Project Team will continuously carry out a dialogue with these market stakeholders in order to share the information on promising phytotherapeutic value chains to stimulate their development and/or strengthening, fostering conditions to increase the families' income in the LPAs.</p>		
Number of ILC community members participating in sustainable phytotherapeutic value chains in target LPAs	Baseline can only be determined once LPAs are selected through a competitive process at project outset	400 (Average number of inhabitants engaged in LPAs per species x 4 biomes)	800 (Average number of inhabitants engaged in LPAs per LPA : 100 x 2 LPAs per biome x 4 biomes = 800 *the project may support 4 LPAs per biome so the final total may be higher than this target	<p>Although the beneficiary LPAs were not selected, and the baseline could not be determined, during this reporting period the Project Team carried out activities to engage the ILC groups in the targeted biomes of the Project. A Webinar and meetings with the Management Council of Biodiversity Hubs were held between July and August 2020. The main objectives of these activities were to identify the actions in the Biodiversity Hubs, especially ILC groups' experiences, and the main challenges in strengthening the medicinal plants and phytotherapeutic value chains. The processes of refinement of the medicinal plant hotlist and the mapping out of medicinal plants' value chains in the targeted biomes engaged a total of 82 ILC associations and cooperatives and 31 Community Pharmacies in the four targeted biomes. The Community pharmacies are related to initiatives that apply traditional knowledge in the preparation and use of herbal medicines and include: green pharmacies (Farmácias Vivas), community laboratories, and female-lead initiatives. The</p>		

				<p>concept of a Green Pharmacy was officially established in Brazil under the name “Farmácia Viva” by the Ministry of Health in 2010 as an official component of the Sistema Único de Saúde (SUS). The name “Farmácia Viva” refers to a model involving cultivation and processing of medicinal plants and the dispensation of herbal drugs and derived phytoterapics. They have a technical team composed of different health professionals to supervise the herbal medicine manipulation processes.</p> <p>Community Laboratories are community phytotherapy initiatives, unrelated to SUS, where home-made herbal medicines such as soaps, shampoos, ointments, tinctures, and syrups are produced. They have a pharmacist to supervise the phytotherapeutic manipulation processes. The herbal medicines are usually donated.</p> <p>Women-led initiatives refer to groups of women with traditional knowledge who are engaged in the cultivation or extraction of medicinal plants, preparation of home-made medicines, sale in local markets or donation to their community’s members. They do not have the technical supervision of a pharmacist.</p> <p>Engaging ILC community members and gathering information on their needs in phytotherapeutic productive chains are key steps to designing the Project’s strategies to strengthen the medicinal plants’ value chains.</p> <p>The implementation of grant funds to support value chain strengthening in the selected LPAs will begin in the first semester of 2022. By this time, it is expected</p>		
--	--	--	--	---	--	--

				that the Indigenous People Plan will be prepared by the Technical Advisor for Stakeholder Engagement in order to ensure that social safeguards are applied in all Project's field interventions in the LPAs.		
Number of additional herbal medicinal products with access to markets as a result of project support	0	NA as too early by project mid-point to measure this indicator.	At least 2	<p>The consultancy to conduct the economic feasibility of the medicinal plants' value chains is scheduled to begin in August 2021 and will guide the selection process of LPAs.</p> <p>The Project's interventions to strengthen the LPAs will start in the first quarter of 2022.</p> <p>In addition, the Project conducted the mapping of R&D activities with the promising medicinal plants in order to guide the selection of the more advanced research for the development of new medicinal products.</p> <p>The implementation of funds to support R&D activities is expected to start in the third quarter of 2021.</p>		

Outcome 2: Public and private R&D for the development of native Brazilian herbal medicinal products accelerated through strategic support for more equitable partnerships, ensuring the full engagement of ILCs and ABS compliance

