

# Midterm Review (MTR) Final Report

Full-size Project BRA/20/G31  
Seventh Operational Phase of the GEF Small Grants Programme  
in Brazil (PIMS 6278)

**UNDP PIMS: 6278**

**GEF project ID: BRA/20/G31**

MTR team members

Denise Valeria de Lima

Mara Vanessa Fonseca Dutra

Viviane Hermida

April, 2024



i. **BASIC REPORT INFORMATION**

**Title of project:** Seventh Operational Phase of the GEF Small Grants Programme in Brazil

**UNDP PIMS:** 6278

**GEF project ID:** BRA/20/G31

**MTR time frame:** December 2021 – April 2024

**Date of MTR report:** The Midterm Review was carried out from February to April 2024. The MTR visits occurred in two periods: February 19-23, 2024, and March 11-15, 2024. The session on Initial Findings happened on March 27, 2024, and the Draft MTR Report was submitted on April 8, 2024. The Final Report is dated May 3<sup>rd</sup>, 2024.

**Region and countries included in the project**

Latin America and the Caribbean, Brazil – LANDSCAPES:

**Cerrado Biome:**

- (1) **Arrojado River Basin and surroundings**- The project has as the target landscape in this region the Arrojado River Basin and the two neighbouring Correntina and Formoso River basins, located wholly or partially in the municipalities of Correntina, Jaborandi, Coribe and Cocos. The strategic partner is Associação Comunitária dos Pequenos Criadores do Fecho de Pasto de Clemente (ACFC).
- (2) **Upper Jequitinhonha Valley** - The project has as the target landscape in this region the municipalities of Veredinha and Turmalina of Minas Gerais state. The strategic partner is Centro de Agricultura Alternativa Vicente Nica (CAV).

**Caatinga Biome:**

- (3) **Sertão do Pajeú** - The project works with a subset of seven municipalities (from 20 that compose the region), which are the target area where the strategic partner Casa da Mulher do Nordeste (CMN) and associated organizations carry out activities (Diaconia, Rede de Mulheres Produtoras do Pajeú and Centro Sabiá). These municipalities are: Ingazeira, Afogados da Ingazeira, São José do Egito, Tabira, Carnaíba, Flores and Iguaracy.
- (4) **Upper Poti River Basin** - In the state of Piauí, this landscape includes the municipalities of Pedro II, Milton Brandão and Juazeiro do Piauí. The strategic partner is Centro de Formação Mandacaru (CFM)

**GEF Operational Focal Area/Strategic Program:** Small Grants Programme

**Executing Agency:** UNDP

**Implementing Partner and other project partners:** Instituto Sociedade, População e Natureza (ISPN)

**Acknowledgements:**

We are grateful to all persons and organizations for their contributions to this MTR. We especially thank the communities and partners in the four landscapes. Field visits to Alto Poti and Jequitinhonha were particularly inspiring. We also appreciate ISPN and UNDP teams for their constant support to our work.

## ii TABLE OF CONTENTS

<b>1</b>	<b>EXECUTIVE SUMMARY</b> .....	7
	Table 1. Project Information Table .....	7
<b>1.1</b>	<b>Project Description</b> .....	7
<b>1.2</b>	<b>Project Progress Summary</b> .....	8
<b>1.3</b>	<b>MTR Ratings &amp; Achievement Summary Table</b> .....	9
<b>1.4</b>	<b>Concise summary of conclusions</b> .....	11
<b>1.5</b>	<b>Summary of Recommendations</b> .....	13
<b>2</b>	<b>INTRODUCTION</b> .....	15
	Purpose, objectives and scope of the MTR .....	15
<b>2.1</b>	<b>Methodology</b> .....	15
<b>2.2</b>	<b>Structure of the MTR report</b> .....	16
<b>3</b>	<b>PROJECT DESCRIPTION AND BACKGROUND CONTEXT</b> .....	17
<b>3.1</b>	<b>Problems, Threats and barriers that the project sought to address</b> .....	17
<b>3.2</b>	<b>Project Description and Strategy</b> .....	18
<b>3.3</b>	<b>Project Implementation Arrangements</b> .....	20
<b>3.4</b>	<b>Project timing and milestones</b> .....	21
<b>3.5</b>	<b>Main stakeholders: summary list</b> .....	28
<b>4</b>	<b>Findings (12-14 pages)</b> .....	29
<b>4.1</b>	<b>Project Strategy</b> .....	29
<b>4.1.1</b>	<b>Project Design</b> .....	29
<b>4.1.2</b>	<b>Results Framework/Logframe</b> .....	30
<b>4.2</b>	<b>Progress Towards Results</b> .....	30
<b>4.2.1</b>	<b>Progress towards outcomes analysis</b> .....	30
	<b>Table.5 Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)</b> .....	31
<b>4.2.2</b>	<b>Remaining barriers to achieving the project objective</b> .....	42
<b>4.3</b>	<b>Project Implementation &amp; Adaptive Management</b> .....	42
<b>4.3.1</b>	<b>Management Arrangements</b> .....	42
<b>4.3.2</b>	<b>Work planning</b> .....	43
<b>4.3.3</b>	<b>Finance and co-finance</b> .....	44
<b>4.3.4</b>	<b>Project-level Monitoring and Evaluation Systems</b> .....	46
<b>4.3.5</b>	<b>Stakeholder Engagement</b> .....	46
<b>4.3.6</b>	<b>Social and Environmental Standards (Safeguards)</b> .....	49
<b>4.3.7</b>	<b>Reporting</b> .....	49
<b>4.3.8</b>	<b>Communications &amp; Knowledge Management</b> .....	50

<b>4.4</b>	<b>Sustainability</b> .....	50
<b>4.4.1</b>	<b>Financial risks to sustainability</b> .....	50
<b>4.4.2</b>	<b>Socio-economic risks to sustainability</b> .....	51
<b>4.4.3</b>	<b>Institutional framework and governance risks to sustainability</b> .....	51
<b>4.4.4</b>	<b>Environmental risks to sustainability</b> .....	51
<b>5</b>	<b>CONCLUSIONS &amp; RECOMMENDATIONS</b> .....	52
<b>5.1</b>	<b>Conclusions</b> .....	52
<b>5.2</b>	<b>Recommendations</b> .....	53
	<b>ANNEXES</b> .....	55
	Annex 1 MTR ToR .....	55
	Annex 2 MTR evaluative matrix .....	55
	Annex 3 Example Interview Guide used for data collection. ....	55
	Annex 4 Ratings Scales .....	55
	Annex 5 MTR mission itinerary .....	55
	Annex 6 List of persons interviewed. ....	55
	Annex 7 List of documents reviewed. ....	55
	Annex 8 Signed UNEG Code of Conduct form.....	55
	Annex 9 MTR Report Clearance Form.....	55
	Annex 10. Annexed in a separate file: Audit trail from received comments on draft MTR report. ....	55
	Annex 11. Annexed in a separate file: Core Indicators .....	55
	Annex 12. Annexed in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as ‘investment mobilized’ or ‘recurrent expenditure’) .....	55

ii. **ACRONYMS AND ABBREVIATIONS**

ABC Brazilian Cooperation Agency

ASA Semi-Arid Articulation

BNDES Banco Nacional de Desenvolvimento Econômico e Social (Brazilian Development Bank)

CAV Center for Alternative Agriculture Vicente Nica

CBO Community-Based Organization

CFM Centro de Formação Mandacaru (Mandacaru Training Center)

CMN Casa da Mulher do Nordeste (House for Women of the Northeast)

CNS Conselho Nacional das Populações Extrativistas

CSO Civil Society Organization

COMDEKS Community Development and Knowledge Management for the Satoyama Initiative

EFA Escola Família Agrícola (Agricultural Family School)

EVAF Family school in Veredinha

ESMF Environmental and Social Management Framework

GEF Global Environment Facility

GHG Greenhouse Gas

ICCA Indigenous Peoples' and Local Communities Conserved Territories and Areas

ICMbio Instituto Chico Mendes

IP Initiation Plan

ISPN Instituto Sociedade, População e Natureza (Institute for Society, Population and Nature)

KM Knowledge Management

MAPA Ministry of Agriculture, Livestock, and Supply

M&E Monitoring and Evaluation

MF Ministry of Finance

MMA Ministry of the Environment and Climate Change

MTR Mid-term Review

NSC National Steering Committee

NTFP Non-timber forest product

PIF Project Identification Form

PIR Project Implementation Report

PPP-ECOS Paisagens Produtivas Ecosociais

PPG Project Preparation Grant

PRODOC Project Document

SESP Social and Environmental Screening Procedure

SES Social and Environmental Safeguards

SGP Small Grants Programme

SP Strategic Partner

UNDP United Nations Development Programme

## 1 EXECUTIVE SUMMARY

Table 1. Project Information Table

<b>Project title: BRA/20/G31 - Seventh Operational Phase of the GEF Small Grants Programme in Brazil</b>		
<b>Country:</b> Brazil	<b>Implementing Partner:</b> Instituto Sociedade, População e Natureza – ISPN	<b>Execution Modality:</b> NGO Execution
<b>Contributing Outcome (UNDAF/CPD, RPD, GPD):</b> Outcome 3. Strengthened institutional capacity to promote public policies for the sustainable management of natural resources and ecosystem services, and combating climate change and its adverse effects, and ensure the consistency and implementation of these policies.		
<b>UNDP Social and Environmental Screening Category:</b> High	<b>UNDP Gender Marker:</b> 2	
<b>Atlas Award ID:</b> 00127140	<b>Atlas Project/Output ID:</b> 00121074	
<b>UNDP-GEF PIMS ID number:</b> 6278	<b>GEF Project ID number:</b> 10122	
<b>Duration:</b>	<b>60 months</b>	
<b>Starting Date:</b> October 25th, 2021		
<b>Ending Date:</b> October 24th, 2026		
<b>FINANCING PLAN</b>		
GEF Trust Fund	USD 4,481,210	
<b>Total Budget administered by UNDP</b>	USD 4,481,210	
<b>Total confirmed co-financing</b>	USD 5.087.346,00	
<b>Grand-Total Project Financing (1)+(2)</b>	<b>Amount confirmed at CEO endorsement (US\$)</b>	<b>MTR according to PIR 1 (2023 June)</b>
Centro de Trabalho Indigenista (CTI)- Indigenous Territorial Management Project/USAID	2.000.000,00	290.748,00
Brazilian Agriculture Research Corporation (EMBRAPA)	1.000.000,00	0,00
National Steering Committee on behalf of Community Organization	750.000,00	1.254.243,00
National Steering Committee on behalf of Community Organizations	2.150.000,00	0,00
ISPN (Amazon Fund through Brazilian Development Bank; Cerrado Landscape Management through WWF and EU)	4.045.000,00	3.155.355,00
UNDP	400.000,00	387.000,00
<b>Total</b>	<b>10.345.000,00</b>	<b>5.087.346,00</b>

### 1.1 Project Description

The changes in land use, natural resource management practices, and agricultural practices in the Cerrado and Caatinga biomes have resulted in biodiversity loss and an increase in greenhouse gas emissions, with devastating impacts on communities dependent on healthy ecosystems for their survival. The loss of natural vegetation has increased, and in some areas, reduced and polluted water supply, eliminated forage for local livestock and wildlife, impacted soil quality for production and affected communal tenure and access to natural resources. Changes in land use result in loss of landscape resilience thereby negatively impacting families' well-being, often resulting in increased poverty, weakened food security and rural outmigration. Achieving goals for landscape restoration requires the collaboration of local communities and the recognition of their knowledge of the functioning of ecosystems and the behavior of plant and animal species. As such, for national policies to be effective in achieving landscape resilience

and connectivity through sustainable land use systems, communities must work through regional networks and local community-level organizations, with a holistic landscape vision, where sustainable activities can be aggregated, synergistic, and mutually beneficial to bring about larger-scale impacts. However, many of these community-based organizations lack capacity, technologies, and resources to carry out adaptive and sustainable activities.

SGP Brazil during its Seventh Operational Phase is supporting community organizations to achieve landscape resilience and sustainable development at the scale of rural landscapes, with the aim of progressively acquiring critical mass to reach a tipping point of adoption by rural and urban constituencies of adaptive practice and innovation for resilience-building. To achieve this, the project is fostering adaptive management capabilities by enhancing technical know-how, developing planning and organizational skills, and strengthening innovation and experimentation capacities to enhance their agency in developing plans and priorities and carrying them out for landscape resilience. The project is also investing in strategic projects, which build knowledge and capacity, and generate synergies among other smaller local actions, with the aim of building long-term ecological, social and economic resilience in rural landscapes. The project has a strong commitment to attending the specific needs of vulnerable sub-groups within the communities that often tend to be placed on the margin of social processes: women, youth and traditional communities (*quilombolas*, traditional communities etc.), through supporting their productive and sustainable initiatives.

## **1.2 Project Progress Summary**

The project has a highly satisfactory rating, presenting stable and robust management arrangements, and holding a participatory and collaborative approach, allowing effective engagement of stakeholders. The project is on track to achieve its overall objective and the results related to the project components. Delays observed in the initial phase of the Project are being addressed by the implementing partner to assure achievement of end of project targets. During the MTR period, 55% of the activities outlined in the work plan had been implemented, and 13 out of the 18 indicators defined in the framework, including five mandatory indicators, were on track to be reached, while five indicators have already been reached. Effective contributions are being made towards resilient landscapes in the biomes of Cerrado and Caatinga for sustainable development and global environmental protection, by enhancing ecosystem services, increasing adoption of agro-ecological and sustainable practices of natural resources management and of innovations that contribute to the transition towards sustainable production systems, and strengthening resilience of community livelihoods, through support to 16 small-scale community enterprises, all of them eco-friendly and with potential for improving market access, including twelve enterprises linked to women's groups. Initiatives of renewable energy and energy-efficient technologies are being piloted so far by three out of expected target of 10 groups. The project is also contributing to strengthening landscape governance and adaptive management, by catalyzing multistakeholder platforms to discuss and promote alternatives to enhance socio-ecological resilience. Those platforms, or partnership networks, are already established in two landscapes (Jequitinhonha and Pajeú) and in process of construction in the other two landscapes (Arrojado and Alto Poti), with good perspectives to be functioning by the end of project. Upscaling is potentialized by the communication strategy and the knowledge management approach adopted in the Project, including campaigns, educational materials and cross-landscape learning exchange. Gender issues are considered in terms of women's participation in decision-making and access to project's benefits. The engagement of youth is a significant focus of Strategic Partners in the landscapes, promoting participation and contribution of youth in various areas of the Project. There are good prospects for the project's



sustainability and results will last after the end of the project. The project tends to leave a legacy of organizational strengthening with long-term repercussions. Besides, new co-financing opportunities are being mobilized and continuity of SGP in Brazil is confirmed, with the Brazilian government already committed to contribute to the 8<sup>th</sup> Operational Phase of the Programme.

### 1.3 MTR Ratings & Achievement Summary Table

Table 2. MTR Ratings & Achievement Summary Table

Measure	MTR Rating	Achievement Description
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	Objective <b>Achievement Highly Satisfactory</b>	<p>In the MTR process, the project is considered <b>Highly satisfactory</b>. It is on track, progressing well and successfully engaging community-based associations from four landscapes to promote tangible global environmental benefits and sustainable rural development. Additionally, it is fostering the creation of a new social fabric and enhancing ecological landscape resilience in the Cerrado and Caatinga biomes.</p> <p>During the MTR period, 55% of the activities outlined in the work plan were implemented, considering budget execution for the main activities (grants; grants for upscaling and replication, multistakeholder platforms and communication).</p> <p>Within the framework of the end-project objective, 13 out of the 18 indicators, including five mandatory indicators, were on track to be reached. The inclusion of gender-sensitive indicators demands deliberate strategies to involve women across the project and, consequently, produces effective results can be considered a good practice.</p>
	Outcome 1.1 Ecosystem services within Cerrado and Caatinga biomes, are enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities. <b>Achievement Highly Satisfactory</b>	<p>Ecosystem services in both biomes are being enhanced through the implementation of activities by 47 community associations so far (78% of the EOP target), of which 53,5% have women in leadership positions. Ecosystem services include increased water availability; improved soil quality; recovery of habitats; greater availability of biodiversity products for communities.</p> <p>There is a deliberate strategy within the project to stimulate women's participation and decision-making in resource governance, which is potentialized as participatory instances at the national level are being reestablished (indicators 6 and 7)</p>
	Outcome 1.2 The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices. <b>Achievement Satisfactory</b>	<p>The adoption of agro-ecological and sustainable practices by 2,368 households reached so far (48,3% of EOP target), through the valorization of traditional practices of natural resources management and adoption of innovations contribute to the transition towards sustainable production systems. Agro-ecological and sustainable practices include improved management of natural vegetation, such as fencing springs to avoid cattle impact; preventing wildfires; recovering degraded areas; protecting springs, through avoiding deforestation, as well as improving agricultural practices to avoid soil erosion, traditional practices of fecho de pasto strengthened, among other actions.</p>

		Gender consultants are working with organizations involved in the four landscapes to refine gender action plan, review targets and achievements (indicator 8).
	<p>Outcome 1.3 Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.</p> <p><b>Achievement Highly Satisfactory</b></p>	<p>Project is effectively contributing to the resilience of community livelihoods, through support to 16 small-scale community enterprises, all of them eco-friendly and with potential for improving market access, such as manioc flour facilities; community kitchens for processing flour and garden products into marmalades, breads and preserves; honey houses; and one aviary, exceeding EOP target of 10 enterprises. 12 small-scale community enterprises are linked to women's groups; thus, it is possible to estimate that EOP targets will be reached. So far, 57 families reported improved income (63,3% of EOP target) and 369 women are accessing economic benefits and services from SGP projects (123% of EOP target) (indicators 9, 10 and 11).</p>
	<p>Outcome 1.4 Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level.</p> <p><b>Achievement Satisfactory</b></p>	<p>Three groups are piloting initiatives of renewable energy and energy-efficient technologies (30% of EOP target). This outcome will be reinforced in the 4th Call for Proposals, especially with the Agricultural Family Schools, which have already expressed interest in piloting initiatives regarding renewable energy and energy efficient technologies. Moreover, projects in the initial stage of implementation can contribute to the achievement of this target. Thus, EOP target will probably be achieved (indicator 12).</p>
	<p>Outcome 2.1 Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological resilience</p> <p><b>Achievement Highly Satisfactory</b></p>	<p>In two landscapes, Jequitinhonha and Pajeú, multistakeholder platforms are established, with regular meetings and sense of belonging (50% of the EOP target). These platforms involve multiple community associations, advisory organizations, family agricultural schools, academic institutions, and technical assistance governmental bodies to discuss alternatives to enhance socio-ecological resilience. In the other two landscapes, Arrojado and Alto Poti, platforms are still in the process of construction, with good perspectives to be functioning by the end of project. Among the members of the platforms, 16 are women-led organizations (107% of the EOP target). (Indicators 13, 14 and 15)</p>
	<p>Outcome 2.2 Mainstreaming and upscaling the contribution of local communities to landscape resilience, conservation and connectivity</p> <p><b>Achievement Satisfactory</b></p>	<p>A project Communication Strategy was elaborated with a participatory and knowledge management approach, and it is working well with different levels of support from ISPN, depending on the capacity of each landscape. One positive aspect to be highlighted is the engagement of youth in the communication action at the landscape level, generating a sense of belonging and ownership both for young women and men.</p> <p>Two cross-landscape peer-to-peer capacity building exercises (20% of EOP target) were carried out, with 65,6% of women participants. Case studies including gender results are planned for the next period.</p> <p>These actions reinforce the integration and upscaling of the contribution of local communities to the resilience, conservation, and connectivity of landscapes. (indicators 16, 17, 18).</p>

<b>Project Implementation &amp; Adaptive Management</b>	<b>Rating Highly Satisfactory (HS)</b>	<p>Small Grants Programme in Brazil presents stable and robust management arrangements, after thirty years of implementation. Responsibilities and reporting lines are clear and decision-making processes are transparent and timely. Stakeholders' engagement is effective at all levels of the implementation of the Project. Gender issues are considered in terms of women's participation in decision-making and access to project's benefits. The engagement of youth is a significant focus of Strategic Partners in the landscapes, promoting participation and contribution of youth in various areas of the Project.</p> <p>The project is managed to achieve and maximize results. Delays observed in the initial phase of the Project are being addressed by the implementing partner to assure achievement of outcomes and outputs</p>
<b>Sustainability</b>	<b>Rating for Sustainability Likely (L)</b>	<p>The overall risk rating of the project is 'Moderate'. Five of the six project risks identified through the SESP have been categorized as "Moderate". To meet the SES requirements, safeguard plans have been prepared: (i) Stakeholder Engagement Plan (ii) Gender Action Plan.</p> <p>Risks associated with biodiversity conservation and natural resource management, climate change, and community health, safety, and working conditions, and pollution prevention are being addressed through application of UNDP social and environmental standards, mitigation measures and proactive stakeholder engagement during project implementation.</p> <p>In addition, the SGP global team has developed an overall 'framework' guidance on safeguards which is being applied and piloted by SGP Brazil during OP7.</p>

#### 1.4 Concise summary of conclusions

The overall assessment of the project regarding the achievement of objectives and outcomes in the moment of the MTR is considered highly satisfactory. Project is being implemented efficiently, cost-effectively, and has been able to adapt to changing conditions, progressing successfully in engaging community-based associations from four landscapes to promote tangible global environmental benefits and sustainable rural development. Although in Arrojado landscape, a multistakeholder platform is not consolidated, a Collective that brings together 12 community associations of fecho de pasto (five of which are currently implementing SGP) and 4 advisory organizations meet regularly to discuss strategies to deal with territorial and environmental conflicts involving communal areas and exchange information and learning. Other 4 community associations and one women's movement are also implementing SGP and were involved in activities carried out by Strategic Partners. In Poti landscape, activities to engage community associations and strengthen their connections are also being held. For instance, a meeting with youth from 11 grantees was carried out to increase their knowledge and ownership of the landscape strategy. Moreover, in the four landscapes, participation of grantees' representatives in civil society's forums and networks, as well as in instances involving both civil society and governmental authorities is stimulated. Additionally, it is fostering the creation of a new social fabric and enhancing ecological landscape resilience in the Cerrado and Caatinga biomes.

1. Project's strategy, including its design and logical framework, is consistent and incorporates lessons learned. Implementation arrangements are currently robust and have the potential for scaling up and mainstreaming.
2. The project contributes to country ownership, as it aligns with the Country Programme and the National Government's priorities.
3. ISPN's methodology encourages debate within communities, valuing their local knowledge, respecting their autonomy, and involving them in resource management. ISPN collaborates with strategic partners and other key stakeholders and discuss solutions openly and inclusively, either to solve problems or to take advantage of emerging opportunities.
4. During the MTR period, 55% of the activities outlined in the work plan had been implemented, with 13 out of the 18 indicators on track to be reached, including five mandatory indicators, while five indicators had already been reached: Number of community associations participating in strengthening ecosystem services, of which 40% have women in leadership positions (indicator 6); number of women benefitting from economic benefits and services (indicator 11); number of women-led community organizations participating in multi-stakeholder platforms (indicator 14); Number of landscape strategies produced (indicator 15); Number of Communications Strategy including a Knowledge Management component (indicator 18).
5. Delays were observed in the initial phase of the Project, and measures are being taken to address this, such as extra support to grantees to speed up projects' implementation at the landscape level and to build capacity of grantees in gender, with the contribution of external consultants.
6. Ecosystem services, such as increased water availability; improved soil quality; recovery of habitats; greater availability of biodiversity products for communities. in both biomes are being enhanced through the implementation of activities by 47 community associations so far (78% of the EOP target), of which 53,5% have women in leadership positions. Agro-ecological and sustainable practices were adopted by 2,368 households so far (48,3% of EOP target), reinforcing positive traditional practices of natural resources management and stimulating innovations thus contributing to the transition towards sustainable production systems.
7. Governance at the landscape level is being enhanced. In two landscapes, Jequitinhonha and Pajeú, multistakeholder platforms are established, with regular meetings and sense of belonging (50% of the EOP target). In the other two landscapes, Arrojado and Alto Poti, platforms are still in the process of construction, with good perspectives to be functioning by the end of project. Activities are being held to engage local organizations and strengthen connections among them. Among the members of the platforms, 16 are women-led organizations (107% of the EOP target).
8. The institutional and political Brazilian context, characterized by the existence of power asymmetry between local organizations and big companies and by strong connections between local authorities and economically powerful interest groups, can be considered as an opportunity for a knowledge management exercise to build learning on multistakeholder platforms, involving the Strategic Partners, the NSC and UNDP.
9. A Communication Strategy for the project was developed with a participatory approach. Communication, information, and mobilization products for communities and society around the project's objectives are being developed and widely disseminated. Engagement of youth in the communication activities at the landscape level is generating a sense of belonging and ownership both for young women and men.

10. The overall risk rating of the project is 'Moderate'. To meet the SES requirements, a Stakeholder Engagement Plan and a Gender Action Plan were elaborated. The social and environmental technologies supported by the SGP, in harmony with restoration measures and changes in production systems towards more sustainable alternatives, indicate positive impacts on community resilience in the face of climate change.

## 1.5 Summary of Recommendations

Table.3 - Recommendations Summary

Rec #	Recommendation	Entity Responsible
A	<b>1.1 Ecosystem</b> services within Cerrado and Caatinga biomes are enhanced through multi- functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities	
A.1	In indicator 7, to make it adequate to local context, substitute "national resource governance" by "local resource governance"	ISPN and UNDP
A.2	Information on youth participation in the Project should be included in the next PIRs and communication products, to capture progress in in this area, which is considered by all stakeholders as a key factor for the sustainability of organizations and for the landscapes' resilience.	ISPN and UNDP
A.3	At the level of landscapes, create protocols for teams to access institutional channels in cases of violence against women, children, and adolescents in communities.	ISPN and Strategic Partners
A.4	Adopt safety measures for women professionals providing community consultancy in Jequitinhonha and Alto Poti (maybe accident insurance) and support strategies in case of pregnancy during consultancy provision.	ISPN and Strategic Partners
B	<b>Outcome 2.1</b> Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological Resilience	
B.1	In Upper Jequitinhonha Valley, strengthen the work on territorial rights of traditional communities, through seeking specialized legal advisory on territorial issues, contacting potential expert partners and evaluate the possibility of implementing community protocols to gain greater institutional legitimacy, according to ILO Convention 169.	ISPN and CAV
B.2	Make a knowledge management effort to build learning on multistakeholder platform, considering its contextualization to Brazilian reality. Power asymmetry between local organizations and big companies and the connections between local authorities and economically powerful interest groups should be considered.	ISPN, SNC, Strategic Partners and UNDP
C	<b>Project Implementation &amp; Adaptive Management</b>	
C.1	Consider the possibility of allowing the purchase of vehicles with project resources, as it is a necessity for strategic partners in some areas where communities are in territories that are difficult to access and where vehicle rentals are not available.	GEF
C.2	Considering that there are already safeguard verification mechanisms in the project approval phase, and the fact that requiring safeguard monitoring by small projects increases the burden on small associations, monitoring of safeguards should be simplified. A joint analysis of the	GEF and UNDP

	instrument should be carried out and, questions that are not adequate to the reality of communities should be eliminated.	
C.3	Continue seeking ways to simplify the prices quoting process, using online research, as it is adopted in other project financial platforms, and allowing collective quoting ((for various organizations with similar budget items).	ISPN and UNDP
C4	For OP 8, consider providing capacity building opportunities on gender and youth issues for teams involved in the initial phase of Project implementation including ISPN team.	ISPN and UNDP.
C5	UNDP's communication area could more effectively support the visibility of innovations, learnings, and achievements of Small Grants Programme in Brazil.	UNDP
D	<b>Sustainability</b>	
D.1	Include funding from GEF-8 to continue strengthening organizations supported in GEF 7, especially those managing grants for the first time and that became reference organizations in their regions after GEF 7 grant.	ISPN and UNDP
D.2	Adjust the overall risk categorization of the project to Moderate, as it was revised after the end of COVID Pandemic	UNDP

## 2 INTRODUCTION

### **Purpose, objectives and scope of the MTR**

The UNDP-GEF Midterm Review (MTR) of the full-sized project titled BRA/20/G31 - Seventh Operational Phase of the GEF Small Grants Programme in Brazil (PIMS 6278), implemented under NGO modality by the Implementing Partner Institute for Society, Population and Nature (ISPN), has the following purpose, objectives and scope:

- Assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document (PRODOC)
- Assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the project on-track to achieve its intended results
- Review the project's strategy and its risks to sustainability
- Review project's preparation of a strategy for when UNDP-GEF project support ends (if they have one and if they don't, then assist them in preparing one at the mid-term).

In addition, the MTR will serve as baseline for the project implementation unit to adjust implementation plan or act upon possible shortcomings for UNDP Brazil and ISPN to assess implementation.

The project started on 25 October 2021 and is entering its third year of implementation.

### **2.1 Methodology**

This MTR was based on document analysis and collection of evidence and feedback from different stakeholders related to the Project design, monitoring, and implementation. The MTR complemented the analysis with field visits to observe the interventions carried out, as well as with a comprehensive review of project documents and related information, focusing on gathering core and relevant information to assess the project's execution in relation to its Results Framework.

The overall approach and methodology were participatory and consultative, and the evaluation followed the guidelines established in the UNDP Guide for conducting final evaluations of projects financed by the GEF. The evaluation was conducted by a team composed by three national consultants.

The methodological approach had the purpose of providing opportunities and conditions to collect and systematize evidence-based information that is reliable and useful. Seeking to enhance the value of participation and the perspective of different stakeholders, the evaluators used dialogue tools such as: Participatory construction of the project timeline to discuss adaptive changes and learnings; Focus Groups to deeply discuss the main topics of the project; Appreciative Inquiry to explore what is working well within the project, identifying strengths, successes, and opportunities for positive change, among others. Those tools allowed capturing and systematizing the impressions of key actors to build coherent responses and information to fill in the Evaluation Matrix.

The MTR team followed a collaborative and participatory approach, 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, Senior technical advisor, Landscape Strategic partners, direct beneficiaries, and other key stakeholders.

The triangulation of data, information, and findings from field observation and document review enabled the construction of analyses that revealed the project's progress in terms of the strategies adopted and the intended outcomes. The approach of co-constructing knowledge facilitated the formulation of recommendations to contribute to any necessary course corrections within the project scope.

Stakeholders' involvement was assured by Focus Groups and interviews with those who have project responsibilities, including but not limited to: National Steering Committee; Landscape Strategic Partners; Multistakeholder Platforms; Women-led Organizations and other CSOs; UNDP Team including Deputy Resident Representative, Project Team (ISPN/ Implementing Partner); SGP grantees and projects' beneficiaries, including youth and traditional communities.

Gender-responsive methodologies and tools were also used to ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs were incorporated into the MTR report. Special attention was given to identifying vulnerable groups, as well as to listening to the opinions and impressions of the youth involved in the project's actions on the ground.

Two field visits were conducted to listen to Landscape Strategic Partners, with special attention to Multistakeholder Platforms, women-led organizations, youth and SGP grantees and projects' beneficiaries. In dialogue with ISPN, two sites were selected for the visits: Upper Jequitinhonha Valley, in Minas Gerais, and the Upper Poti River Basin, in Piauí. For this choice, logistical issues, availability of strategic partners in the review timeline, and diversity were considered, aiming to select landscapes that were differentiated in social and environmental terms, being one from Cerrado Biome and another from Caatinga Biome, and with different levels of organization.

Based on the development of the Evaluation Matrix, semi-structured questionnaires were prepared for groups of actors identified in the Inception Report. The semi-structured questionnaire was adapted for conducting Focus Groups with communities and ISPN team as well as individual interviews with different stakeholders.

The MTR process is summarized as follows:

- Alignment meeting with the teams from UNDP and ISPN on February 5, 2024.
- On February 20, the MTR Inception report was submitted to UNDP and ISPN
- Stakeholder interviews were coordinated and conducted (Annex 6 - List of persons interviewed) based on guided interviews (Annex 3 – Interview guide for data collection).
- Field visits were conducted to Upper Jequitinhonha Valley, Minas Gerais (18-22 February) and to Poti River Basin, Piauí (March 11-15) (Annex 5 – Mission Itinerary)
- On March 27, an informational meeting was held to present the preliminary findings.
- On April 8, the Draft MTR report was submitted to UNDP and ISPN including annexes and signed Code of Conduct form.
- On May 3, the final MTR report was delivered.

There were no limitations to the MTR. UNDP, ISPN, Strategic Partners and local communities provided timely and adequate support to all phases of the work, allowing access to relevant documents, facilitating contact with persons to be interviewed and logistical support to field visits. NSC members were also collaborative, responding in an agile manner to MTR teams contacts.

## **2.2 Structure of the MTR report**

The structure of the report conforms to what is indicated in Annex B of the ToR "Guidelines on the content of the MID-TERM EVALUATION report," which proposes the following six chapters:



1. Summary; 2. Introduction; 3. Project description and background context; 4. Findings; 5. Conclusions and recommendations and 6. Annexes.

### **3 PROJECT DESCRIPTION AND BACKGROUND CONTEXT**

Brazil is known worldwide as one of the most important countries in terms of biological diversity. The Amazon and the Atlantic Forest have received the most international attention. On the other hand, the Cerrado and the Caatinga biomes have been largely ignored in Brazil and internationally until recently.

The Cerrado is Brazil's second largest biome after the Amazon, with an area of more than 2 million square kilometers, approximately 22% of the Brazilian territory. Although best known for containing the most biodiverse savannah in the world, it also comprises a great variety of unique ecosystems that are particularly rich in species and that are important for maintaining carbon stocks and water resources. The system of gallery forests provides links to the Atlantic Rainforest and Amazonian biomes, with a number of shared tree species, as well as configuring wildlife corridors for important species such as tapirs and jaguars.

Throughout Brazil's history, the Cerrado region was largely regarded as the country's hinterland, the home of several Indigenous Peoples who roamed across large territories as part of their seasonal trekking and foraging activities and practiced itinerant slash-and-burn agriculture in areas of gallery forests. Many of these Indigenous Peoples had their first substantial contact with non-indigenous society in the first decades of the 20th century, with the construction of telegraph lines connecting the cities of the coast of Brazil with towns in the interior. Pressure on these indigenous peoples took on greater force only in the 1940's, with the government-sponsored "March to the West" aimed at colonizing supposedly empty territories. However, significant expansion of mechanized agriculture in the Cerrado began only in the 1960's and 70's, with the availability of technologies such as liming and fertilizers that permitted production of grain crops in the region's typically acidic and aluminum rich soils.

The Caatinga is an exclusively Brazilian biome that occupies 850,000 square kilometers in 10 states of northeast Brazil, approximately 11% of the national territory. The Caatinga is the largest dry forest region in South America and one of the richest dry forests in the world. Biotic interchange over evolutionary time with surrounding biomes – i.e., Cerrado, Atlantic Forest and Amazonia, has led to significant biodiversity. Although protected areas now represent approximately 7.8% of the Caatinga biome, it is still one of the least protected biomes in Brazil, with little more than 1% in strictly protected areas.

The Caatinga region was occupied early in Brazil's colonial history, with extensive cattle herding providing a source of hide and dried beef to the coastal regions of the Northeast. The region's indigenous people, with some notable exceptions, were, for the most part, driven extinct or absorbed into the contingent of peasant agriculturalists. While there are many threats to the ecosystems of the Caatinga biome, there are a number of possible sustainable forms of use. Beekeeping of both Apis and native bees, for example, relies on areas of natural vegetation for bees to forage, and is a strong incentive for conservation of the Caatinga. Many plant species from this biome are used both for commercial and subsistence purposes.

#### **3.1 Problems, Threats and barriers that the project sought to address**

Among the various threats faced by the Cerrado and Caatinga biomes, land use change - where native vegetation and traditionally community-managed areas are substituted by large-scale monocultures, eucalyptus plantations, and pasture - is the most serious. Deforestation of the native Cerrado vegetation brings several impacts, ranging from loss of biodiversity to alterations

in the hydrological cycle, caused by an increase in runoff, reduction in evapotranspiration and changes in soil structure and its capacity to absorb rainfall, leading to erosion and decreasing the replenishment of aquifers. The increase in center-pivot irrigation, which makes strong demands in terms of water use, has also affected flow levels of several rivers.

Besides affecting hydrological cycles, the advance of agricultural frontiers in the Cerrado has a strong impact on Brazil's greenhouse gas emissions. In 2016, deforestation in the Cerrado emitted 248 million tons of greenhouse gases, more than double the emissions from industries, and equivalent to 11% of all of Brazil's GHG emissions.

The main driver of deforestation in the Cerrado biome is the expansion of the agricultural frontier to the center and north of the country, historically stimulated by public policies. These policies and fiscal incentives have resulted in enormous crop production in the Cerrado region, from very large farms, and mostly for export. While agricultural expansion in the Cerrado has had a positive impact in the Brazilian economy, the negative effects on the environment and local communities are now significant.

Land use change in the Caatinga is also quite significant, with an estimated 45% of the area's native vegetation already destroyed or significantly altered by human activities. One of the most populated semi-arid areas in the world, the Caatinga has 27 million inhabitants located in the poorest region of Brazil; only 4.6% of the municipalities have HDI equal or higher than 0.5. The annual rainfall average of 600 mm characterizes a semi-arid climate, which makes most of the region unfit for large-scale agriculture and cattle ranching, except for areas with irrigation schemes. Irrigation policies, however, are concentrating land and water in the hands of major companies, while the small farmers who depend on agriculture for their basic subsistence are not profiting as much from it. In some areas, improper irrigation practices have led to soil salinization. As in the Cerrado, land property concentration is high, with 89% of the properties/farms owned by small farmers but covering only 37% of the total area.

Extensive goat and sheep raising, the main economic activity for local communities, has been practiced in the region for centuries with rudimentary management techniques, which means animals feed on the natural vegetation, eliminating new plants and sprouts, affecting the natural regeneration of disturbed areas. More than 50% of the area of the Caatinga is now considered as being affected by desertification, and around 10 to 15% is threatened by severe desertification. The Areas Subject to Desertification (ASD) cover an estimated 1.34 million square kilometers, potentially affecting more than 30 million people (17% of the Brazilian population).

Besides the reduction of their territories, Caatinga communities face water scarcity, soil erosion, and impoverishment, which are the main reasons for rural outmigration and for unsustainable use of natural resources. Other threats to the biome are eucalyptus and crop plantations, wood extraction for fuel and charcoal production, forest fires and hunting. At least 28 animal species in this threatened ecosystem are endangered.

For the Cerrado as well as the Caatinga, the projected scenarios of climate change are troubling, with reductions in the volume of rainfall or its concentration in a shorter period, resulting in impacts on urban areas, agricultural and livestock production and, especially, the lifestyles and well-being of small-scale farmers and traditional communities.

### **3.2 Project Description and Strategy**

The Project recognizes that achieving goals for landscape restoration requires the collaboration of local communities and valorization of their knowledge regarding ecosystem functioning and the behavior of plant and animal species. Consequently, for national policies to effectively promote landscape resilience and connectivity through sustainable land use systems,

communities must engage through regional networks and local community-level organizations, adopting a holistic landscape vision. This approach allows for the aggregation of sustainable activities, fostering synergies and mutual benefits to generate larger-scale impacts. However, many of these community-based organizations lack the capacity, technologies, and resources needed to implement adaptive and sustainable activities.

SGP Brazil, during its Seventh Operational Phase, is supporting community organizations to achieve landscape resilience and sustainable development across rural landscapes. The project aims to progressively build critical mass to reach a tipping point of adoption by rural and urban constituencies of adaptive practices and innovations for resilience-building. To accomplish this goal, the project is enhancing adaptive management capabilities by improving technical expertise, developing planning and organizational skills, and strengthening capacities for innovation and experimentation. These efforts empower communities to develop and implement plans and priorities for landscape resilience. Additionally, the project is investing in strategic initiatives that enhance knowledge and capacity while fostering synergies among smaller local actions, with the objective of building long-term ecological, social, and economic resilience in rural landscapes. The project is dedicated to addressing the specific needs of vulnerable sub-groups within communities, such as women, youth, and traditional communities, by supporting their productive and sustainable initiatives.

The project focuses on four landscapes, employing a 'landscape approach.' In this context, a landscape is defined as a biophysical, cultural, and political entity grappling with overarching issues of environmental degradation, economic production, and social cohesion. The boundaries of these landscapes are primarily defined by municipal borders. The four landscapes are:

**Cerrado Biome:**

- **Arrojado River Basin** – Besides the Arrojado River Basin, the project has as the target landscape two neighboring Correntina and Formoso River basins, located wholly or partially in the municipalities of Correntina, Jaborandi, Coribe and Cocos. The strategic partner is Associação Comunitária dos Pequenos Criadores do Fecho de Pasto de Clemente (ACFC)
- **Upper Jequitinhonha Valley** - Considers the municipalities of Veredinha and Turmalina of Minas Gerais state. The strategic partner is Centro de Agricultura Alternativa Vicente Nica (CAV)

**Caatinga Biome:**

- **Sertão do Pajeú** - The project works with a subset of 7 municipalities of Pernambuco state (Ingazeira, Afogados da Ingazeira, São José do Egito, Tabira, Carnaíba, Flores and Iguaracy). The strategic partner is the Casa da Mulher do Nordeste (CMN).
- **Upper Poti River Basin** - In the state of Piauí, this landscape includes the municipalities of Pedro II, Milton Brandão and Juazeiro do Piauí. The strategic partner is Centro de Formação Mandacaru (CFM)

The **project objective** is to build social, economic, and ecological landscape resilience in the Cerrado and Caatinga biomes through community-based activities for global environmental benefits and sustainable rural development. The project involves two Project Components: **Component 1-** Resilient landscapes for sustainable development and global environmental protection; and **Component 2-** Landscape governance and adaptive management for upscaling and replication.

Under Component 1, the following Outcomes are anticipated:

1.1 **Ecosystem services** within Cerrado and Caatinga biomes are enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities.

1.2 The **sustainability of production systems** in the target landscapes is strengthened through integrated agro-ecological practices.

1.3 **Community livelihoods** in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.

1.4 Increased adoption (development, demonstration, and financing) of **renewable and energy efficient technologies** at community level.

Under Component 2, the following Outcomes are anticipated:

2.1 **Multi-stakeholder governance platforms** strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological resilience

2.2 **Mainstreaming and upscaling** the contribution of local communities to landscape resilience, conservation and connectivity

### **3.3 Project Implementation Arrangements**

The Project Implementation Arrangements comprise the operation of the National Steering Committee (NSC), consisting of the Brazilian Cooperation Agency (ABC), UNDP, the Ministry of Finance (GEF Focal Point), the Ministry of Agriculture and Livestock (MAPA), the Ministry of Environment and Climate Change (MMA), social movements, civil society organizations, and experts. Additionally, there is a Technical Advisory Group composed of Technical Chambers. The direct implementation of the project falls under the responsibility of ISPN, which allocates resources for small projects of local organizations, conducts monitoring of these projects, promotes training activities, exchanges, communication, and manages the entire project.

**UNDP** supports the NSC and ISPN through UNDP offices in Brazil. It is responsible for conducting overall project supervision, ensuring project quality, project cycle management, and project monitoring, including periodic evaluations, and preparing reports to GEF. UNDP also provides high-level technical and managerial support from the UNDP-GEF Regional Advisor and the Central Program Management Team (CPMT), monitoring compliance with GEF SGP core policies and procedures, and GEF-7 Implementation Arrangements.

The **National Steering Committee** provides guidance and overall direction for the project, approving potential mitigation and management actions to address specific risks. It also offers guidance and advice for exceptional situations. Other relevant responsibilities of the committee include reviewing calls for proposals, projects analysis and selection, ensuring coordination and participation of relevant partners in project activities, tracking and monitoring co-financing, as well as project progress, and discussing lessons learned and opportunities. The NSC also participates in the evaluations of the PPP-ECOS, namely the Mid-Term Evaluation (MTE) and the Final Evaluation (TE).

**ISPN, the Implementing Partner**, conducts detailed project management, functions as the secretariat for the strategic work of the NSC, and oversees project selection. Additionally, ISPN is responsible for:

- Drafting calls for proposals and managing the proposal selection process;
- Monitoring the project portfolio and providing technical assistance to beneficiaries during project conception and implementation;
- Preparing reports for UNDP, GEF, and other donors;
- Implementing capacity development actions for communities and their grassroots organizations, as well as providing advisory services;

- Proposing and implementing communication and knowledge management strategies and plans to ensure adequate visibility of GEF investments and dissemination of best practices and lessons learned;
- Mobilizing resources.

At the Landscapes level, one **Strategic Partner (SP)** was selected in each landscape through a call for proposals among organizations with recognized technical and organizational capacity in providing advisory services to small-scale farmers and traditional peoples and communities organizations. The SPs are responsible for strengthening capacities, monitoring and advising the small projects within the landscapes. They are also responsible for mobilizing the multisectoral platforms.

### **3.4 Project timing and milestones**

The project started operating in October 2021, the Midterm Review was carried out from February to April 2024, and its execution is planned for five years. It is currently in its third year of implementation, and it is expected to end in October 2026. The Project Document establishes a series of key activities included in a multi-year work program. It represents the milestones to be achieved during its development in relation to its outcomes. The schedule and milestones are presented in the following table.





Outcomes	Outputs	Activities	Year 1				Year 2				Year 3				Year 4				Year 5			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	<b>including socio-biodiversity products, beekeeping; green value-added agribusinesses integrated into value chains, micro-processing.</b>	Manioc and sugarcane processing capabilities																				
		Supporting green business to meet compliance standards accreditation/labelling																				
		Supporting associations in establishing cooperatives and accessing revolving credit																				
		Building relationships with supermarkets and schools to sell fruits and agricultural goods																				
		Harvesting non-timber products																				
		Supporting packaging/marketing, quality control																				
		Providing capacity-building for developing management skills for entrepreneurs																				
	<b>1.4.1 Targeted community projects implementing energy efficient technologies in each landscape, including biogas,</b>	Piloting bio-digesters																				
		Promoting use of fuel-efficient stoves																				
		Piloting solar energy applications																				









### 3.5 Main stakeholders: summary list

During MTR, stakeholder engagement plan was reviewed, and it was found that the plan is being implemented. The main stakeholders and their indicative responsibilities in the scope of the project implementation are outlined as follows:

#### 1. Community Based Organizations (CBOs):

- Main participants in landscape planning exercises.
- First-order partners in the multistakeholder platforms for each landscape.
- Signatories to community-level partnership agreements.
- Implementing agents of community and landscape-level projects.
- Special attention is given to organizations led by and serving women, traditional people and communities, and youth.

#### 2. Civil Society Organizations, Forums and Networks:

- Lead and facilitate participatory baseline assessments and landscape planning processes.
- Partners in multistakeholder platforms for each landscape.
- Signatories to community-level partnership agreements.
- Provide technical assistance to community organizations for project implementation.
- Execute landscape-level projects.
- Potential participants in multistakeholder platforms.

#### 3. Local Government:

- Municipal governments typically coordinate commitments to communities regarding agricultural and land use topics through their secretaries of agriculture or environment.
- Invited to participate in baseline assessments and landscape planning processes.
- Expected to be partners in multistakeholder platforms for each landscape.
- Other relevant local committees involved in the multistakeholder platform include Municipal Councils for Sustainable Rural Development, Environment, and Food Security.

#### 4. Academic institutions:

Relevant partners in multistakeholder platforms which provide high-level technical support and scientific analysis of the political, social, economic, environmental and cultural dynamics in the landscape. They also assist in landscape planning processes and seek solutions for community challenges.

#### 5. Agricultural Family Schools (EFAs)

EFAs are educational institutions that combine formal education with agricultural practice. They offer an alternative educational approach, especially in rural areas, aiming to prepare students for careers in the agricultural sector while simultaneously promoting sustainable development in rural communities. EFAs usually cater to students aged 15 and above, offering secondary education. They are largely maintained by the students' families, partnering organizations, and in some cases receive funding from state governments.

#### 5. National Government

The Ministry of Finance hosts the focal point of the GEF and, with Brazilian Cooperation Agency - ABC, represents the interests of the Brazilian government. The Ministry of Agriculture and Livestock closely monitored the process of elaboration and launching of the project, as did the Ministry of the Environment. ICMBIO and IBAMA are agencies of the Ministry of the Environment with responsibilities related to the management of Conservation Units and Protected Areas (ICMBIO) and environmental inspection and licensing (IBAMA).

## **4 Findings (12-14 pages)**

### **4.1 Project Strategy**

Taking into consideration the project design and results framework/logframe, the Project Strategy is consistent and adopts the best route towards expected results. According to documents revision and interviews with representatives of Brazilian government and UNDP, the project aligns with the Country Programme and the National Government's priorities, particularly with policy guidelines targeting environmental protection, family farmers and traditional peoples and communities.

#### **4.1.1 Project Design**

There was broad and effective participation from beneficiaries, the National Steering Committee, and Strategic Partners in the project design, incorporating valuable insights from previous phases. The strategy of concentrating small projects in a region (landscape) has proven fruitful as it promotes the creation of partnership networks and strengthens community resilience. The presence of a strategic partner in the territory, with previous experience in Small Grants and knowledge of the territory, is a measure that generates several gains. First, the organizational strengthening, as the strategic partner takes on a new role of coordination and monitoring; second, strengthening of social fabric as there is a strong link within the network that attracts other partners; and finally, new advisory strategies for grantees, such as collective advisory services.

Relevant gender issues were raised in the Project Document and Strategies. The focus on gender and youth at the landscapes level has stimulated positive movement towards new organizational learning and the inclusion of these two segments in new dynamics of engagement and empowerment.

A highlight was the preparatory training for the elaboration and management of small projects, which was highly appreciated by strategic partners and grantees. In Arrojado landscape, the Strategic Partner complemented the training with additional online modules on project management. Despite taking longer than anticipated, preparatory training facilitated the process of developing and initiating implementation of small projects.

The project's results framework remains as designed in the project document. The logical framework allows understanding the vertical and horizontal logic and is supported by the results chain incorporated in the "Theory of Change". These tools are consistent with the overall project objective. No adaptive management has occurred.

Some of the assumptions of the project's Theory of Change have undergone changes. These changes do not seem to affect the final project results, but some aspects must be mentioned:

- Regarding the national government, the scenario is more positive, but there are conflicts in the National Congress that could impact the Small Projects directed towards communities.
- The assumption of the ToC that local governments would be interested in or would support the initiatives is not confirmed.
- In 2024 municipal elections will happen in Brazil, which can impact governance aspects, especially regarding local partnerships, due to political-party movements and polarization. This affects but does not render multisectoral platforms unviable, as we will discuss below.

#### 4.1.2 Results Framework/Logframe

In terms of the logical framework design, the objectives, outcomes, and components are clear, practical, and achievable. The midterm and end-of-project targets are SMART (Specific, Measurable, Achievable, Relevant, Time-bound) and tend to be feasible within their time frame. The project's objectives and outcomes are clear, practical, and reflect beneficial development effects.

The results chain is coherent and clear. Indicators were well-designed and reflect both the reality of the projects and communities and the potential for progress. In indicator 7, "national resource governance" should be replaced by "local resource governance" to be adequate to reality of the Project.

Beneficial development effects were included in the project results framework and are monitored regularly, including broader development and gender aspects of the project. A consultancy is reviewing gender plans and indicators. However, this consultancy is in its early stages.

#### 4.2 Progress Towards Results

##### 4.2.1 Progress towards outcomes analysis

Table 5 presents the progress towards results analysis, regarding the achievement of results against End-of-Project Targets at the stage of the MTR; the following table shows the Rating Matrix for each result and objective:

Ratings for Progress Towards Achievement of Results: (one rating for each result 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 (MU)	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.

<b>Indicator Assessment</b> <b>Key</b> Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
---	----------------------------------	-----------------------------------

**Table.5 Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)**

Only the indicators that have already been reported as achieved so far by the grantees were accounted for, these reports were presented by 13 of the 47 projects so they can receive the other disbursements. Of the 47 projects that were approved in three calls for proposal, 34 are still executing the first disbursement, 11 have already received the second disbursement and 2 are executing the third one. Therefore, almost all projects are still executing the first half of their projects and have not yet achieved their goals and targets. Additionally, 30% of the grants of this project are yet to be designated in another call for proposal to be launched in May 2024.

Project Strategy	Indicator <sup>10</sup>	Baseline Level <sup>11</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Mid-term Target <sup>12</sup>	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating
<b>Objective:</b> To build social, economic, and ecological landscape resilience in the Cerrado and Caatinga biomes through community-based activities for global environmental benefits and sustainable rural development	<b>Mandatory Indicator 1:</b> # direct project beneficiaries disaggregated by gender (individual people) ,	There were 64,200 beneficiaries (including indirect) under SGP-05	Target on track. Cumulative progress as of 30 June 2023: 1,595 beneficiaries (13% of the EOP target) have been benefitting directly from the four ongoing strategic projects, of which 801 are women (13% of the EOP target) and 689 are men.	6,000; at least 3,000 of which are women	12,000; at least 6,000 of which are women	3239 beneficiaries (2368 families), 27% of EOP target from which 1642 are women (27,3% of EOP target)	HS	Based on reports presented by 13 of the 47 approved projects.  EOP targets will be achieved, according to PIR, considering that the 43 grantees selected following the second and third CFPs are expected to reach 8,785 beneficiaries (4,392 men and 4,393 women) by the end of the project. In the landscape of Pajeú there are 1,326 people (760 women); in Jequitinhonha there are 3,121 people (1,633 women); in Poti there are 1,425 people (663 women) and in Arrojado there are 2913 people (1337 women). The 43 grantees started implementation in August 2023.
	<b>Mandatory Indicator 2:</b> # indirect project beneficiaries disaggregated by gender (individual people)	There were 64,200 beneficiaries (including indirect) under SGP-05.	Cumulative progress as of 30 June 2023: 3,330 indirect beneficiaries (17% of the EOP target) have been reached in the four strategic landscapes, of which 1,695 are women (17% of the EOP target) and 1,613 are men.	10,000; at least 5,000 of which are women	20,000; At least 10,000 of which are women	9,443 indirect beneficiaries (47,2% of EOP target) from which 4,109 are women (41% of EOP target)	HS	Based on reports presented by 13 of the 47 approved projects.  According to PIR, indirect beneficiaries include family members representing their households and other members of the community-based organizations in all four landscapes, besides 2-3 representatives of each grantee attending the workshops. These participants were asked to bring back what has been discussed and presented to other household and community organization

								members, such as guidance on SGP rules for reporting.
	<p><u>Mandatory GEF Core Indicators:</u></p> <p><b>Mandatory Indicator 3:</b> Area of land restored (hectares) - Corresponding to GEF Core Indicator 3.</p>	1,000 hectares of land were restored under SGP 5.	Cumulative progress as of 30 June 2023: 0 hectares	800 hectares	2,000 hectares	502.65 hectares (25 % of EOP target)	S	According to PIR, the four strategic grants, selected in the first CFP, is helping to build a multi-stakeholder platform in the landscapes to discuss about the best methods for restoration depending on the ecosystem, as well as is promoting exchanges and capacity buildings bringing together different grantees and promoting integration and knowledge sharing. Within the 43 grants selected in the second and third CFP, at least 11 include restoration activities, such as protection of springs, planting of native tree seedlings and direct seed planting, fencing of riparian forests to favor natural recovery and recovery of soils that are degraded through mechanic scarification, and further planting. In Pajeú landscape, the strategic project intends to recover 270 ha in three years and the other 10 projects intend to recover 1,016 ha in 2 years by planting seedlings. In Alto Poti landscape, the 11 projects intend to recover 21 ha in two years by planting seedlings and seeds. In Arrojado landscape, the strategic project intends to recover 250 ha in three years and the other 12 projects intend to recover 392 ha in 2 years by planting seedlings, direct sowing and protecting water springs from cattle trampling. In Alto Vale do Jequitinhonha landscape, the strategic project intends to recover 58 ha in three years and the other 10 projects intend to recover 17 ha in 2 years by planting seedlings. It is expected to reach 2,024 ha restored by the end of the project.
	<p><b>Mandatory Indicator 4:</b> Area of landscapes</p>	952,600 hectares under improved	Cumulative progress as of 30 June 2023: 3,950 hectares are	80,000 <sup>1</sup> hectares	200,000 hectares	47,485 hectares (23,7% of EOP target)	S	According to PIR, the three CFPs focused on supporting improved landscape practices. 95% of the 43 grants selected focus on promoting



	under improved practices (hectares; excluding protected areas).	practices were noted under SGP-05. However, it is worth noting that any activities taken in Indigenous Reserves in SGP-05, took into account the whole, large, area of the reserve, due to its tenure arrangements. These were in different regions than the landscapes selected in this project.	under improved practices (2% of the EOP target).					improved practices in their areas. Based on the approved projects from the 3 calls of proposes, 155,466 ha are expected to improve practices in in the four prioritized landscapes. In Sertão do Pajeú landscape, the strategic project will improve practices in 1,490 ha by the end of three years, and the other 10 projects will improve practices in 949 ha in two years, under the instructions and monitoring of rural technical assistance to install agroecological and water catchment systems, productive backyards, and use green fertilizers and seeds that are more adapted to the environments. In Alto Poti landscape, the strategic project will improve practices in 2,700 ha by the end of three years, and the other 11 projects will improve practices in 737 ha in two years, by exchanging and planting creole seed, using local native plant species in the nutrition of raised animals, installing water catchment systems and productive backyards, increasing cassava crops under improved soil conditions, and implementing fire management.
	<b>Mandatory Indicator 5:</b> Greenhouse Gas Emissions Mitigated (million metric tons of CO2e)	Direct: 72,000 ton CO2e; Indirect: 15,521,269 ton CO2e	Cumulative progress as of 30 June 2023: 0.	Direct: 11,367 ton CO2e, Indirect: 486,752 ton CO2e	Direct: 45,467 ton CO2e; Indirect: 1,216,876 ton CO2e	0	S	According to PIR and interviews, this indicator will be measured only at the end of the project, due to the volume of resources required. SGP Brazil has developed a specific methodology for measuring Greenhouse Gas Emissions Mitigated through grantees actions during OP5, which will be applied again. The methodology consists in comparing the management practices applied to a certain area through project efforts and applies the values of carbon emission or sequestration based on literature. Even though it is not measured yet, this indicator is rated as on track because it is related to the indicators 3 and 4, according to the methodology pointed out, that are also on track.

<p><b>Component 1:</b> Resilient landscapes for sustainable development and global environmental protection</p> <p><b>Outcome 1.1</b> Ecosystem services within Cerrado and Caatinga biomes, are</p>	<p><b>Indicator 6:</b> Number of community associations participating in strengthening ecosystem services within the Cerrado and Caatinga (of which 40% have women in leadership positions)</p>	<p>97 community associations participated in strengthening ecosystem services under SGP-05</p>	<p>Cumulative progress as of 30 June 2023: 47 (78% of the EOP target)</p>	<p>40</p>	<p>65</p>	<p>105 community associations have been participating in strengthening ecosystem services within the Cerrado and Caatinga (160% of EOP target). 47 organizations are grantees, from which 53% have women in leadership positions.</p>	<p>HS</p>	<p>Gender disaggregated data on organizations that are not grantees are not available. EOP target was reached only with grantees' data.</p>
<p>enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities</p> <p><b>Outputs to achieve</b> <b>Outcome 1:</b> <b>1.1.1.</b> Community-level small grants that restore degraded landscapes, improve connectivity,</p>	<p><b>Indicator 7:</b> Percentage of women with improved participation and decision-making in national resource governance</p>	<p>Unknown</p>	<p>Cumulative progress as of 30 June 2023: 0%.</p>	<p>20 % of total beneficiaries</p>	<p>50 % of total beneficiaries</p>	<p>ISPN estimates 30% of total beneficiaries</p>	<p>S</p>	<p>ISPN estimate was made based on available data from grantees reports received so far. Considering local resource governance instead of national resource governance (as recommended by MTR team), EOP target will be probably achieved. There is a deliberate strategy within the project to stimulate women's participation in those instances</p>

support innovation regarding biodiversity conservation and optimization of ecosystem services, including sustainable use of biodiversity; recovery of native vegetation; integrated fire management; etc.								
<p><b>Outcome 1.2</b> The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological Practices.</p> <p><b>Outputs to achieve Outcome 2:</b></p> <p><b>1.2.1</b> Targeted community projects enhancing the sustainability and resilience of production</p>	<p><b>Indicator 8:</b> Number of households (disaggregated by female-led or male-led) adopting sustainable practices (agroforestry, intercropping, harvesting of native species, mulching)</p>	<p>4,616 households recorded under SGP-05 (figures were not disaggregated by male-led and female-led households)</p>	<p>Cumulative progress as of 30 June 2023: 1,110 households adopting sustainable practices (507 female-led) in the four strategic landscapes (23% of the EOP target), being implemented by 4 strategic projects.</p>	<p>2,000</p>	<p>4,900</p>	<p>2,368 households adopting sustainable practices (48,3% of EOP target). Following the same proportion found in PIR, related to 4 strategic partners, ISPN estimates 1089 female-led households in the four strategic landscapes</p>	<p>S</p>	<p>ISPN estimate was made based on available data from grantees reports received so far. Gender consultants are working with organizations involved in the four landscapes to review targets and achievements, as well as reinforce gender component. Available information indicates that EOP target will be probably achieved</p>

systems, including soil and water conservation practices, silvopastoral and agroforestry systems, increased on-farm arboreal coverage, conservation of agrobiodiversity; agro-ecological practices and cropping systems.								
<b>Outcome 1.3</b> Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.	<b>Indicator 9:</b> Number of small-scale community enterprises with improved market access (at least 50% of which benefit women)	20 small-scale community enterprises had improved market access under SGP-05	Cumulative progress as of 30 June 2023: 0 community enterprises	5	10	1 small-scale community enterprise directed to women with improved market access (10% of EOP target)	HS	Based on reports presented by 13 of the 47 approved projects.  According to PIR among the selected grantees, 16 small-scale community enterprises are being supported: 7 manioc flour facilities, 3 honey houses, 1 aviary and 5 community kitchens for processing garden products into marmalades, breads and preserves. The community kitchens and manioc flour facilities (12 small-scale community enterprises in total) are linked to women's groups, so it is possible to estimate that EOP targets will be reached.
<b>Outputs to achieve</b> <b>Outcome 3</b> <b>1.3.1</b> Targeted community projects promoting sustainable	<b>Indicator 10:</b> Number of families reporting improved income from small-scale community enterprises	This indicator was not evaluated under SGP-05, however it was noted that 5,000 families were generating some income under SGP-05	Cumulative progress as of 30 June 2023: 0 families	40	At least 90	57 families reporting improved income from small-scale community enterprise (63,3% of EOP target)	HS	Based on reports presented by 13 of the 47 approved projects  According to PIR, 16 community enterprises are being supported, potentially contributing to improve income for households through the commercialization of products from manioc flour facilities, honey houses and community kitchens for processing garden products into marmalades, breads and fruit preserves.

<p>livelihoods, green businesses and market access, including socio-biodiversity products, beekeeping; green value-added agro-businesses integrated into value chains, micro-processing</p>	<p><b>Indicator 11: Number of women benefitting from economic benefits and services from SGP projects</b> This indicator was not evaluated under SGP-05, however it was noted that 5,000 families were generating some income under SGP-05</p>	<p>Unknown</p>	<p>Cumulative progress as of 30 June 2023: 0 women</p>	<p>At least 100</p>	<p>At least 300</p>	<p>369 women benefitting from economic benefits and services from SGP projects (123% of EOP target)</p>	<p>HS</p>	<p>Based on reports presented by 13 of the 47 approved projects, adult and young women are benefitting either from agroindustry, access to institutional markets or direct commercialization.</p>
<p><b>Outcome 1.4</b> Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level</p> <p><b>Outputs to achieve Outcome 1.4</b></p> <p><b>1.4.1</b> Targeted community projects implementing energy efficient</p>	<p><b>Indicator 12:</b> Number of community organizations piloting or adopting renewable and energy efficient technologies by technology type</p>	<p>1</p>	<p>Cumulative progress as of 30 June 2023: 0 community organizations</p>	<p>5</p>	<p>At least 10</p>	<p>3 community organizations piloting or adopting renewable and energy efficient technologies, more specifically solar panels (30% of EOP target)</p>	<p>S</p>	<p>Based on reports presented by 13 of the 47 approved projects</p> <p>According to interviews, there was insufficient demand from communities related to renewable energy and energy efficient technologies. This will be addressed in the 4<sup>th</sup> Call for proposals in which this topic will be reinforced.</p>

technologies in each landscape, including biogas, fuel-efficient stoves, etc.								
<p><b>Component 2:</b> Landscape governance and adaptive management for upscaling and replication</p> <p><b>Outcome 2.1</b> Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological Resilience</p> <p><b>Outputs to achieve</b> <b>Outcome 2.1:</b></p> <p><b>2.1.1</b> A multi-stakeholder governance</p>	<p><b>Indicator 13:</b> Number of landscape-based multi-stakeholder platforms established and operational</p>	0	Cumulative progress as of 30 June 2023: 2 landscapes (50% of the EOP target)	4	4	2	S	<p>In two landscapes, Jequitinhonha and Pajeú, multistakeholder platforms are established, with regular meetings and sense of belonging. In the other two landscapes, Arrojado and Alto Poti, platforms are still in the process of construction, with good perspectives to be functioning by the end of project.</p> <p>Although there is significant support of National Government institutions to the objectives of the project, political polarization in the country hinders the construction of local and regional partnerships involving governments. In fact, in many Brazilian municipalities, local governments are aligned with large-scale projects that do not meet the interests of communities. And while partnerships with universities and federal technical institutes are more accessible, they have little influence on local dynamics.</p> <p>These factors explain why the core of partnership networks established in the landscapes consist of grantees, advisory organizations previously working with the communities and regional long-standing partnerships, such as ASA- Articulação do Semiárido Brasileiro, the Chapada das Veredas Partners Network, and the Pajeú Agroecology Network. Government representatives are invited to processes of dialogue with those partnership networks but do not effectively integrate the partnership or governance process.</p>

platform in each target landscape develops and monitors landscape level agreements; promotes advocacy for the territorial rights of traditional communities, family farmers and women agricultural workers; value-chain development strategies for NTFP and agroecological products; adaptive landscape management plans and policies, including enhanced community participation in river basin commissions and other relevant forums.  <b>2.1.2</b> A landscape strategy developed by the corresponding								
	<b>Indicator 14:</b> Number of women-led community organizations participating in multi-stakeholder platforms	0	Cumulative progress as of 30 June 2023: 16 women-led organizations (107% of the EOP target) are participating in the two operational multi-stakeholder platforms in the Pajeú and Jequitinhonha landscapes.	12	15	16 women-led organizations (107% of the EOP target)	HS	Based on PIR, this target was reached considering only the two established platforms. Pajeú landscape contributed with 11 women-led associations participating in the platform, while Alto Poti with 5 women-led associations.
	<b>Indicator 15:</b> Number of landscape strategies produced through a multi-sectoral process	1 strategy was developed under SGP-05 but it was not produced through a multi-stakeholder process	Cumulative progress as of 30 June 2023: 4	4 in process	4	4 landscape strategies produced through a multi-sectoral process	HS	Based on interviews and document analysis, four landscape strategies were produced collectively, systematized and disseminated and are being used as reference for local organizations and strategic partners in their actions and for dialogue with other stakeholders.

multi-stakeholder platform for each target landscape to enhance socio-ecological resilience through community grant projects.								
<b>Outcome 2.2</b> Mainstreaming and upscaling the contribution of local communities to landscape resilience, Indicator 16: Number of landscape case studies including gender results 0 Previous landscape studies under SGP-05 did not include gender results which 0 4 conservation and connectivity  <b>Outputs to achieve</b> <b>Outcome 2.2:</b>  <b>2.2.1</b> Knowledge from project innovation	<b>Indicator 16:</b> Number of landscape case studies including gender results	0 Previous landscape studies under SGP-05 did not include gender results which is why the baseline is 0.	Cumulative progress as of 30 June 2023: 0	0	4	0	S	As planned, case studies will be elaborated later based on the implementation of SGPs and on gender action plans.
	<b>Indicator 17:</b> Number of cross-landscape peer-to-peer capacity building exercises (involving at least 50% women)	0	Cumulative progress as of 30 June 2023: 1 (10% of the EOP target)	5	10	2 cross-landscape peer-to-peer capacity building exercises (20% of EOP target), with 65,6% of women participants.	S	According to PIR and interviews, two virtual exchanges among four strategic partners were carried out, one of them focusing on landscape strategy implementation, and another one about communication strategy and exchange among landscapes. <a href="#">In these activities, 66% of participants were women.</a> According to interviews cross-landscape exchanges central to the capacity building strategy and EOP will probably be reached.
	<b>Indicator 18:</b> Number of Communications Strategy including a Knowledge Management component	0	Cumulative progress as of 30 June 2023: 1 communications strategy developed.	1	1	1 Communication Strategy	HS	A Project Communication Strategy was elaborated with a participatory approach, and it is working well with different levels of support from ISPN, depending on the capacity of each landscape.  Events with communication impact and campaigns were carried out in the period. Landscape strategies were published and derived infographics were distributed to partners. Other relevant materials are being prepared to reinforce



<p>experience is shared for replication and upscaling across the landscapes, across the country, and to the global SGP network.</p> <p><b>2.2.2</b> Four Strategic initiatives are supported to upscale successful SGP project experience and practice</p>							<p>communities' contributions to environmental protection.</p> <p>One positive aspect to be highlighted is the engagement of youth in the communication action at the landscape level, generating a sense of belonging and ownership both for young women and men.</p>
--	--	--	--	--	--	--	--

#### **4.2.2 Remaining barriers to achieving the project objective**

There are no significant barriers preventing the achievement of the project's objectives. However, the low level of engagement from local government authorities is a factor that reduces the potential for expected changes in the landscapes. National public policies impacting communities rely, to some extent, on local governments action for implementation. Additionally, complementing national policies with local and territorial policies and resources could enhance the reach of the results. As for actions under the control of ISPN and strategic partners, areas involving gender issues and communication and knowledge management require a faster pace of execution in the next period, as well as budget execution. Evidence of actions taken in recent months has been provided to ensure the achievement of objectives.

### **4.3 Project Implementation & Adaptive Management**

#### **4.3.1 Management Arrangements**

Over 30 years of experience of implementation of Small Grants in Brazil, project management has been considerably improved and implementation arrangements are more robust. Responsibilities and reporting lines are clear and decision-making processes are transparent and timely. Management arrangements at the National Steering Committee level have been solidified and regular meetings are convened as necessary. Monthly meetings are conducted between UNDP and ISPN to monitor the project progress and address any emerging issues and needs. Additionally, the Project Board Meeting occurs at least once a year with the participation of ISPN, the Brazilian Agency for International Cooperation - ABC, the GEF Operational Focal Point (Ministry of Finance) and UNDP. Furthermore, ISPN's technical team and consultants make regular visits to the landscapes to provide capacity strengthening, monitoring, and facilitate joint learning initiatives. The management arrangement at the landscape level is innovative, fostering various ongoing learnings and innovations.

ISPN is recognized by all key stakeholders as an experienced and reliable partner, essential for the success of the project due to its familiarity with the rules and operational dynamics of the involved institutions, its ability to meet deadlines, and its high-quality and transparent communication practices, besides its deep knowledge of local contexts' specificities. ISPN manages to connect technical and scientific accuracy with sensitivity to define the technology required by each specific project.

ISPN working methodology is praised for encouraging debate within communities, valuing their local knowledge, respecting their autonomy, and involving them in resource management instead of simply offering ready-made solutions. Additionally, ISPN demonstrates willingness to collaborate with strategic partners and other key stakeholders and discuss solutions openly and inclusively, either to solve problems or to take advantage of emerging opportunities. NSC members emphasized the high quality of presentations and information provided by ISPN, either virtually or in face-to-face meetings. GEF focal point (Ministry of Finance) highlighted the efforts from ISPN to effectively engage them along the process. NSC members also acknowledge ISPN's aptitude for integrating learning as a continuous endeavor. Strategic partners appreciate ISPN's constant collaboration and assistance, including in identifying areas for improvement and in seeking out other funders and partners, stimulating them to take bold steps towards performing a strategic role in their regions.

There is a high level of collaboration, openness and transparency of UNDP team in relation to the implementation partner and other key stakeholders. The Ministry of Finance (GEF operational focal point) views the UNDP role positively, noting its willingness to share documents and its agility in responding to any demands. UNDP participation in committee meetings is seen by NSC members as enlightening, providing insights into funding structures and procedures, and demonstrating good coordination with the ISPN. UNDP's communication area could more effectively support the visibility of innovations, learnings, and achievements of Small Grants Programme in Brazil.

Most of members of teams - ISPN, UNDP, and Strategic Partners - are sufficiently aware of relevant gender issues to the achievement of the Project's objective. However, there is lack of knowledge within Strategic Partners on methodologies and tools to approach gender inequalities in their contexts as it is detailed later in this MTR report. Consultancies on gender are being conducted, to review indicators by cross-referencing GEF indicators with those of ISPN and to elaborate a gender action plan for each landscape.

In terms of capacity building, access to positions of power and/or income generation for women, the Project is making satisfactory progress, by effectively involving women in the design of projects, prioritizing women's economic enterprises, including measures to reduce women's workload; promoting women's training on innovative technologies, integrating women in key roles in the projects teams at the field and stimulating women-led organizations to be active members in the partnerships networks and other instances of territorial and environmental monitoring and decision-making.

There are consistent practices for promoting women's participation in teams and decision-making instances of the Project. ISPN team directly working on SGP is composed by 100% of women, although male colleagues also collaborate in specific aspects of the project. At the landscape level, strategic partners involved a significant number of women in the teams working directly in the project. For instance, in Jequitinhonha, CAV appointed mostly women as technicians and coordinators, as well as Casa da Mulher do Nordeste in the Pajeú landscape. In all landscapes, there is gender balance in Strategic Partners' teams and collaborators. There are mechanisms for mainstreaming gender in place at programme level, such as the decision of appointing a gender focal point. There is also significant women's representation within the National Steering Committee, with 55% of female representatives, according to information provided during MTR.

#### **4.3.2 Work planning**

ISPN adopts results-based management processes guided by project and institutional indicators and carries out meetings on a weekly basis involving relevant staff and partners to monitor work plans, including participatory revision of logframe, with direct input from grantees and strategic partners. Moreover, ISPN's technical staff conducts at least two visits per year to the landscapes. These practices have assured efficient adaptive management changes when necessary.

During the MTR period, 55% of the activities outlined in the work plan were implemented, considering budget execution for the main activities (grants; grants for upscaling and replication, multistakeholder platforms and communication). Some specific areas are experiencing delays in execution, especially due to changes in the methodology for the strengthening of landscape organizations. This was the case for activities of the gender action plan, which will be addressed later in the section on stakeholder engagement, as well as communication and knowledge

management. ISPN has designed some strategies to address these delays. Measures include allocation of extra resources for the next call for proposals; extra support to grantees for moving forward with project implementation; a series of exchanges among landscapes and two workshops for the second semester of 2024.

#### 4.3.3 Finance and co-finance

The budget performance analysis was based on document review and interviews with the UNDP and ISPN teams. This analysis reveals the existence of the financial controls outlined in the project document and appropriate management of financial resources. The system is transparent and allows for timely monitoring of budget execution, providing required updates to project management. The project makes decisions based on precise and pertinent budget information and its financial execution.

As a consequence of the delays in the workplan, there are variances between the approved budget and expenditures. During the MTR, the project had spent approximately 30% of the approved funds. Component 1 - Resilient landscapes for sustainable development and global environmental protection had spent 23%, mostly in grants. Component 2 - Landscape governance and adaptive management for upscaling and replication had achieved 40% of expenditure, also mostly in grants (38%), and the Monitoring & Evaluation (M&E), had reached approximately 20% of expenditure, demonstrating that the effort to follow the local organizations and to provide trainings and consultancies are coherent.

As mentioned before, ISPN has designed strategies to address these delays. Regarding expenditures levels, the next call for proposals, in May 2024, will allocate an extra USD 335,000.

Table 6 – Balance between approved budget and expenditures by march 2024.

Component	Account Description	TOTAL APPROVED BUDGET US\$	TOTAL EXPENDITURE until March 2024	Balance	% Total Expenditure/ Total Approved Budget
Component 1 Resilient landscapes for sustainable development and global environmental protection	Others	564.698,00	128.713,08	435.984,92	22,79%
	Grants	2.161.697,00	505.058,30	1.656.638,70	23,36%
	<b>Total Component 1</b>	<b>2.726.395,00</b>	<b>633.771,38</b>	<b>2.092.623,62</b>	<b>23,25%</b>
Component 2 Landscape governance and adaptive management for upscaling and replication	Others	609.396,00	257.926,93	351.469,07	42,33%
	Grants	791.559,00	307.296,42	484.262,58	38,82%
	<b>Total Component 2</b>	<b>1.400.955,00</b>	<b>565.223,35</b>	<b>835.731,65</b>	<b>40,35%</b>
Monitoring & Evaluation (M&E)	<b>Total M&amp;E</b>	143.230,00	29.005,67	114.224,33	20,25%
Project Management	<b>Total Management</b>	210.630,00	57.627,10	153.002,90	27,36%
<b>PROJECT TOTAL</b>		<b>4.481.210,00</b>	<b>1.285.627,50</b>	<b>3.195.582,50</b>	<b>28,69%</b>

The project's co-financing framework changed, incorporating significant resources from the Brazilian Development Bank (BNDES). ISPN adds effective co-financing with the participation of staff not directly involved in the project. They give significant inputs to the project in terms of strategy analysis, dialogue with the National Steering Committee, and implementation of the monitoring platform.

At the level of communities there is awareness of and discussion on their contribution to co-financing. In the case of Alto Poti, due to the communities' lack of experience in estimating the amount of work required for building the cisterns, they had to dedicate more time and effort than initially planned. It is expected that upcoming SGP reports will provide more comprehensive information regarding community contributions. Also, in Alto Poti, part of the contribution to co-financing consists of project coordinators' salaries, all volunteers, mostly women and youth. While justifiable to avoid conflicts within communities, this aspect raises concerns about added burden on women and youth, the two most vulnerable segments involved in the project.

The table below shows the sources of co-financing and the amount contributed during the MTR.

Table 7 – Co-financing Balance by March 2024

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Amount confirmed at CEO endorsement (US\$)	Actual amount contributed at stage of MTR (US\$)	Actual % percentage of expected amount
CSO	National Steering Committee on behalf of Community Organization	grant	750.000,00	1.254.243,00	167%
CSO	National Steering Committee on behalf of Community Organizations	in kind	2.150.000,00	0,00	0%
CSO	Centro de Trabalho Indigenista (CTI)- Indigenous Territorial Management Project/USAID	grant	2.000.000,00	290.748,00	15%
Gov	Brazilian Agriculture Research Corporation (EMBRAPA)	in kind	1.000.000,00	0,00	0%
GEF Partner Agency	UNDP	in kind	400.000,00	387.000,00	97%
Multilateral Fund	ISPN (Amazon Fund through Brazilian Development Bank; Cerrado Landscape Management through WWF and EU)	grant	4.045.000,00	3.155.355,00	78%
		<b>TOTAL</b>	<b>10.345.000,00</b>	<b>5.087.346,00</b>	<b>49%</b>

For the next Call for Proposals two new co-financing partnerships will be added. The first one with a contribution of US\$ 1.500.000,00, from the Socioenvironmental Fund of Brazilian Development Bank (BNDES), which aims at supporting socially-oriented investments with a focus on social inclusion, prioritizing projects that provide significant benefits to the living conditions

of low-income populations. The second one is Brazilian Dialogue (Diálogo Brasil)/ Climate Land Use Alliance (Clua), with a contribution of US\$ 80.000,00.

ISPN maintains constant dialogue with co-financers and has a high capacity for resource mobilization, which is very positive from the perspective of the project's financial sustainability. As new partnerships emerge, ISPN has been making efforts to expand and train its team to meet new demands.

#### **4.3.4 Project-level Monitoring and Evaluation Systems**

UNDP, National Steering Committee members, and strategic partners acknowledge and respect ISPN in its capacity for management, monitoring, and evaluation. ISPN monitoring system was presented to SGP implementation partners as a model that can inspire good practices among partners.

Monitoring and evaluations systems are high quality and provide the necessary information in a timely, transparent and cost-effective way, and with satisfactory involvement of key stakeholders through face-to-face and online meetings, and regular sharing of relevant information to National Steering Committee through e-mail. Methodologies and tools used for monitoring and evaluation promote learning and results that support project implementation. ISPN's platform, with its own system (Welight), facilitates the management and financial reporting, monitoring, and evaluation of projects.

Concerning local partners, guidelines for proposal writing and reporting include questions on all relevant indicators, what allows quantitative and qualitative inputs to monitoring and evaluation systems. ISPN's team also fill in a monitoring questionnaire as part of the process of analysis of grantees' reports. Another very important component for the M&E system is the field visits carried out on regular basis by ISPN team to each landscape. Strategic partners also provide support to local organizations implementing small projects. This is a key aspect for effective monitoring and evaluation, since communities face barriers in completing physical and financial monitoring forms, such as low literacy level and difficulties with technical terms (e.g. indicators); challenges brought by this novel dynamic for communities; overload on volunteer coordinators (many of whom are women and youth) and internet access. These barriers are being mitigated with support from strategic partners and innovative joint consultancy initiatives, in which several associations hire a local and territorial consultancy team.

Processes and tools are in place for planning and monitoring gender-sensitive goals: baseline, action plan, landscape-specific plans, gender-sensitive indicators. Gender-sensitive indicators are regularly monitored. An adequate volume of resources is allocated in an effective manner to monitoring and evaluation at all levels of project implementation. Resources are allocated effectively.

#### **4.3.5 Stakeholder Engagement**

The development of the current phase of SGP relied on the effective engagement of key institutions related to the program at various levels and stages of preparation, including proper consultation and agreement instances. At the landscape level, the project supports and reinforces partnership networks. Each context has its specific challenges and potentials but some general aspects must be observed as they impact the establishment of multisectoral platforms as conceived in the Project. Although there is significant support of National

Government institutions to the objectives of the project, political polarization in the country hinders the construction of local and regional partnerships involving governments. In fact, in many Brazilian municipalities, local governments are aligned with large-scale projects that do not meet the interests of communities. And while partnerships with universities and federal technical institutes are more accessible, they have little influence on local dynamics.

These factors explain why the core of partnership networks established in the landscapes consist of grantees, advisory organizations previously working with the communities and regional long-standing partnerships, such as ASA- Articulação do Semiárido Brasileiro, the Chapada das Veredas Partners Network, and the Pajeú Agroecology Network. Government representatives are invited to processes of dialogue with those partnership networks but do not effectively integrate the partnership or governance process.

In the Jequitinhonha region, there is a well-structured Partnership Network involving grantees, including governance rules and strong community cohesion. Additionally, there is the Chapada das Veredas Partner Network, which brings together CSOs and other research institutions around the theme of the impact of eucalyptus monoculture. This Partnership Network is engaged in a debate on the recognition of traditional communities (either *quilombola* or *groteira chapadeira*) by national and state levels, and the recovery of rights over their traditional territories. In Alto Poti, historical regional partnerships like ASA serve as the organizational reference, with significant involvement of Rural Workers' Unions. However, the social fabric is still fragile and requires time and efforts to strengthen further.

In Pajeú, the Agroecology Network, established in 2018, is a Platform with a publicly recognized trajectory. The challenge for the Strategic Partner in this landscape, Casa da Mulher do Nordeste, is greater, as the range of grantees includes organizations with which they have not previously collaborated. Moreover, they face prejudice and resistance due to the feminist nature of the organization. In the Arrojado River Basin, there is a network comprising pasture enclosure (*fecho de pastos*) associations and advisory organizations that regularly address territorial conflicts and environmental issues within the enclosures. There is an intention to create a broader network, including family farmers, extractivists, etc., with a more extensive agenda. However, this latter initiative is still in its early stages, with groups having only met occasionally so far.

Two other aspects deserve further reflection. First, the concept of landscape does not seem to align with the reality of communities and Brazilian public policies, which work with the concepts of watershed, region, and territory. Second, it is important to consider the existence of territorial management bodies involving governmental and non-governmental actors, such as Sustainable Rural Development Councils. The project works to strengthen organizations to influence these spaces, including women led organizations.

Concerning engagement of women, there are some relevant positive aspects to be highlighted. (i) Gender is considered by the National Steering Committee as an important criterium in the selection process of projects; (ii) Understanding of the relevance of gender issues for the achievement of Project objectives is widespread: women's active participation is valued, women's central role in "invisible economies" is acknowledged, women's workload burden as a result of unequal division of domestic and community work is recognized; (iii) This is reflected in resource allocation for projects led by women and inclusion of women's organizations (or women-led organizations) in multisectoral platforms; (iv) Women participated actively in the design of small projects, having their voices heard in definition of priorities to be addressed.

In Jequitinhonha and Pajeú, there are women's organizations (composed only by women) within partnership networks. During evaluator visits, gender workshops with external consultancy

began, both in Alto Poti and Pajeú. In Alto Poti, women suggested the idea of casas de farinha (cassava flour processing facilities) with attached kitchens to reduce their workload. In Arrojado, there was encouragement for women's involvement in defining project priorities for local organizations, but this involvement is still limited, partly due to women's historical distance from traditional territories, thus requiring further reinforcement. Women in Jequitinhonha appreciated preparatory workshops (related to management, planning, project design) because they connected with "alegriagem", a word they created to express the feeling of joy that is present in their collective action. In Alto Poti, young women were initially afraid in their first contact with the monitoring and accountability platform used in the Project, but they are engaged in learning.

There is some concern that gender actions are delayed; gender plans are still being developed with the contribution of external consultancy and could not be analyzed in this MTR. Women-focused economic initiatives are delayed, like the cassava flour processing facilities and kitchens in Alto Poti, causing some tension in communities, as they expected them to be functioning by June 2023.

Some recommendations to overcome barriers outlined in the gender action plan (PRODOC) have not been implemented yet, such as training activities for strategic partners, possibly in partnership with Casa da Mulher do Nordeste. Indeed, it was observed that strategic partners have limited confidence in working on gender issues, lacking methodologies and tools to work in this area. Strategic partners in Jequitinhonha, Alto Poti, and Arrojado lack gender specialists or continuous mentoring support in this area, and support hires are sporadic. Also, strategic partners in three landscapes have limited knowledge and experience on how to deal with cases of gender-based violence that arise in their work in the field. Online participation of Jequitinhonha women in the Pajeú Feminist School was considered ineffective and a large meeting with women involved in SGP was held, but with only four participants from the current project, being one from each landscape.

The engagement of youth is a significant focus for the involved organizations. Strategic partners have done efforts to ensure that selected organizations incorporate activities targeting women and youth in their small projects. These small projects offer a ray of hope for the youth. Efforts to engage youth in Alto Poti have fostered a sense of belonging within the project. They are actively participating in association activities, even assuming coordination roles. Additionally, they have launched an Instagram channel named "Fuxico do Sertão" and feel motivated by this initiative. In Jequitinhonha, youth prioritized topics such as family planning, youth public policies, cultural revival, education, rural school closures, leisure, street markets, and environmental racism. In this landscape, culture plays a central role in strengthening their connection to the territory. Moreover, youth are actively involved in communication efforts, which are crucial for their mobilization.

In both Alto Poti and Jequitinhonha, partnerships with EFAs (Agricultural Family Schools), which work with students aged 15 to 18 years old, are central to the local strategy. In fact, engaging students from EFAs provides a unique perspective. Young professionals, particularly women, who have graduated from EFAs are hired to offer consultancy for small projects. In Arrojado and Alto Poti, strategic partners have encouraged local associations to involve youth in project management, leveraging their familiarity with technology and availability.

While engagement of women and youth is a very positive achievement of the Project, it is essential to consider the workload burden on women and youth resulting from their involvement in projects management and support. Work contracts for young consultants working with communities are precarious and workplace safety conditions must be observed. In Alto Poti,



women and youth participate in project coordination as volunteers, part of the contribution to co-financing. Although this measure was decided by the community as a way to avoid suspicions or disputes, it is a situation that could potentially lead to an overload on these two segments.

There are cultural aspects such as prejudice against young people and challenges in intergenerational relationships that need to be addressed. In Alto Poti, youth have expressed complaints about a widespread perception that they are not interested in contributing and are only concerned about their cell phones. The strategic partner acknowledges that this is a misconception and believes that organizations need to adopt new methodologies capable of motivating youth participation.

#### **4.3.6 Social and Environmental Standards (Safeguards)**

At the preparatory phase, the project was considered to have a high risk in face of COVID pandemic, which was revised in the beginning of the implementation through the Social and Environmental Screening Procedure (SESP) in 2022. The overall risk rating of the project was changed to 'Moderate' (five of the six project risks identified through the SESP have been categorized as "Moderate"). To meet the SES requirements, safeguard plans have been prepared: (i) Stakeholder Engagement Plan (ii) and Gender Action Plan. Risks associated with biodiversity conservation and natural resource management, climate change, and community health, safety, and working conditions, and pollution prevention are being addressed through application of UNDP social and environmental standards, mitigation measures and proactive stakeholder engagement during project implementation.

A project safeguards plan was developed and besides taking risks into account in the project selection process, some questions on risks were incorporated in the report's templates, allowing continuous monitoring of the safeguards. So, each time the communities report, they respond to the safeguard-related questions. In addition, the SGP global team has developed an overall 'framework' guidance on safeguards which is being applied and piloted by SGP Brazil during OP7. ISPN also adopts an institutional safeguards policy and has a channel for reporting, an ombudsman. (link to ISPN's helpline - <https://ispn.org.br/ouvidoria-ispn/>).

Brazil is one of the countries piloting a new tool for safeguards. The safeguards questionnaire was adapted to the Brazilian reality and applied to all SGP grantees during project workshops, before the memorandum of agreements were signed, as a requirement. However, according to interviews during MTR, the questionnaire was assessed as not adequate to the reality of the communities and required a lot of time and effort from ISPN and grantees' teams. Lessons should be learned from that experience at the end of the project to inform next phase.

No revisions are needed in the risks identified in the project's most current SESP.

#### **4.3.7 Reporting**

UNDP considers that ISPN adequately meets the reporting requirements demanded by GEF. Up to the completion of the MTR, a PIR was submitted and evaluated with the highest score. Additionally, other documents produced by the implementing partner provided to the MTR team demonstrated high technical quality in their preparation. No adaptive management changes needing reporting were identified.

### **4.3.8 Communications & Knowledge Management**

ISPN continuously works on political advocacy based on experience in the territories. Regarding feedback mechanisms, they take the reverse approach: starting from workshops, ISPN usually publish materials covering practical group tools and more in-depth reflection publications.

A Project Communication Strategy was elaborated with a participatory approach, and it is working well with different levels of support from ISPN, depending on the capacity of each landscape. Events with communication impact and campaigns were carried out in the period. Landscape strategies were published and derived infographics were distributed to partners. Other relevant materials are being prepared to reinforce communities' contributions to environmental protection. One positive aspect to be highlighted is the engagement of youth in the communication action at the landscape level, generating a sense of belonging and ownership both for young women and men.

The project's main communication tools include the "There is PPP-ECOS here" (*Aqui tem PPP-ECOS*) platform and annual campaigns on the Cerrado, such as "Vote for the Cerrado," "What is the Cerrado," and "Cerrado, Heart of the Waters." Additionally, landscape strategies have been published, and infographics summarizing the main aspects of each landscape's strategy have been developed. T-shirts, cups and stickers have also been distributed.

To support Strategic Partners facing issues related to false narratives about environmental and climate change in the landscapes, a "Cerrado Handbook" is being developed for schools in the Arrojado landscape. Additionally, the project portfolio and website enhancement are being worked on. A Guide for collecting baseline data for projects will be produced. It is intended for community projects in the landscapes, with accessible language to empower these associations for use in other processes. Cross-landscape exchanges are central to the capacity building strategy of the project, and two virtual exchanges among four landscape strategic partners have been carried out so far. Moreover, events that allow bringing people out of the landscapes and into national debate spheres greatly expands their vision, perception, and awareness, and connecting to other landscapes and social movements.

Basic communication training processes have been conducted, especially for young people, covering topics such as using phones to take pictures, social media and designing communication strategies. The process is still in its early stages as the small projects are just beginning; soon, more stories about them will be available. Similarly, as partnership networks become more active, it will be possible to communicate more about the landscapes externally, contributing to raising public awareness of project outcomes and activities. ISPN provides different levels of support to communication at the landscape level, depending on the needs and capacities of each Strategic Partner.

National Steering Committee members are satisfactorily informed about the project's developments and have their requests for information responded in an adequate and timely way.

## **4.4 Sustainability**

### **4.4.1 Financial risks to sustainability**

There will be financial and operational continuity of SGP in Brazil, as Brazilian Government has confirmed its participation in the 8<sup>th</sup> Operational Phase of the Programme and has committed \$4 million for Small Grants. No gaps are expected between phases 7 and 8. Additionally, the

Brazilian Development Bank (BNDES) is composing the co-financing of the Operational Phase 7 for the first time. It is highly expected that this partnership will continue in the Operational Phase 8. SGP contributes to increase interest of major funders on less visible biomes, such as the Cerrado and Caatinga. No risks were identified to Financial Sustainability.

#### **4.4.2 Socio-economic risks to sustainability**

There is no significant socio-economic risk to the project sustainability. The management arrangement at landscape level allows autonomy for local partners in setting priorities, and there are significant efforts towards regularization and institutional strengthening of organizations, especially in management, considering that many grantees are managing resources for the first time.

The project tends to leave a legacy of organizational strengthening with medium and long-term repercussions. There is initial evidence that the communities will experience an improvement in their income and access to the market.

#### **4.4.3 Institutional framework and governance risks to sustainability**

Recently, the Federal government, with the support of UNDP, recreated the National Commission for the SDGs aiming to contribute to the internalization of the 2030 Agenda in the country. Among the first thematic committees created are those for the protection of traditional peoples and communities and the territorialization of the SDGs<sup>1</sup>.

The project and the implementing partner are respected within the Steering Committee, and the project's learnings receive the attention of the Brazilian GEF focal point. Similarly, the Brazilian Cooperation Agency (ABC) is monitoring the project and its achievements, expressing satisfaction with the project's direction as it completes 30 years of implementation in Brazil. Other federal partners manifest their approval for the project and its alignment to national government's policy priorities.

At regional and local level and at Legislative sphere, the demands of traditional communities receive less attention. The main partners for communities and OSC are the universities and federal institutes. There is little to no interest from local governments in supporting community initiatives. On the other hand, strategic partners and communities are strengthening ties and creating a new social fabric within the landscapes. Strengthening of local organizations in the field of advocacy and policy influencing promoted by the project also contributes to institutional sustainability.

Therefore, the project is not under institutional risk. There is a strong and cohesive network of civil society partners at the landscape and national levels, supported by the academic environment and the recognition of federal institutions, ensuring institutional and governance sustainability of the project.

#### **4.4.4 Environmental risks to sustainability**

SGP proposals were reviewed by the National Steering Committee comprised of experts in different fields, including biodiversity conservation, ecosystem services and sustainable resource management and grantees are constantly stimulated to reflect on environmental risks. However, worsening climate crisis complicates planning due to changes in rainfall patterns and long periods of drought. In view of those uncertainties, GEF's current norm of considering a maximum

---

<sup>1</sup> <https://www.undp.org/pt/brazil/news/comissao-nacional-para-os-ods-discute-prioridades-para-implementacao-da-agenda-2030-no-brasil>

extension of six months in the Projects increases the challenges for implementation and finalization of the project with achievement of all targets within the time frame. Communities and strategic partners are committed to overcoming these challenges, and it is expected that, over time, through the implementation of new technologies, the communities will gain greater resilience.

## **5 CONCLUSIONS & RECOMMENDATIONS**

### **5.1 Conclusions**

After three decades of SGP implementation in Brazil, involving multiple actors including governmental authorities, civil society organizations, and communities, significant learnings have been achieved. This has allowed for the refinement of the project's strategy, including its design and logical framework, and the incorporation of lessons learned. As a result, implementation arrangements are currently robust and have the potential for scaling up and mainstreaming.

The project contributes to country ownership, as it aligns with the Country Programme and the National Government's priorities, particularly with policy guidelines targeting environmental protection, family farmers and traditional peoples and communities.

The overall assessment of the project regarding the achievement of objectives and outcomes at the moment of the MTR is considered highly satisfactory. Project is being implemented efficiently, cost-effectively, and has been able to adapt to changing conditions progressing successfully in engaging community-based associations from four landscapes to promote tangible global environmental benefits and sustainable rural development. Additionally, it is fostering the creation of a new social fabric and enhancing ecological landscape resilience in the Cerrado and Caatinga biomes.

ISPN working methodology is praised for encouraging debate within communities, valuing their local knowledge, respecting their autonomy, and involving them in resource management instead of simply offering ready-made solutions. Additionally, ISPN demonstrates willingness to collaborate with strategic partners and other key stakeholders and discuss solutions openly and inclusively, either to solve problems or to take advantage of emerging opportunities. NSC members emphasized the high quality of presentations and information provided by ISPN, either virtually or in face-to-face meetings.

During the MTR period, 55% of the activities outlined in the work plan were implemented, considering budget execution for the main activities (grants; grants for upscaling and replication, multistakeholder platforms and communication). Within the framework of the end-project objective, 13 out of the 18 indicators, including five mandatory indicators, are on track to be reached. Five indicators have already been reached. Delays were observed in the initial phase of the Project, and measures are being taken to address this, such as extra support to grantees to speed up projects' implementation at the landscape level and build capacity of grantees in gender, with the contribution of external consultants.

Ecosystem services in both biomes are being enhanced through the implementation of activities by 47 community associations so far (78% of the EOP target), of which 53,5% have women in leadership positions. Agro-ecological and sustainable practices were adopted by 2,368 households so far (48,3% of EOP target), reinforcing positive traditional practices of natural resources management and stimulating innovations thus contributing to the transition towards sustainable production systems.

Governance at the landscape level is being enhanced. In two landscapes, Jequitinhonha and Pajeú, multistakeholder platforms are established, with regular meetings and sense of belonging (50% of the EOP target). These platforms involve multiple community associations, advisory organizations, family agricultural schools, academic institutions, and technical assistance governmental bodies to discuss alternatives to enhance socio-ecological resilience. In the other two landscapes, Arrojado and Alto Poti, platforms are still in the process of construction, with good perspectives to be functioning by the end of project. Among the members of the platforms, 16 are women-led organizations (107% of the EOP target). The institutional and political Brazilian context, characterized by the existence of power asymmetry between local organizations and big companies and by strong connections between local authorities and economically powerful interest groups, can be considered as an opportunity for a knowledge management exercise to build learning on multistakeholder platforms, involving the Strategic Partners, the NSC and UNDP.

Regarding Communication and Knowledge Management, the project developed a Communication Strategy with a participatory approach, that is working well with different levels of support from ISPN, depending on the capacity of each landscape. Communication, information, and mobilization products for communities and society around the project's objectives are being developed and widely disseminated. One positive aspect to be highlighted is the engagement of youth in the communication action at the landscape level, generating a sense of belonging and ownership both for young women and men.

The overall risk rating of the project is 'Moderate'. To meet the SES requirements, a Stakeholder Engagement Plan and a Gender Action Plan were elaborated. At the moment of the MTR a consultancy was supporting the revision of the landscapes' Gender Action Plans. Risks associated with biodiversity conservation and natural resource management, climate change, and community health, safety, and working conditions, and pollution prevention are being addressed through application of UNDP social and environmental standards, mitigation measures and proactive stakeholder engagement during project implementation. The social and environmental technologies supported by the SGP, in harmony with restoration measures and changes in production systems towards more sustainable alternatives, indicate positive impacts on community resilience in the face of climate change.

## 5.2 Recommendations

Most of the recommendations presented in this document were previously discussed with ISPN and some partners, while others were developed along with the draft report. Below, we present the recommendations, the related outcomes, and the actors to whom they are addressed.

**Outcome 1.1** Ecosystem services within Cerrado and Caatinga biomes, are enhanced through multi- functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities

- In indicator 7, to make it adequate to local context, substitute "national resource governance" by "local resource governance" ISPN and UNDP
- Information on youth participation in the Project should be included in the next PIRs and communication products, to capture progress in in this area, which is considered by all stakeholders as a key factor for the sustainability of organizations and for the landscapes' resilience. ISPN and UNDP

- At the level of landscapes, create protocols for teams to access institutional channels in cases of violence against women, children, and adolescents in communities. ISPN and Strategic Partners.
- Adopt safety measures for women professionals providing community consultancy in Jequitinhonha and Alto Poti (maybe accident insurance) and support strategies in case of pregnancy during consultancy provision. ISPN and Strategic Partners.

**Outcome 2.1** Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological Resilience

- In Upper Jequitinhonha Valley, strengthen the work on territorial rights of traditional communities, through seeking specialized legal advisory on territorial issues, contacting potential expert partners and evaluate the possibility of implementing community protocols to gain greater institutional legitimacy, according to ILO Convention 169. ISPN and CAV.
- Make a knowledge management effort to build learning on multistakeholder platform, considering its contextualization to Brazilian reality. Power asymmetry between local organizations and big companies and the connections between local authorities and economically powerful interest groups should be considered. ISPN, UNDP, CGN and Strategic Partners

#### **Project Implementation & Adaptive Management**

- Consider the possibility of allowing the purchase of vehicles with project resources, as it is a necessity for strategic partners in some areas where communities are in territories that are difficult to access and where vehicle rentals are not available. GEF.
- Considering that there are already safeguard verification mechanisms in the project approval phase, and the fact that requiring safeguard monitoring by small projects increases the burden on small associations, monitoring of safeguards should be simplified. A joint analysis of the instrument should be carried out and, questions that are not adequate to the reality of communities should be eliminated. GEF and UNDP.
- Continue seeking ways to simplify the prices quoting process, using online research, as it is adopted in other project financial platforms, and allowing collective quoting ((for various organizations with similar budget items).
- For OP 8, consider providing capacity building opportunities on gender and youth issues for teams involved in the initial phase of Project implementation including ISPN team. ISPN and UNDP.
- UNDP's communication area could more effectively support the visibility of innovations, learnings, and achievements of Small Grants Programme in Brazil. UNDP

#### **Sustainability**

- Include funding from GEF-8 to continue strengthening organizations supported on GEF 7, especially those managing grants for the first time. ISPN and UNDP.
- Adjust the overall risk categorization of the project to Moderate, as it was revised after the end of COVID Pandemic. UNDP.

## **ANNEXES**

Annex 1 MTR ToR

Annex 2 MTR evaluative matrix

Annex 3 Example Interview Guide used for data collection.

Annex 4 Ratings Scales

Annex 5 MTR mission itinerary

Annex 6 List of persons interviewed.

Annex 7 List of documents reviewed.

Annex 8 Signed UNEG Code of Conduct form.

Annex 9 MTR Report Clearance Form

Annex 10. Annexed in a separate file: Audit trail from received comments on draft MTR report.

Annex 11. Annexed in a separate file: Core Indicators

Annex 12. Annexed in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as 'investment mobilized' or 'recurrent expenditure')

## Mid-Term Review Terms of Reference

### **BASIC CONTRACT INFORMATION**

**Location:** Brazil

**Type of Contract:** Individual Contract

**Languages Required:** English and Portuguese

**Duration of Initial Contract:** Fifteen weeks.

**Expected Duration of Assignment:** Fifteen weeks.

### **BACKGROUND**

#### **A. Project Title**

BRA/20/G31 - Seventh Operational Phase of the GEF Small Grants Programme in Brazil.

#### **B. Project Description**

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled BRA/20/G31 - Seventh Operational Phase of the GEF Small Grants Programme in Brazil (PIMS 6278) implemented under NGO modality by the Implementing Partner *Institute for Society, Population and Nature (ISPN)*, which is to be undertaken in 2024. The project started on 25-October-2021 and is entering 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* ([https://erc.undp.org/pdf/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](https://erc.undp.org/pdf/Guidance_Midterm%20Review%20_EN_2014.pdf)).

The project was designed to support community organizations to achieve landscape resilience and sustainable development at the scale of rural landscapes, with the aim of progressively acquiring critical mass to reach a tipping point of adoption by rural and urban constituencies of adaptive practice and innovation for resilience-building. To achieve this, the project will foster adaptive management capabilities by enhancing technical know-how, developing planning and organizational skills, and strengthening innovation and experimentation capacities to enhance their agency in developing plans and priorities and carrying them out for landscape resilience. The project will also invest in strategic projects, which build knowledge and capacity, and generate synergies among other smaller local actions, with the aim of building long-term ecological social and economic resilience in rural landscapes. The project has a strong commitment to attending the specific needs of vulnerable sub-groups within the communities that often tend to be placed on the margin of social processes: women, youth and traditional communities (quilombolas, indigenous, etc.), through supporting their productive and sustainable initiatives.

Focused on Cerrado and Caating biomes, it has a concentrated effort in four landscapes, where a 'landscape approach' is applied, identified through criteria established by the SGP National Steering Committee: for Cerrado biome the project is focused on Western Bahia and Upper Jequitinhonha Valley in Minas Gerais. As for the Caating biome the select areas are Sertão do Pajeú and Upper Poti River Basin, in the states of Pernambuco and Piauí, respectively.



In the Cerrado and Caatinga biomes, the loss of biodiversity and negative impacts on ecosystem services are largely tied to changes in unsustainable land use conversion, as traditional management practices increasingly give way to agribusiness and extensive monocultures. Besides resulting in biodiversity loss, as well as increased emissions of greenhouse gases, these changes in land use and encroachment on traditional territories have had devastating impacts on communities depending on natural resources for their survival. Particularly, the conversion of natural vegetation to monoculture has reduced, polluted and in some cases eliminated water supply and limited forage for local livestock and wildlife, impacted soil quality for production and affected communal tenure. Although advances have been made regarding some recognition of traditional communities' rights to their territories and natural resources use, local and regional economic interests (e.g., for ranching, agribusiness, mining and infrastructure development) are commonly more privileged.

Priority is commonly given to supplying export markets of beef and grains and this means incentives are increasingly steered towards agribusiness, resulting in decreasing competitiveness of small-scale agricultural holdings. There is also a tendency for small holders to replicate non-sustainable practices, often stimulated by extension agencies. Agricultural loan programs are generally limited to financing technological packages and conventional chemical-based agriculture, and agricultural extension, when available, generally follows this approach.

With different interest groups competing for the same land resources, traditional communities and family farmers are often at a disadvantage, and their organizations generally do not have the capacity to both advocate for their rights and at the same time establish initiatives for developing more sustainable land use practices. Changes in land use result in loss of landscape resilience and, thereby, negatively impacting families' well-being, often resulting in increased poverty, weakened food security and rural outmigration. There are several challenges, therefore, in transitioning to more sustainable agricultural practices, such as agroecology, which involve investments and adoption of new practices and technologies. Furthermore, conventional technical extension services can often exclude the most marginalized, especially women. There is the tendency of providing extension support to male members of families in technical trainings and meetings, with the assumption that they are solely responsible for all forms of agricultural production within the family units.

The project has a duration of 60 months, starting on October 25<sup>th</sup>, 2021, and is estimated to end on October 24<sup>th</sup>, 2026, with a budget of US\$ 4,481,210.00 funded by GEF and a planned co-financing of US\$ 10,345,000.00.

ISPN is responsible for the day-to-day management and implementation of project activities with the support of a full time Country Programme Manager (CPM) and under the leadership of the National Steering Committee (NSC). The project is implemented with UNDP support, and UNDP ensures that the project receives technical and managerial support, as needed, from the UNDP Country Office, and from the regional team, as well as the global team responsible for project oversight for all GEF-SGP upgraded Country Programme projects.

### **C. MTR Purpose**

Considering it is a full size GEF project and it has reached half of its implementation period, the MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document (PRODOC) 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 (if they have one and if they don't, then assist them in preparing one at the mid-term).

In addition, the MTR will serve as baseline for the project implementation unit to adjust implementation plan or act upon possible shortcomings for UNDP Brazil and ISPN) to assess implementation.

## **DUTIES AND RESPONSIBILITIES**

### **D. MTR Approach & Methodology**

The MTR report must provide evidence-based information that is credible, reliable, and useful.

The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e., Project Identification Form (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 team will review the baseline GEF focal area Core Indicators submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach<sup>1</sup> 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.

Engagement of stakeholders is vital to a successful MTR.<sup>2</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to: NSC members, grantees, executing agencies, senior officials and task team, key experts and consultants in the subject area, Project Board, project stakeholders, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to two out of the four priority landscapes of the project (to be determined among the four possibilities: Western Bahia; Upper Jequitinhonha Valley in Minas Gerais; Sertão do Pajeú, in Pernambuco or Upper Poti River Basin, in Piauí).

The specific design and methodology for the MTR should emerge from consultations between the MTR team 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 team 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 interview schedule, field visits and data to be used in the MTR should be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

<sup>1</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

<sup>2</sup> 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.

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 team 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, considered 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 programme 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, Time-bound), 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*; colour 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 analyse 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.
- 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 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 to align financing priorities and annual work plans?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
		<b>TOTAL</b>			

- 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 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. 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 risks<sup>3</sup> (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 fulfil 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

- 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**

---

<sup>3</sup> Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEP’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.

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the Quantum 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 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 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 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 team 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 ratings scales.

## F. Expected Outputs and Deliverables

The MTR team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than **2 weeks** before the MTR mission. To be sent to the Commissioning Unit and project management. Completion date: (15/01/2024)
- Presentation: MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: (15/03/2024)
- Draft MTR Report: MTR team submits the draft full report with annexes **within 3 weeks** of the MTR mission. Completion date: (29/03/2024)
- Final Report\*: MTR team submits the revised report with annexed and completed Audit Trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit **within 1 week** of receiving UNDP comments on draft. Completion date: (18/04/2024)

\*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

Commissioning Unit (UNDP Country Office Brazil):

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is the UNDP Country Office Brazil and is responsible for:

- Approve MTR inception report (formally agree on MTR mission)
- Ensure the timely provision of per diems and travel arrangements within the country for the consultant.
- Participate in wrap up meeting in which the MTR team presents initial findings.
- Coordinate the MTR report review and comment process; send report with comments to the MTR team.
- Review final MTR report, sign the MTR clearance form in Annex 3 (ToR Annex F), and send to RTA for their final approval and signature.
- Approve payments.

Project Team (ISPN)

- Approve MTR inception report (formally agree on MTR mission)
- Assist with logistics (make sure itineraries are set for MTR mission and stakeholders are informed with sufficient notice)
- Assist in sending formal requests for interviews for the MTR mission as necessary.
- Support MTR interviews if requested.
- Participate in wrap up meeting in which the MTR team presents initial findings.

## H. Duration of the Work



The total duration of the MTR will be approximately eight to fifteen weeks starting on January 15<sup>th</sup>, 2024, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- (15/01/2024): Prep the MTR Team (handover of project documents) and kick-off meeting.
- (11 to 15/01/2024) 4 days: Document review and preparing MTR Inception Report
- (15 to 19/01/2024) 5 days: Finalization and Validation of MTR Inception Report- latest start of MTR mission
- (22/01 to 23/02) 21 days: Preparation of MTR mission logistics according to MTR Inception Report
- (26/02 to 12/03/2024) 12 days: MTR mission: stakeholder meetings, interviews, field visits
- (13 to 15/03/2024): Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- (18 to 29/03/2024) 10 days: Preparing draft report.
- (01 to 05/04/2024) 5 days: Incorporating audit trail on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report)
- (08 to 18/04/2024): Preparation & Issue of Management Response
- (19/04/2024): Expected date of full MTR completion.

The expected start date of contract is 15/01/2024.

## I. Duty Station

The duty station of the MTR is Brasilia, Brazil. Consultant is expected to conduct field missions to **two** out of the four priority landscapes of the project: Western Bahia; Upper Jequitinhonha Valley in Minas Gerais; Sertão do Pajeú, in Pernambuco or Upper Poti River Basin, in Piauí.

### Travel:

- International travel (if not based in Brazil) will be required to Brazil during the MTR mission.
- The BSAFE training course must be successfully completed prior to commencement of travel; Herewith is the link to access this training: <https://training.dss.un.org/courses/login/index.php> These training modules at this secure internet site is accessible to consultants, which allows for registration with private email.
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

## **REQUIRED SKILLS AND EXPERIENCE**

### J. Qualifications of the Successful Applicants

One independent consultant will conduct the MTR. 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 project's related activities.

The selection of consultant will be aimed at maximizing the overall qualities in the following areas:

**Mandatory Requirements (must be documented on CV or P11):**

Education

- A master's degree in environmental or social Sciences or other closely related field.

Experience

- 10 years of experience in relevant technical areas in biodiversity conservation, climate change, sustainable development, etc.
- 5 years of demonstrated understanding of issues related to gender and Biodiversity, Climate Change and Land Degradation.
- Knowledge of and experience with UNDP and/or GEF projects is required.
- Experience working in Latin America, specifically Brazil.
- Recent experience, in the last five years, with result-based management evaluation methodologies.
- Experience applying SMART targets and reconstructing or validating baseline scenarios.
- Competence in adaptive management, as applied to Biodiversity, Climate Change and Land Degradation.
- Experience in evaluating projects.

Language

- Fluency in written and spoken English.
- Fluency in written and spoken Portuguese.

**Desired Requirements:**

- Project evaluation/review experience within United Nations system and/or UNDP/GEF projects;
- Experience with the GEF Small Grants Programme;
- Experience in gender sensitive evaluation and analysis.

**K. Ethics**

The MTR team 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 team 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 team 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 TE Report Clearance Form) and delivery of completed TE 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.

## **APPLICATION PROCESS**

### **M. Recommended Presentation of Offer**

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)<sup>4</sup> provided by UNDP;
- b) **CV or Personal History Form** ([P11 form](#)<sup>5</sup>);
- c) **Financial Proposal** that indicates the all-inclusive fixed total contract price supported by a breakdown of costs, 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. Travel costs will be handled by the Commissioning Unit and must not be included in the Financial Proposal.

### **N. Criteria for Selection of the Best Offer**

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

---

<sup>4</sup>

<https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

<sup>5</sup> [http://www.undp.org/content/dam/undp/library/corporate/Careers/P11\\_Personal\\_history\\_form.doc](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)

CRITERIA	MAXIMUM SCORE
<b>CV Evaluation</b>	
<b>Project evaluation/review experience within United Nations system and/or UNDP/GEF projects</b> 7 points per evaluation/review experience.	35
<b>Experience with the GEF Small Grants Programme.</b> 7 points per year of experience.	35
<b>Experience in gender sensitive evaluation and analysis.</b> 6 points per evaluation report.	30
<b>Total</b>	<b>100</b>

#### **Final classification**

Commercial proposals will only be opened from candidates who obtain the Final Technical Score with a minimum of 70 points in the 2nd Stage (Curriculum Analysis).

The Final Result - RF of the candidate's process will be given by the sum of the Final Technical Score NT multiplied by the factor 0.70, with the Commercial Proposal Score NC multiplied by the factor 0.30, that is:

$$RF = NT \times 0.70 + NC \times 0.30$$

The Commercial Proposal Score – NC will be calculated according to the following:  $NC = 100 \times \text{MinPP} / P_{pi}$

Where:

NC = Commercial proposal grade

MinPP = Lowest Price Proposal

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

The lowest price proposal will be scored 100 (one hundred).

## O. Annexes to the MTR ToR

### **Annexes to Midterm Review Terms of Reference**

- ToR ANNEX A: List of Documents to be reviewed by the MTR Team
- ToR ANNEX B: Guidelines on Contents for the Midterm Review Report<sup>6</sup>
- ToR ANNEX C: Midterm Review Evaluative Matrix Template
- ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants<sup>7</sup>
- ToR ANNEX E: MTR Ratings and Achievements Summary Table and Rating Scales
- ToR ANNEX F: MTR Report Clearance Form
- ToR ANNEX G: Audit Trail Template
- ToR ANNEX H: Progress Towards Results Matrix
- ToR ANNEX I: GEF Co-Financing Template (provided as a separate file)

---

<sup>6</sup> The Report length should not exceed 40 pages in total (not including annexes).

<sup>7</sup> <http://www.unevaluation.org/document/detail/100>

**ANNEX 2 - Review Evaluative Matrix**

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
<b>PROJECT STRATEGY: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
<b>Project design</b>			
<p>Are the project underlying assumptions adequate (or relevant) to the problem?</p> <p>Did the underlying assumptions or changes in the context have any effect on the project results?</p>	<p>The project underlying assumptions are relevant to the problem.</p> <p>Project results were not affected by the changes in the context.</p>	<p>Project documents</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key stakeholders</p> <p>National Steering Committee</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p>
<p>Were lessons from other relevant projects properly incorporated into the project design?</p>	<p>Lessons learned from other relevant projects were properly considered in the project design</p>	<p>Project documents</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key stakeholders</p> <p>National Steering Committee</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p>
<p>Was the project concept in line with the national sector development priorities and plans of the country?</p>	<p>Degree to which the project is in line with national development priorities and Country Programme</p>	<p>Project documents</p> <p>Country Programme (2017-2021; 2024-2027)</p> <p>Project team (Implementing Partner/ISPN)</p> <p>National Steering Committee</p> <p>UNDP team</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of the National Steering Committee</p> <p>Interviews with members of UNDP team</p>
<p>To what extent were the perspectives of people who would be affected by project decisions, people who could affect the results and people who could provide information or other</p>	<p>Level of participation of those who would be affected by project decisions, those who could affect the outcomes, and those who could</p>	<p>Project documents</p> <p>PIF and PPG</p>	<p>Document analysis</p>

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
resources to the process considered during the project design processes?	provide information or other resources during the project design	Project team (Implementing Partner/ISPN)  Landscape Strategic partners and key Stakeholders  National Steering Committee	Interviews with Project team (Implementing Partner/ISPN)  Interviews with Landscape Strategic partners and key stakeholders  Interviews with members of the National Steering Committee
Were relevant gender issues raised in the Project Document?	Relevant gender issues were raised in the Project Document	Project documents  Project team (Implementing Partner/ISPN)  Landscape Strategic partners and key Stakeholders  Women-led organizations  National Steering Committee  UNDP team	Document analysis  Interviews with Project team (Implementing Partner/ISPN)  Interviews with Landscape Strategic partners and key stakeholders  Interviews with members of women-led organizations  Interviews with members of the National Steering Committee  Interviews with members of UNDP team
<b>Results Framework/Logframe</b>			
How "SMART" (Specific, Measurable, Attainable, Relevant, Time-bound) the midterm and end-of-project targets are?	Degree to which midterm and end-of-project targets are "SMART"	Project documents  Project team (Implementing Partner/ISPN)  Landscape Strategic partners and key stakeholders  National Steering Committee  UNDP team	Document analysis  Interviews with Project team (Implementing Partner/ISPN)  Interviews with Landscape Strategic partners and key stakeholders  Interviews with members of the National Steering Committee  Interviews with members of UNDP team



EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
<p>Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?</p>	<p>Degree to which the project's objectives and outcomes or components clear, practical, and feasible within its time frame</p>	<p>Project documents</p> <p>PIR</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key stakeholders</p> <p>National Steering Committee</p> <p>UNDP team</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p> <p>Interviews with members of UNDP team</p>
<p>Has progress so far led to or could in the future catalyse beneficial development effects that should be included in the project results framework and monitored on an annual basis?</p>	<p>Degree to which progress so far led to beneficial development effects.</p> <p>Beneficial development effects were included in the project results framework and are monitored on an annual basis.</p>	<p>Project documents</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key stakeholders</p> <p>National Steering Committee</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p>
<p>Are broader developments of the project being monitored effectively?</p> <p>Are gender sensitive indicators being monitored effectively?</p>	<p>Degree to which broader development and gender aspects of the project are being monitored effectively</p>	<p>Project documents</p> <p>Gender Action Plan</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Women-led organizations</p> <p>Landscape Strategic partners and key stakeholders</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of Women-led organizations</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p>

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
		National Steering Committee  UNDP team	Interviews with members of the National Steering Committee  Interviews with members of UNDP team
<b>PROGRESS TOWARDS RESULTS: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
Analysis of the progress made towards the end-of-project targets (logframe), identifying remaining barriers to achieving the project objective in the remainder of the project and aspects of the project that have already been successful in which the project can further expand these benefits.	<p><b>Project objective:</b> to build socio-ecological and economic resilience in the Cerrado and Caatinga biomes through community-based activities for global environmental benefits and sustainable rural development.</p> <p>Analysis of 5 Mandatory Indicators (1-5), 3 core indicator</p> <p><b>Project component 1:</b> Resilient landscapes for sustainable development and global environmental protection Analysis of 7 indicators (6-12) and 4 outcomes and 4 outputs</p> <p><b>Project component 2:</b> Landscape governance and adaptive management for upscaling and replication Analysis of 6 indicators (13-18), 2 outcomes and 4 outputs</p>	Project documents  Project Monitoring Tools  Progress Towards Results Matrix  Annual Project Review/PIRs  Project team (Implementing Partner/ISPN)  National Steering committee  Landscape Strategic partners and key stakeholders  SGP Grantees and/or projects' beneficiaries    UNDP team	Document analysis.      Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of National Steering committee  Interviews with Landscape Strategic partners and key stakeholders  Interviews and/or focus group with SGP Grantees and/or projects' beneficiaries, with special attention to gender issues.  Field observation (areas of direct project implementation).  Interviews with members of UNDP team
<b>PROJECT IMPLEMENTATION AND ADAPTIVE MANAGEMENT: Has the project been implemented efficiently, cost-effectively, and 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? To what extent has progress been made in the implementation of social and environmental management measures? Have there been changes to the overall project risk rating and/or the identified types of risks as outlined at the CEO Endorsement stage?</b>			

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
<b>Management arrangements</b>			
<p>Have changes been made to project management and are they effective?</p> <p>Are responsibilities and reporting lines clear?</p> <p>Is decision-making transparent and undertaken in a timely manner?</p>	<p>Changes generated from project interventions.</p> <p>Definition and execution of responsibilities and reporting lines.</p> <p>Execution of decision making.</p>	<p>Project documents.</p> <p>Project Monitoring Instruments</p> <p>Annual Project Review/PIRs</p> <p>Matrix of progress in achieving results</p> <p>Project team (Implementing Partner/ISPN)</p>	<p>Progress data and documents Analysis.</p> <p>Field observation</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p>
<p>What is the quality of the execution of the Executing Agency/Implementing Partner?</p>	<p>Effectiveness in achieving results in the planned time.</p> <p>Ability to coordinate actions with landscape strategic partners and key stakeholders.</p> <p>Ability to solve problems and use opportunities</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key stakeholders.</p> <p>UNDP team</p> <p>National Steering committee</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of UNDP team</p> <p>Interviews with members of National Steering committee</p>
<p>What is the quality of the support provided by the GEF Partner Agency (UNDP)?</p>	<p>Problem-solving guidance provided.</p> <p>Counseling and support at the appropriate time for the execution of project requirements provided.</p> <p>Communication at the Steering Committee level facilitated.</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>UNDP team</p> <p>National Steering Committee</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of UNDP team</p> <p>Interviews with members of National Steering Committee</p>
<p>Do Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women?</p>	<p>Percentage of members of teams (ISPN, UNDP, and landscapes implementing partners) with sufficient awareness and knowledge of relevant gender issues.</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>UNDP team</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of UNDP team</p>

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
	Women's groups report benefits in terms of capacity building, access to positions of power and/or income generation	National Steering Committee  Women-led organizations	Interviews with members of National Steering Committee  Interviews with members of women-led organizations
What is the gender balance of project staff?  What steps have been taken to ensure gender balance in project staff?	Percentage of women in the ISPN team  Policies and practices adopted to ensure balance in the project staff	Project team (Implementing Partner/ISPN)  UNDP team	Interviews with ISPN team.  Interviews with members of UNDP team
What is the gender balance of the Project Board?  What steps have been taken to ensure gender balance in the Project Board?	Percentage of women in the Project Board  Policies and practices adopted to ensure balance in the Project Board	National Steering Committee	Interviews with National Steering Committee
<b>Work planning</b>			
Were there any delays in project start-up and implementation?  If there were any delays, what were the causes, and were they resolved?	Proportion of activities implemented in accordance with the Work Plan.  Corrective actions for delayed execution of activities.	Project team (Implementing Partner/ISPN)  UNDP team  Landscape Strategic Partners	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Interviews with Landscape Strategic Partners
Are work-planning processes results-based?	Activities planning and implementation within the project's Results Framework.	Project team (Implementing Partner/ISPN)  UNDP team	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team
Is the project's results framework/ logframe used as a management tool?  Have any changes been made to the project's results framework/ logframe since project start?	Frequency of Implementing Partner team meetings to review the Results framework/ logframe  Adaptive management changes carried out efficiently	Project team (Implementing Partner/ISPN)  UNDP team  Landscape Strategic Partners  Project Documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Interviews with Strategic Partners  Document Analysis
<b>Finance and co-finance</b>			
What was the quality of the financial management of the project?	Budget execution according to interventions. Number of activities executed. Results achieved.	Project team (Implementing Partner/ISPN)	Interviews with Project team (Implementing Partner/ISPN)

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
How cost effective were project's interventions?		UNDP team  Project Documents	Interviews with members of UNDP team  Document Analysis
Have any changes been made to fund allocations as a result of budget revisions?  Were those revisions appropriate and relevant?	Appropriate and relevant budget revisions.	Project team (Implementing Partner/ISPN)  UNDP team  Project Documents  National Steering Committee	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Document Analysis  Interviews with members of National Steering Committee
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?	Existence of efficient budget control strategies and management tools	Project team (Implementing Partner/ISPN)  UNDP members of UNDP team  Project Documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Document Analysis
Is co-financing being used strategically to help the objectives of the project?  Is the ISPN team meeting with all co-financing partners regularly to align financing priorities and annual work plans?	Degree of compliance with co-financing agreements  Periodic meetings to align or follow up agreements with financial partners	Project team (Implementing Partner/ISPN)  Co-Financing Partners  UNDP team  Project Documents  GEF Co-Financing filled template	Interviews with Project team (Implementing Partner/ISPN)  Interviews with Co-Financing Partners  Interviews with members of UNDP team  Document Analysis  GEF Co-Financing template Analysis
<b>Project-level monitoring and evaluation systems</b>			
Do the monitoring and evaluations systems provide the necessary information?  Do they involve key partners?  Are they aligned or mainstreamed with national systems?  Do they use existing information?	Level of information access provided by M&E systems  Degree of key partners involvement in M&E processes  Recommendations from the M&E systems consider existing information, are incorporated	Project team (Implementing Partner/ISPN)  UNDP team  National Steering Committee	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Interviews with National Steering Committee

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
<p>Are they efficient? Are they cost-effective?</p> <p>Are additional tools required?</p> <p>How could they be made more participatory and inclusive?</p>	<p>into the execution of the project and are adapted to reality</p> <p>Methodologies and tools used for monitoring and evaluation promote learning and results that support project implementation</p>	<p>Landscape Strategic partners and key stakeholders.</p> <p>Project documents</p>	<p>Interviews with Landscape strategic partners, key stakeholders</p> <p>Document Analysis</p> <p>Local Observation</p>
<p>Are sufficient resources being allocated to monitoring and evaluation?</p> <p>Are these resources being allocated effectively?</p>	<p>Quantity and quality of resources allocation to monitoring and evaluation</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>UNDP team</p> <p>Project Documents</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of UNDP team</p> <p>Document Analysis</p>
<p>Were relevant gender issues incorporated in monitoring systems?</p>	<p>Level of incorporation of gender issues in monitoring systems</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>UNDP team</p> <p>Landscape Strategic Partners</p> <p>Women-led Organizations</p> <p>Project Documents</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of UNDP team</p> <p>Interviews with Landscape Strategic Partners</p> <p>Interviews with Women Organizations</p> <p>Document Analysis</p>
<b>Stakeholder Engagement</b>			
<p>Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?</p>	<p>Existence of multisectoral platforms in the 4 landscapes</p> <p>Diversity of actors engaged in each landscape in multisectoral platforms</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key stakeholders.</p> <p>Project documents</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Strategic partners and key stakeholders</p> <p>Document Analysis</p> <p>Local Observation</p>
<p>Do local government stakeholders support the objectives of the project?</p> <p>Do national government stakeholders support the objectives of the project?</p>	<p>Level of support of local and national government stakeholders to the objectives of the project.</p> <p>Level of support of local and national government stakeholders to the objectives of the project.</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key stakeholders.</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners</p> <p>Interviews with key stakeholders</p>

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
		Project documents	Document Analysis Local Observation
To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?	Contributions to the progress towards achievement of project objectives due to public awareness and stakeholder involvement	Project team (Implementing Partner/ISPN)  Landscape Strategic partners and key stakeholders.  National Steering Committee  Project documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with Landscape Strategic partners and key stakeholders  Interviews with members of the National Steering Committee  Document Analysis  Local Observation
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?  Are there any legal, cultural, or religious constraints on women's participation in the project?  What can the project do to enhance its gender benefits?	Degree of participation of women and girls in Projects activities and decision-making spaces  Strategies adopted by the Project to ensure equal effects for women, men, girls and boys  Strategies adopted by the Project to ensure the enhancement of gender benefits.	Project team (Implementing Partner/ISPN)  Landscape Strategic partners  Women-led Organizations  Girls and Boys involved in project activities  Project documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with Strategic partners  Interviews with members of Women-led organizations  Focus Group with girls and boys  Document Analysis  Local Observation
<b>Social and Environmental Standards (Safeguards)</b>			
Are any revisions needed in the risks identified in the project's most current SESP, and those risks' ratings?  What were and how were the revisions made since CEO Endorsement/Approval (if any) to: The project's overall safeguards risk categorization;	Number and appropriateness of Risks revisions in SESP	Project team (Implementing Partner/ISPN)  UNDP team  Project Documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Document Analysis

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
The identified types of risks (in the SESP); The individual risk ratings (in the SESP)			
What was the 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?	Existence and quality of Environmental and Social Management Plans (ESMPs)  Existence and quality of SESP revision	Project team (Implementing Partner/ISPN)  UNDP team  Project Documents  Landscape Strategic Partners	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Document Analysis  Interviews with Landscape Strategic Partners
<b>Reporting</b>			
How were adaptive management changes reported by the project management and shared with the Project board?	Frequency and quality of adaptive management changes reported to Project board	Project team (Implementing Partner/ISPN)  UNDP Staff team  National Steering Committee  Project Documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Interviews with National Steering Committee  Document Analysis
How well the ISPN team and partners undertake and fulfil GEF reporting requirements?	Level of compliance with GEF reporting requirements	Project team (Implementing Partner/ISPN)  UNDP team  Project Documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Document Analysis
How have lessons derived from the adaptive management process been documented, shared with key partners, and internalized by partners?	Periodicity of documentation and sharing of lessons derived from the adaptive management process with the main partners and internalized by them.  Partners' perceptions of the sharing of lessons learned.	Project team (Implementing Partner/ISPN)  UNDP team  Project Documents	Interviews with Project team (Implementing Partner/ISPN)  Interviews with members of UNDP team  Document Analysis
<b>Communications &amp; Knowledge Management</b>			
Is communication with stakeholders regular and effective?  Are there key stakeholders left out of communication?	Frequency and effectiveness of communication with stakeholders.  Communication feedback mechanisms	Project team (Implementing Partner/ISPN)  Landscape Strategic Partners and key stakeholders.	Interviews with Project team (Implementing Partner/ISPN)  Interviews with Landscape Strategic Partners and key stakeholders.



EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
<p>Are there feedback mechanisms when communication is received?</p> <p>Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?</p>	<p>Contributions of project communication to the sustainability of project results</p>	<p>Project Documents</p>	<p>Document Analysis</p> <p>Local Observation</p>
<p>Are proper means of communication established or being established to express the project progress and intended impact to the public?</p>	<p>Frequency and effectiveness of communication with stakeholders.</p> <p>Communication feedback mechanism</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic Partners and key Stakeholders</p> <p>Project Documents</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic Partners and key stakeholders.</p> <p>Document Analysis</p> <p>Local Observation</p>
<p>What was project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits?</p>	<p>Project's progress towards results in terms of contribution to sustainable development benefits</p> <p>Project's progress towards results in terms of contribution to global environmental benefits</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>UNDP team</p> <p>Project Documents</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of UNDP team</p> <p>Document Analysis</p>
<p>Which were the knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/ Approval)?</p>	<p>Number and list of knowledge activities/products developed</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>UNDP team</p> <p>Project Documents</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with members of UNDP team</p> <p>Document Analysis</p>
<p><b>SUSTAINABILITY: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b></p>			

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
<p>Are the risks identified in the Project Document, Annual Project Review/PIRs and the Quantum Risk Register the most important?</p> <p>Are the risk ratings applied appropriate and up to date?</p>	<p>Quality of risks identified in the Project Document, Annual Project Review/PIRs and the Quantum Risk Register</p>	<p>Project Documents (PRODOC, Annual Project Review/PIRs, Quantum Risk Register)</p> <p>Project Monitoring Tools</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key Stakeholders</p> <p>National Steering Committee</p> <p>SGP grantees and/or projects' beneficiaries</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p> <p>Interviews to SGP grantees and/or projects' beneficiaries</p>
<p>What is the likelihood of financial and economic resources not being available once the GEF assistance ends, considering 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)?</p>	<p>Existence and quality of implementation of mechanisms to prevent and mitigate financial and economic risks to the sustainability of project results</p>	<p>Project documents</p> <p>Project Monitoring Tools</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key Stakeholders</p> <p>National Steering Committee</p> <p>SGP grantees and/or projects' beneficiaries</p> <p>UNDP and ABC/MRE teams</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p> <p>Interviews to SGP grantees and/or projects' beneficiaries</p> <p>Interviews with members of UNDP and ABC/MRE teams</p>
<p>Are there any social or political risks that may jeopardize sustainability of project outcomes?</p>	<p>Existence and quality of implementation of mechanisms to prevent and mitigate financial</p>	<p>Project documents</p> <p>Project Monitoring Tools</p>	<p>Document analysis</p>

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
<p>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?</p> <p>Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?</p> <p>Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project?</p> <p>Are lessons learned being documented by the ISPN 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?</p>	<p>and economic risks to the sustainability of project results</p> <p>Level of key Stakeholders ownership</p> <p>Perception of the strategic actors regarding the need for continuity of the project's results.</p> <p>Existence and quality of a Communication Strategy that promotes stakeholders engagement</p>	<p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key Stakeholders</p> <p>National Steering Committee</p> <p>SGP grantees and/or projects' beneficiaries</p> <p>UNDP and ABC/MRE teams</p>	<p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p> <p>Interviews to SGP grantees and/or projects' beneficiaries</p> <p>Interviews with members of UNDP and ABC/MRE teams</p>
<p>Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits?</p> <p>While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.</p>	<p>Existence of governance strategies at different levels (local, multisectoral platforms and the Steering Committee)</p>	<p>Project documents</p> <p>Project Monitoring Tools</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key Stakeholders</p> <p>National Steering Committee</p> <p>SGP grantees and/or projects' beneficiaries</p> <p>UNDP and ABC/MRE teams</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p> <p>Interviews to SGP grantees and/or projects' beneficiaries</p> <p>Interviews with members of UNDP and ABC/MRE teams</p>

EVALUATION QUESTIONS	INDICATORS	SOURCES	METHODOLOGY
Are there any environmental risks that may jeopardize sustenance of project outcomes?	Existence and quality of the implementation of mechanisms to prevent and mitigate environmental risks for the sustainability of project outcomes	<p>Project documents</p> <p>Project Monitoring Tools</p> <p>Project team (Implementing Partner/ISPN)</p> <p>Landscape Strategic partners and key Stakeholders</p> <p>National Steering Committee</p> <p>SGP grantees and/or projects' beneficiaries</p> <p>UNDP and ABC/MRE teams</p>	<p>Document analysis</p> <p>Interviews with Project team (Implementing Partner/ISPN)</p> <p>Interviews with Landscape Strategic partners and key stakeholders</p> <p>Interviews with members of the National Steering Committee</p> <p>Interviews to SGP grantees and/or projects' beneficiaries</p> <p>Interviews with members of UNDP and ABC/MRE teams</p>

### Annex 3 – Interviews Guide

This questionnaire was elaborated as a tool to guide interviews and focus groups with all stakeholders, but adaptations were made according to each stakeholder's specific roles in the planning, implementation, monitoring and evaluation of the Project. Only relevant questions were made to each specific stakeholder, and vocabulary was also adapted to ensure good communication and adequate inputs from all.

<b>Project design</b>
To what extent did the preparatory assistance phase of the GEF contribute to the quality of the project, the logical framework, and the clarity of the matrix?
Are the project's underlying assumptions relevant to the problem? Did the underlying assumptions or changes in the context have any effect on the project results? How do changes in political and economic context interfere with the project? Were the project results affected by the changes in the context?
Were lessons from other relevant projects properly incorporated into the project design?
Was the project concept in line with the national sector development priorities and plans of the country? What is the importance of the project in the Country Programme? Or in relation to Brazilian policies?
To what extent were the perspectives of people who would be affected by project decisions, people who could affect the results and people who could provide information or other resources to the process considered during the project design processes?
Were relevant gender issues raised in the Project Document? How do you evaluate the project's gender strategy? Does it meet the requirements? Is anything missing?
<b>Results Framework/Logframe</b>
How "SMART" (Specific, Measurable, Attainable, Relevant, Time-bound) the midterm and end-of-project targets are? How do you assess the quality of the indicators? Would you change anything?
Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
Has progress so far led to or could in the future catalyse beneficial development effects that should be included in the project results framework and monitored on an annual basis?
Are broader developments of the project being monitored effectively? How has the project been monitored by ABC and by MF, MMA, and ICMBIO, NSC? How do they perceive the progress and barriers?
<b>Work planning</b>
Were there any delays in project start-up and implementation? <i>What is the proportion of activities implemented in accordance with the Work Plan?</i> If there were any delays, what were the causes, and were they resolved? <i>What are the corrective actions for delayed execution of activities?</i>
Are work-planning processes results-based?
Is the project's results framework/ logframe used as a management tool? Have any changes been made to the project's results framework/ logframe since project start?
<b>Finance and co-finance</b>

<p>What was the quality of the financial management of the project? How cost effective were project's interventions?</p>
<p>Have any changes been made to fund allocations as a result of budget revisions? Were those revisions appropriate and relevant?</p>
<p>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?</p>
<p>Is co-financing being used strategically to help the objectives of the project? Is the ISPN team meeting with co-financing partners regularly to align financing priorities and annual work plans?</p>
<p><b>Project-level monitoring and evaluation systems</b></p>
<p>Do the monitoring and evaluations systems 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?</p>
<p>Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?</p>
<p>Were relevant gender issues incorporated in monitoring systems?</p>
<p><b>Stakeholder Engagement</b></p>
<p>Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders? How diverse are the multisectoral platforms?</p>
<p>Do local government stakeholders support the objectives of the project? Do national government stakeholders support the objectives of the project?</p>
<p>To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?</p>
<p>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? Are there any legal, cultural, or religious constraints on women's participation in the project? What can the project do to enhance its gender benefits?</p>
<p><b>Social and Environmental Standards (Safeguards)</b></p>
<p>Are any revisions needed in the risks identified in the project's most current SESP, and those risks' ratings? What were and how were the revisions made since CEO Endorsement/Approval (if any) to: The project's overall safeguards risk categorization The identified types of risks (in the SESP) The individual risk ratings (in the SESP)</p>
<p>What was the 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? <i>Existence and quality of Environmental and Social Management Plans (ESMPs)</i> <i>Existence and quality of SESP revision</i></p>

<b>Reporting</b>
<p>How were adaptive management changes reported by the project management and shared with the Project board? <i>Frequency and quality of adaptive management changes reported to Project board</i></p>
<p>How well the ISPN team and partners undertake and fulfil GEF reporting requirements? <i>Level of compliance with GEF reporting requirements</i></p>
<p>How have lessons derived from the adaptive management process been documented, shared with key partners, and internalized by partners? <i>Periodicity of documentation and sharing of lessons derived from the adaptive management process with the main partners and internalized by them.</i> <i>Partners' perceptions of the sharing of lessons learned.</i></p>
<b>Communications &amp; Knowledge Management</b>
<p>Is communication with stakeholders 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? Frequency and effectiveness of communication with stakeholders. Communication feedback mechanisms Contributions of project communication to the sustainability of project results</p>
<p>Are proper means of communication established or being established to express the project progress and intended impact to the public? <i>Frequency and effectiveness of communication with stakeholders.</i></p>
<p>What was project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits? <i>Project's progress towards results in terms of contribution to sustainable development benefits</i> <i>Project's progress towards results in terms of contribution to global environmental benefits</i></p>
<p>Which were the knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/ Approval)? <i>Number and list of knowledge activities/products developed</i></p>
<p><b>SUSTAINABILITY: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b> Are the risks identified in the Project Document, Annual Project Review/PIRs and the Quantum Risk Register the most important? Are the risk ratings applied appropriate and up to date? <i>Quality of risks identified in the Project Document, Annual Project Review/PIRs and the Quantum Risk Register</i></p>
<p>What is the likelihood of financial and economic resources not being available once the GEF assistance ends, considering 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)? <i>Existence and quality of implementation of mechanisms to prevent and mitigate financial and economic risks to the sustainability of project results</i></p>
<p>Are there any social or political risks that may jeopardize 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?</p>

Are lessons learned being documented by the ISPN 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?  
*Existence and quality of implementation of mechanisms to prevent and mitigate financial and economic risks to the sustainability of project results*  
*Level of key Stakeholders ownership*  
*Perception of the strategic actors regarding the need for continuity of the project's results.*  
*Existence and quality of a Communication Strategy that promotes stakeholders' engagement.*

Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize 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.  
*Existence of governance strategies at different levels (local, multisectoral platforms and the Steering Committee)*

Are there any environmental risks that may jeopardize sustenance of project outcomes?  
*Existence and quality of the implementation of mechanisms to prevent and mitigate environmental risks for the sustainability of project outcomes*



#### Annex 4 - MTR Ratings & Rating Scales

<b>Ratings for Progress Towards Results: (one rating for each outcome and for the objective)</b>		
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.

<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
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.
---	----------------------------	--

<b>Ratings for Sustainability: (one overall rating)</b>		
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 5 MTR Mission Itinerary**

### **Upper Jequitinhonha Valley, Minas Gerais (February 18-22)**

#### **FEBRUARY, 19<sup>th</sup>**

**MORNING:** Inception Meeting with CAV's team and board for presentations, process alignment, and program review.

**AFTERNOON:** Focus group with women artisans, community members, and youth (Campo Buriti).

#### **FEBRUARY, 20<sup>th</sup>**

**MORNING:** Focus group with the board, teachers, and students of the Agricultural Family School of Veredinha.

**AFTERNOON:** Focus group with representatives from CAV (Community Advisory Board) and Traditional Peoples and Communities.

#### **FEBRUARY, 21<sup>st</sup>**

**MORNING:** Focus group with families served by Small Projects that received social technologies in rural areas.

**AFTERNOON:** Focus group with representatives from the Partnership Network and Multistakeholder Platform.

### **Poti River Basin, Piaui (March 12-14)**

#### **MARCH 12<sup>th</sup>**

**MORNING:** Inception Meeting with CF Mandacaru board and technical team.

**AFTERNOON:** Interview with representative of the local government - Municipal Secretary of Environment of Milton Brandão.

#### **MARCH 13<sup>th</sup>**

**MORNING:** Focus group with representatives of youth from associations benefiting from the project.

#### **MARCH 14<sup>th</sup>**

**MORNING:** Focus Group with the Association of Descoberta Settlement.

**AFTERNOON:** Focus group with the Association of the Lagoa do Mato Settlement.

**Annex 6 - List of persons interviewed**

Name	Institution	Contact
<b>National Steering Committee</b>		
1. Alda Alves da Silva	ABC/MRE	<a href="mailto:alda.silva@abc.gov.br">alda.silva@abc.gov.br</a>
2. Luana Lopes	Sustainable Development Coordinator – PNUD	<a href="mailto:luana.lopes@undp.org">luana.lopes@undp.org</a>
3. Isabel Figueiredo	Instituto Sociedade População e Natureza - ISPN	<a href="mailto:isabel@ispn.gov.br">isabel@ispn.gov.br</a>
4. Antônio José dos Santos Neto	Articulação do Semiárido Brasileiro -ASA	<a href="mailto:netosanttos@yahoo.com.br">netosanttos@yahoo.com.br</a>
5. Maria do Socorro Lima	CNS – Conselho Nacional das Populações Extrativistas	
6. Katia Torres	Specialist on environmental sciences - Climate (Diretoria de Ações Socioambientais e Consolidação Territorial – ICMBIO)	<a href="mailto:katia.ribeiro@icmbio.gov.br">katia.ribeiro@icmbio.gov.br</a>
7. Isabel Belloni Schmidt	Specialist on environmental sciences – Diversity (University of Brasilia – UnB)	<a href="mailto:isabels@unb.br">isabels@unb.br</a>
<b>GEF Operational Focal Point</b>		
8. Luana Magalhães Duarte de Araújo	Ministry of Finance (Sustainable Finance Coordinator)	<a href="mailto:livia.oliveira@economia.gov.br">livia.oliveira@economia.gov.br</a>
<b>Landscape Strategic Partners</b>		
9. Sara Rufino	Casa da Mulher do Nordeste (Pajeú Landscape)	<a href="mailto:sara.rufino@casadamulherdo-nordeste.org.br">sara.rufino@casadamulherdo-nordeste.org.br</a>
10. Valmir Soares	Centro de Agricultura Alternativa Vicente Nica – CAV (Alto Jequitinhonha Landscape)	<a href="mailto:vsmturmalina@gmail.com">vsmturmalina@gmail.com</a>
11. Elizete Barreto	Associação Comunitária dos Pequenos Criadores do Fecho de Pasto de Clemente – ACCFC (Arrojado Landscape)	<a href="mailto:elizcfb@gmail.com">elizcfb@gmail.com</a>
<b>UNDP Team</b>		
12. Carlos Montenegro	Technical Specialist for Local Action & SGP Upgraded Country Programmes	<a href="mailto:carlos.montenegro.pinto@undp.org">carlos.montenegro.pinto@undp.org</a>
13. Juliana Wenceslau	Strategic Planning Officer – UNDP	<a href="mailto:juliana.santos@undp.org">juliana.santos@undp.org</a>
14. Carlos Arboleda	Deputy Resident Representative	<a href="mailto:Carlosarboleda@pnud.org">Carlosarboleda@pnud.org</a>
15. Diana Salvemini	Senior Technical Advisor	<a href="mailto:diana.salvemini@undp.org">diana.salvemini@undp.org</a>
<b>ISPN Team</b>		
16. Jessica	Technical Advisor	<a href="mailto:jessica@ispn.org.br">jessica@ispn.org.br</a>
17. Livia Moura	Technical Advisor	<a href="mailto:livia@ispn.org.br">livia@ispn.org.br</a>

**Field Visit in Upper Jequitinhonha Valley, Minas Gerais (18-22 February)****INCEPTION MEETING WITH CAV TEAM – 19<sup>th</sup> FEBRUARY 2024**

<b>Name</b>	<b>Function/Role</b>
Aclemilson Gonçalves da Silva	Technical Team
Bianca Francisco de Souza	Local Communicator
Creta Oggiani	Internacional Intern
Jaison de Fatima Soares Sousa	Technical Team
João Antonio Gonçalves Barbosa	Environmental trainer
Joelma Soares de Souza	Director – Young women and communication
José Murilo Alves de Souza	Technical Team
Josiane Fernandes Rocha	Administrative Assistant
Maria Aparecida das Graças Oliveira	Pedagogue
Polyana Maria Ferreira Barbosa	Technical Team
Renato Alves de Souza	Technical Team
Roberta Alves Silva	Technical Team
Samuel Meireles Nogueira	Pedagogue
Sueli Gomes Fernandes	Technical Team
Valmir Soares	Coordinator/CAV

**FOCUS GROUP WITH WOMEN AND GIRLS FROM THE CAMPO DO BURITI COMMUNITY ASSOCIATION – 19<sup>th</sup> FEBRUARY 2024**

<b>Name</b>	<b>Function/Role</b>
Altina Gomes dos Santos	Community member
Clara Gomes	Youth
Debora Gomes	Community member
Deusanir Gomes	Artisan
Dulcineia Gomes Barbosa	Community member
Edna Gomes	Artisan
Eva Gomes	Teacher
Fatima Gomes	Multisectoral platform
Faustina Lopes	Partnership Network
Ivanilde Aparecida Gomes	Community member
Junia Gomes	Community member
Magda Gonçalves	Community member
Marcilene Aparecida Barbosa	Community member
Maria Aparecida Lopes	Community member
Poliana Lopes	Director
Samuel	Community member
Teresinha Lopes	President of the association
Valdina Gomes da Coista	Community member
Valmir Soares	Coordinator/CAV

**FOCUS GROUP AT VEREDINHA FAMILY AGRICULTURAL SCHOOL (ESCOLA FAMÍLIA AGRÍCOLA DE VEREDINHA)  
20<sup>th</sup> February 2024**

**MORNING**

**FOCUS GROUP WITH EFAV STUDENTS AND TEACHERS**

Alan Lima	Student
Ana Soares	Teacher
Ianca Santos	Teacher
José Itamar	Assistant Coordinator
Laiara Lima	Student
Margarete Alves de Oliveira	Teacher
Neltinha Oliveira	School Coordinator
Roberta Alves Silva	CAV Team
Vitor Aparecido Martins	Teacher

**AFTERNOON**

**FOCUS GROUP WITH TRADITIONAL PEOPLE FROM COMMUNITIES**

<b>Name</b>	<b>Community</b>
João Batista da Silva	Catente Association
João Nunes dos Santos	Monte Alegre
José Maria dos Santos	Catente Association
Maria Rodrigues	EFA
Renato Alves de Souza	CAV Team
Roberta Alves Silva	Technical Team CAV
Teresa	Gameleira
Valmir Adriano	Catente Association
Valter de Souza	São Sebastião Association
Zé de Souza	Boiadas

**FOCUS GROUP WITH MULTISECTORAL PLATFORM AT THE ASSOCIAÇÃO DE MULHERES  
AGRICULTORAS (ASMAFA) – 21<sup>th</sup> FEBRUARY 2024**

<b>Name</b>	<b>Function/Role</b>
Faustina Lopes da Silva	Partnership Network
Francisco Gomes de Azevedo	Partnership Network
Joao Antonio	CAV Team
João Gomes de Azevedo	Partnership Network
José Maria	Partnership Network
Nilton Gomes Pereira (seu Neco)	Partnership Network
Salete	Partnership Network
Santa Azevedo	Partnership Network
Santa Luiz de Azevedo	Partnership Network
Valmir Soares	Coordinator CAV

**Interview with representative of the local government**

Warlen Francisco da Silva – Turmalina Vice Mayor

**Field Visit in Poti River Basin, Piauí (March 12-14 2024)****INCEPTION MEETING WITH CF MANDACARU BOARD AND TECHNICAL TEAM, MARCH 12<sup>th</sup>**

<b>Name</b>	<b>Function/Role</b>
Francisco Uchoa	Project Coordinator
Francineide Pereira	Founding Member of Centro Mandacaru, Biblical Counseling, Financial Coordination
Neto Santos	Representative of ASA at NSC, General Coordination of the Centro Madancaru)
Claudete Soares	Technical Advisor
Claudiana Barroso	Community Liaison - Agricultural Technician, Agroecology Technologist
Keilane Lima	Community Liaison - Agricultural Technician, Pedagogue

**INTERVIEW WITH REPRESENTATIVE OF THE LOCAL GOVERNMENT, MARCH 12<sup>th</sup>**

<b>Name</b>	<b>Function/Role</b>
Raul Cesar Memória de Andrade	Secretary of Environment for the Municipality of Milton Brandão
Ana Flávia Resende	Tourism Secretary for the Municipality of Milton Brandão
Juliana	Technical Advisor Tourism Secretariat

<b>Name</b>	<b>Function/Role</b>
Aline	President of Assentamento Nova Terra Organization
Thais	Project Coordinator of Assentamento Nova Terra
Caique	Youth from communities
Emanuel	Youth from Assentamento Lagoa do Mato
Francisco das Chagas	Project Coordinator of Lagoa do Mato Organization
Janiel	Youth from Assentamento Lagoa do Mato
Luis Felipe	Youth from Pedra Branca Community
Maria da Luz	Project Coordinator Pedra Branca Community
Raimundinha	Project Coordinator of Assentamento Salobro
Eliselda	Community of Salobro
Elisangela	Project Coordinator of Community of Palmeira dos Ferreiras
Romero	Community of Salobro
Francinaldo	Community member
Claudete	Centro Mandacaru Technical Advisor

**FOCUS GROUP WITH ASSENTAMENTO DESCOBERTA COMMUNITY, MARCH 14<sup>th</sup>**

<b>Name</b>	<b>Function/Role</b>
Francisco	Project Coordinator
Maria Alves	Community member
Lindalva	Community member
Teresa	Community member
Antonio Xavier	Community member
Jocimar	Community member
Mila	Community member
Ermíia	Community member
Cícero	Community member
Francisco	Community member

**FOCUS GROUP WITH LAGOA DA MATA COMMUNITY, MARCH 14<sup>th</sup>**

<b>Name</b>	<b>Function/Role</b>
Neta	Community Member
João Pereira	Community Member
Francisco Uchoa	Centro Mandacaru
Natália	Community member
Natan	Project Coordinator
Pedro	Community member
Daiane Silva	Community member
Corinto	Community member
Edmilson	Community member
Domingo	Community member
Paulo	Community member
Francisco	Community member
José Orinaldo	Community member
Francisco	Community member
Edivaldo	Community member
Claudete	Centro Mandacaru



## **Annex 7 - List of Documents reviewed**

1. PIF
2. UNDP Initiation Plan – IP/PPG 6278 - BRA/19/G41
3. UNDP Project Document
4. UNDP Social and Environmental Screening Procedure (SESP)
5. Project Inception Report
6. Project Implementation Report (PIR)
7. Quarterly progress reports and work plans of the various implementation task teams.
8. Audit reports
9. Finalized GEF focal area Tracking Tools/Core Indicators at CEO endorsement and midterm.
10. Oversight mission reports
11. All monitoring reports prepared by the project.
12. Financial and Administration guidelines used by Project Team
13. Project operational guidelines, manuals, and systems
14. UNDP country/countries programme document(s)
15. Minutes of the BRA/20/G31 - Seventh Operational Phase of the GEF Small Grants Programme in Brazil Board Meetings and other meetings (i.e., Project Appraisal Committee meetings)
16. Project site location maps
17. Gender Action Plan
18. Landscapes Strategies (4)

## Annex 8 - Code of Conduct

### 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.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

### MTR Consultant Agreement Form

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

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

Name of Consultant: Denise Valéria de Lima

Name of Consultancy Organization (where relevant): Elion Consultoria e Assessoria

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

Signed at Salvador-Bahia, Brasil

on April, 7<sup>th</sup> 2024

Signature:

DENISE VALERIA  
DE

LIMA:39310647191

Assinado de forma digital por  
DENISE VALERIA DE  
LIMA:39310647191  
Dados: 2024.07.04 16:43:24 -03'00'

### Annex 9: MTR Report Clearance Form

**Midterm Review Report Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: Luana Lopes Juliana Wenceslau Biriba dos Santos

Signature: DocuSigned by: Luana Lopes DocuSigned by: Juliana Wenceslau Biriba dos Santos 05-Jul-2024

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: Carlos Montenegro Pinto

Signature: DocuSigned by: Carlos Montenegro Pinto Date: 09-Jul.-2024

## ANNEX 10: Audit Trail

To the comments received on 19-04-2024 from the Midterm Review of BRA/20/G31 - Seventh Operational Phase of the GEF Small Grants Programme in Brazil. (UNDP Project ID-**PIMS 6278**)

Author	#	Para No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
UNDP	1	P. 8	It would be great to mention which ones and how at this stage they have been reached? Any good practice to extract?	Information on indicators achieved and good practice included.
UNDP	2	P. 8	Which ones? Kindly elaborate based on the indicators of outcome 1.1.	Ecosystem Services included
UNDP	3	P. 8	Same comment kindly elaborate a bit on the type of practices that has been seen.	Agro-ecological and sustainable practices include improved management of natural vegetation, such as fencing springs to avoid cattle impact; preventing wildfires; recovering degraded areas; protecting springs, through avoiding deforestation, as well as improving agricultural practices to avoid soil erosion, traditional practices of fecho de pasto strengthened, among other actions.
UNDP	4	P.9	Please mention a few of those	Additional Information included. Traditional practices of fecho de pasto strengthened
UNDP	5	P. 9	Such as	Additional information included <b>such as</b> manioc flour facilities; community kitchens for processing flour and garden products into marmalades, breads and preserves; honey houses; and one aviary.
UNDP	6	P.9	Could please elaborate a bit more on how? 30% still low at this stage of project implementation	Additional information included This outcome will be reinforced in the 4th Call for Proposals, especially with the Agricultural Family Schools, which have already expressed interest in piloting initiatives regarding renewable energy and energy efficient technologies. Moreover, projects in the initial stage of implementation can contribute to the achievement of this target. Thus, EOP target will probably be achieved (indicator 12).
UNDP	7	P.9	Please see the percentage of the achievement	Ratings of Achievement was changed to Satisfactory.
UNDP	8	P.9	This is low at this stage of the project.	Please, See action above.
UNDP	9	P. 10	Bear in mind that 2 landscapes platform have not been operating yet, therefore, it would be important to elaborate a bit more on how	Additional information Included along the text. Although in Arrojado landscape, a multistakeholder platform is not consolidated, a Collective that brings together 12 community associations of fecho de pasto

			the engagement is taking place beyond the platforms....	(five of which are currently implementing SGP) and 4 advisory organizations meet regularly to discuss strategies to deal with territorial and environmental conflicts involving communal areas and exchange information and learning. Other 4 community associations and one women's movement are also implementing SGP and were involved in activities carried out by Strategic Patterns. In Poti landscape, activities to engage community associations and strengthen their connections are also being held. For instance, a meeting with youth from 11 grantees was carried out to increase their knowledge and ownership of the landscape strategy. Moreover, in the four landscapes, participation of grantees' representatives in civil society's forums and networks, as well as in instances involving both civil society and governmental authorities is stimulated.
UNDP	10	P. 11	Which ones, please mention and see comment below regarding the same text.	Number of community associations participating in strengthening ecosystem services, of which 40% have women in leadership positions (indicator 6); number of women benefitting from economic benefits and services (indicator 11); number of women-led community organizations participating in multi-stakeholder platforms (indicator 14); Number of landscape strategies produced (indicator 15); Number of Communications Strategy including a Knowledge Management component (indicator 18).
UNDP	11	P. 11	Such as...	Ecosystem services, such as increased water availability; improved soil quality; recovery of habitats; greater availability of biodiversity products for communities.
UNDP	12	P. 10	See comment above regarding this point	Activities are being held to engage local organizations and strengthen connections among them.
UNDP	13	P.12	Kindly elaborate, what is the concrete action to make the indicator measurable based on the observation made for instance change national for local and thus it could easily measured? In that is the case, kindly be as precise as possible with the recommendations as this is the right time to make this kind of adjustments. <i>Indicator 7: Percentage of women with improved participation and decision-</i>	Correction on recommendation to substitute national by local in Indicator 7

			<i>making in local resource governance.</i>	
UNDP	14	P.12	Maybe you mean disaggregate the information by age target group? As we do for gender.... Kindly clarify as you know the creation of more indicators will also need budget ...	Instead of recommendation of inclusion of indicators, recommendation of inclusion of information on youth participation.
UNDP	15	P.12	I am not sure I am understanding the recommendation towards the indicator 8: <i>Indicator 8: Number of households</i>	Recommendation excluded
UNDP	16	P.12	Which ones? This information should come from the grantees and ISPN should be able to track and monitoring the number of households is their duty as responsible partners, therefore, kindly review this recommendation	Please, See action above.
UNDP	17	P.12	What about when a risk has been identified? And also the good practices that came? At the end of the day SGP aim to strengthen the capacities of local communities which includes safeguards, kindly based on the work that has done what would be a concrete action to reduce the burden?	Recommendation was changed and refined. Considering that there are already safeguard verification mechanisms in the project approval phase, and the fact that requiring safeguard monitoring by small projects increases the burden on small associations, monitoring of safeguards should be simplified. A joint analysis of the instrument should be carried out and, questions that are not adequate to the reality of communities should be eliminated.
UNDP	18	P. 15	You are missing the inception report which part of the mid term evaluation	Information included. - On February 20, the MTR Inception report was submitted to UNDP and ISPN
UNDP	19	P.15	Ethics, please acknowledge the code of ethics that the evaluator has to sign	Information include On April 8, the Draft MTR report was submitted to UNDP and ISPN including annexes and signed Code of Conduct form.
UNDP	20	P.27	Could be please verify with the stakeholder engagement plan	Additional information on Stakeholder engagement Plan was included. Besides in the CSO Stakeholder Forums and Networks were added.
UNDP	21	P. 29	This evaluation report covers only the projects that are covered by SGP, so in this sense the indicators are measurable. Please clarify.	Maintaining the indicator, with the change of the expression 'national governance of resources' to local governance of resources
UNDP	22	P.29	Kindly see comments above and verify: <i>Indicator 7: Percentage of women with improved participation and decision-making in national resource governance.</i>	Alteration done (#12)

			<p><i>Indicator 8: Number of households (disaggregated by female-led or male-led) adopting sustainable practices (agroforestry, intercropping, harvesting of native species, mulching).</i></p> <p>Please propose how according to you they should be stated and highlight the wording that need to be changed, so the recommendation can be more precise, thank you</p>	
UNDP	23	P. 29	<p>Which other organizations? Please provide more context as I do not see how this information needs the inputs from other institutions. Maybe is a matter of the wording but as I mention before this should be done by the NGO</p>	<p>This point was clarified by UNDP an ISPN and change was made accordingly.</p>
UNDP	24	P. 32	<p>A stronger justification should be need it.</p>	<p>Justification added. The methodology consists in comparing the management practices applied to a certain area through project efforts and applies the values of carbon emission or sequestration based on literature.</p>
UNDP	25	P.32	<p>Kindly elaborate a bit more on the relation between this indicator and 3 and 4, making the case on why we should be certain that this indicator will be met. Many thanks!</p>	<p>Please, See action above.</p>
UNDP	26	P. 33	<p>Correct. Therefore, we need to understand the percentage of women with improved participation and decision-making within these grantees only. ISPN should be able to provide this information as is part of the monitoring process that should be given to the grantees. I think there is a misunderstanding of this indicator at the end “in national resource governance” this should refer only to their own resource therefore should local instance of national. Please see comment above regarding this indicator that only need to be review the wording but not the indicator.</p>	<p>Alteration was made, considering #12.  ISPN estimate was made based on available data from grantees reports received so far. Considering local resource governance instead of national resource governance (as recommended by MTR team), EOP target will be probably achieved. There is a deliberate strategy within the project to stimulate women’s participation in those instances</p>

UNDP	27	P. 34	I am not sure where this coming from? Indeed the measure should be done for SGP granted projects only...	Alteration was made, considering #12. ISPN estimate was made based on available data from grantees reports received so far. Gender consultants are working with organizations involved in the four landscapes to review targets and achievements, as well as reinforce gender component. Available information indicates that EOP target will be probably achieved
UNDP	28	P. 38	Kindly could you elaborate/describe how they are being used? Many thanks.	Based on interviews and document analysis, four landscape strategies were produced collectively, systematized and disseminated, and are being used as reference for local organizations and strategic partners in their actions and for dialogue with other stakeholders.
UNDP	29	P. 41	My understanding is that over 30 years of experience project management has been considerably improved and implementation arrangements are more robust now.	Alteration was made.
UNDP	30	P. 41	National steering committee? Or this one is a different one? Kindly elaborate a bit more on the aim of this annual meeting	Alteration was as suggested by UNDP
UNDP	31	P.42	This could be a great recommendation	Recommendation added (C4)
UNDP	32	P.48	This is an important finding that could be reported to the Safeguards team. Carlos, what would be the best way to approach this?	Please See Recommendation on Safeguards 2
UNDP	33	P. 49	Do they work for SGP exclusively? Working/coordinating together with UNDP country office unit?	To avoid misunderstandings, information on ISPN communication and advocacy staff was eliminated.
UNDP	34	P. 51	I am not sure what do you mean here, kindly elaborate a bit more / rephrase	Sentence was rephrased for clarification.  In view of those uncertainties, GEF's current norm of considering a maximum extension of six months in the Projects increases the challenges for implementation and finalization of the project with achievement of all targets within the time frame...?
UNDP	35	P.52	Please see recommendations, clarifications mentioned in the different sections of the document, especially regarding the indicators, kindly address those comments and updated this section accordingly, many thanks.	Alterations were made accordingly.
ISPN	36	P. 6	According to SESP the Project was classified as Moderate.	Included a recommendation to adjust the overall risk rating of the project to Moderate,



				as it was revised after the end of COVID Pandemic
ISPN	37	P.10	Include SES requirement	Information added
ISPN	38	P. 13	Include possibility of collective quoting (for various organizations with similar budget items)	Information added at the Recommendations Table: Continue seeking ways to simplify the prices quoting process, using online research, and allowing collective quoting, as it is adopted in other project financial platforms.
ISPN	39	P. 13	Mention “especially those managing grants for the first time and that became reference organizations in their regions after GEF 7 grant.”	Inclusion of additional information Include funding from GEF-8 to continue strengthening organizations supported in GEF 7, especially those managing grants for the first time and that became reference organizations in their regions after GEF 7 grant.
ISPN	40	P. 42	Mention also Casa da Mulher do Nordeste.	Information included.
	41	P. 45	Mention that ISPN has a platform, with its own system (Welight), to organize, structure, and facilitate the management and financial, monitoring, and evaluation of projects.	Additional information included.
ISPN	42	P.47	Include one from each landscape	Information included.
ISPN	43	P.48	Mention that "ISPN also adopts an institutional safeguards policy and has a reporting channel, an ombudsman: [link to ISPN's ombudsman ( <a href="https://ispn.org.br/ouvidoria-ispn/">https://ispn.org.br/ouvidoria-ispn/</a> )."	Information included.
ISPN	44	P. 48	Mention that it happened before the memorandum of agreements were signed, as a requirement.	Information included.
ISPN	45	P. 48	Mention “through the Social and Environmental Screening Procedure (SESP) in 2022”	Information included.

**Annex 12. GEF Co-financing template**

*GEF Co-financing template (categorizing co-financing amounts by source as 'investment mobilized' or 'recurrent expenditure')*

	Amount	Amount	Amount	Amount	Amount	Amount	Total
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	
<b>GEF grant</b>	60,341	1,150,990	1,225,254	1,177,777	649,744	217,104	4,481,210
<b>ISPN (Amazon Fund through Brazilian Development Bank; Cerrado Landscape Management through WWF and EU)</b>	225,000	815,000	815,000	815,000	700,000	675,000	4,045,000
<b>Centro de Trabalho Indigenista (CTI)- Indigenous Territorial Management Project/USAID</b>	106,250	425,000	425,000	425,000	300,000	318,750	2,000,000
<b>National Steering Committee on behalf of Community Organizations</b>	0	300,000	800,000	800,000	800,000	200,000	2,900,000
<b>EMBRAPA</b>	50,000	200,000	200,000	200,000	200,000	150,000	1,000,000
<b>UNDP</b>	0	100,000	100,000	100,000