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Cumulative progress since project start	Mid term Level & Assessment	Achievement Rating	Justification for Rating
<p>Number of R&D activities related to HMPs based on genetic resources and traditional knowledge that are included in the SisGen electronic registry in compliance with national ABS legislation (note that this R&D will be carried out through partnerships between Indigenous and Local Communities and Researchers, with the possible involvement of the private sector as well)</p>	<p>Baseline cannot be determined because Brazil did not have an electronic registry until 2017. Furthermore, while there was a paper registry before this time, R&D activities were not subdivided to be able to separate out the baseline for phytotherapeutic research (so R&D related to food, cosmetics and phytotherapeutic applications were all counted together)</p>	<p>10</p>	<p>At least 40 R&D activities related to HMPs based on genetic resources and on traditional knowledge that are included in the SisGen electronic registry and are compliant with ABS legislation</p>	<p>The Technical Advisor for Stakeholder Engagement worked on the refinement of the medicinal plants hotlist prepared during the PPG phase. Based on interviews and data collection, a list of 39 promising native medicinal species was developed. Moreover, the Project identified 96 universities and research centers carrying out R&D activities related to 33 promising medicinal species (the reports on the Refinement of the medicinal plants' hotlist and mapping of R&D activities were attached as evidence). The selection process to fund research and development activities with the promising medicinal plant species from the refined hotlist in order to accelerate the development of new phytotherapeutic products is scheduled to start in the third quarter of 2021.</p>		<p>U</p>	<p>Project has not achieved any of the expected midterm target levels that were set.</p> <p>Some activities have been developed such as mapping of potential R&D partners. This will link with the work being done on the refinement of the native medicinal species hotlist.</p> <p>Although preparation of some outputs have begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level for this indicator.</p> <p>Some activities are being programmed and Terms of Reference for some products have been agreed upon with GoB. Consultations have taken place and the project has continued to engage with stakeholders. Again, however, these have not had an impact at the outcome level as of yet.</p>

Number of herbal medicinal products developed through R&D of genetic resources and traditional knowledge	0	NA	2	<p>The refinement of the native medicinal species hotlist and the mapping of the Universities and research centers carrying out R&D activities to develop medicinal products with the promising species were concluded. The support to fund R&D to fill in knowledge gaps for promising medicinal plant species and to develop traditional phytotherapeutic and herbal medicines is expected to start in the third quarter of 2021. In addition, the bidding process to hire the consultancy to carry out sessions on ABS and provide legal assistance to ILCs to support the development of ABS-compliant agreements for traditional phytotherapeutic R&D will be launched in the second semester of 2021. Because of the lengthy time it takes to develop herbal medicinal products, the end of the project target level for this indicator will be measured in the second semester of 2024.</p>		
Change in capacity of ILCs to negotiate ABS agreements and protect their traditional knowledge, as measured by (i) Revised UNDP ABS Capacity Development Scorecard applied to beneficiaries of project training; and (ii) number of additional FPIC and/or benefit sharing agreements (ARB) for genetic resources and associated Traditional	(i) Baseline survey to be applied to beneficiaries of training before training sessions (ii) 0	NA 5 additional FPIC and/or benefit sharing agreements (ARB) for genetic resources and associated TK registered on SISGen.	20% increase, based on follow-up application of revised UNDP ABS Capacity Development Scorecard. The scorecard will be applied to beneficiaries of training to strengthen ILC negotiation capacity for ABS R&D agreements	<p>Due to the suspension of the Project's activities as of the second half of 2020, it was not possible to start the training sessions for ILCs on ABS-related legislation and negotiation. The ToRs for the ABS consultancy will be launched in the second semester of 2021. The ABS expert will provide legal advice to formalize FPIC and/or ABS agreements as demanded by ILCs groups. It is worth highlighting that the Project foresees training targeted at women to</p>		

<p>Knowledge (TK) registered on SISGen.</p>			<p>10 additional FPIC and/or ARB for genetic resources and associated TK registered as approved or denied in SISGen.</p>	<p>strengthen their ability to take on leadership roles in such negotiations. In this sense, the Project advanced in mapping out 30 women’s or female-led groups involved in the medicinal plants’ value chains, including Community Pharmacies and Traditional Phytotherapeutic Programs. The ABS training sessions are expected to start in the fourth quarter of 2021.</p>			
---	--	--	--	---	--	--	--

Outcome 3: Simplified and ABS-compliant regulations mainstreamed in the national public health system to increase the demand for, and broaden access to, herbal medicinal products based on native plants

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Cumulative progress since project start	Mid term Level & Assessment	Achievement Rating	Justification for Rating
Draft regulations simplifying procedures for production, manufacturing, commercialization, registration and licensing of traditional HMPs	None. The 2015 ABS law mandates that policy be developed to enable ILCs to register or notify their traditional HMP using simplified procedures, but this has not yet occurred.	N/A	Draft regulation simplifying procedures for ILCs to be able to commercialize their products based on genetic resources and associated traditional knowledge for approval by ANVISA	Considering that the Project's activities were suspended since the second semester of 2020, it was not possible to advance on this indicator. The ToRs to hire the consultancy responsible for carrying out the review of regulations on herbal medicines, collecting contributions from relevant stakeholders and preparing the draft regulation to facilitate the manufacture, commercialization, registry and notification of phytotherapeutic products produced by ILCs is expected to be launched in the second semester of 2021.		U	Project has not achieved any of its expected midterm target level at the outcome level. Although preparation of some outputs have begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level. At the output level draft legislation activities and products have not been generated
Number of native plant species included in RENAME (Relação Nacional de Medicamentos Essenciais- National List of Essential Medicines)	4 native plant species, out of 12 items classified as "phytotherapeutic" in RENAME's 869-item long 2017 edition	N/A	At least 6 native plant species in RENAME's list	The refinement of the native medicinal species hotlist and the mapping of the Universities and research centers carrying out R&D activities to develop medicinal products with the promising native species were concluded (report and data base attached as evidence). Furthermore, the process to support the funding of research in order to scale up the R&D activities will be launched in the second semester of 2021.			

				<p>Besides the National List of Essential Medicines (RENAME) elaborated by the Ministry of Health – MS, there are local/regional Lists of Essential Medicines. In this sense, the Project can also work with the Health Secretaries of States and Municipalities in the target LPAs in order to include native medicinal species in their Lists of Essential Drugs to be prescribed by physicians through the SUS. The Project will map out the States and Municipalities that have already their own Lists of Essential Drugs; support R&D projects to develop new phytotherapeutic products and promote the inclusion of medicinal plants and phytotherapy in health treatments through the SUS. The Project will support the R&D activities to accelerate the development of new phytotherapeutics products. In addition, the Project will work with specific municipalities in each of the four targeted biomes to promote the inclusion of phytotherapeutics in purchases and provide training sessions with medical practitioners and prescribers of the SUS about the uses of different herbal medicinal products in order to upscale the demand for herbal medicines within the SUS.</p>		
--	--	--	--	--	--	--

Outcome 4: Knowledge management, monitoring and evaluation carried out to disseminate information on ABS-compliant and environmentally sustainable phytotherapeutic value chains and to promote upscaling							
Description of Indicator	Baseline Level	Midterm target level	End of project target level	Cumulative progress since project start	Mid-term Level & Assessment	Achievement Rating	Justification for Rating
Level of awareness about environmentally sustainable and ABS compliant phytotherapeutic value chains among municipalities surrounding target LPAs	Survey to be applied to municipalities within the LPAs at outset to determine baseline level of awareness	N/A	25% increase in level of awareness about environmentally sustainable and ABS compliant phytotherapeutic value chains in municipalities surrounding target LPAs	As previously informed, the ToRs for the consultancy to measure and monitor the Project's indicators will be launched in the fourth quarter of 2021. When the project commences the field activities in the selected LPAs (expected for the first quarter of 2022), the baseline level of awareness within LPAs will be determined through this consultancy. The activities to increase the level of awareness about sustainable phytotherapeutics value chains among the target municipalities are expected to start once the LPAs are selected, in the first semester of 2022.		U	Project has not achieved any of its expected midterm target level at the outcome level. Although preparation of some outputs have begun or re begun after suspension of intervention due to GoB request to do this, they have not had an impact as of yet at the outcome level within this outcome The M&E system is being implemented according to schedule, but it has issues such as a lack of a full indicator system.
Number of knowledge products developed by the project on best practices and lessons learned to promote wider awareness raising on environmentally sustainable and ABS compliant phytotherapeutic value chains	0	Project website in place with regular uploading of knowledge management products	15 communication and knowledge products developed These may include pamphlets, posters, radio spots, final publication on project lessons learned, species-specific best practice guidelines, etc. (final	The ToRs to hire a specialized communication company to elaborate the Project's communication and knowledge management strategy and develop communications products will be launched in the third quarter of 2021. The development of the communication and knowledge products is expected to start in the fourth quarter of 2021 once the Project's communication strategy is already elaborated by the specialized company and validated with MMA.			

			knowledge products to be identified in project communications and knowledge management strategy)			
Level of implementation of project M&E system	NA as project has not yet begun implementation	Completion of Mid-Term Review (MTR) and of annual Project Implementation Reviews (PIRs) and uptake of lessons learned in project implementation	Completion of Terminal Evaluation (TE) and annual PIRs and uptake of lessons learned in project implementation.	<p>The Project Team has been systematizing information on best practices and lessons learned regarding the implemented activities during this reporting period. Lessons learned are being incorporated in Project implementation. In addition, adaptive management measures are being taken in order to scale up Project implementation.</p> <p>The completion of the Mid-Term Review (MTR) is scheduled for December 2021.</p> <p>The process to hire the consultancy that will conduct the MTR is expected to be launched in August 2020.</p>		

ANNEX 7 SIGNED UNEG CODE OF CONDUCT FORM

Evaluators/Consultants:

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

MTR Consultant Agreement Form

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

Name of Consultant: Maria ONESTINI

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

Signed at Buenos Aires, Argentina on 1 September 2021

Signature:

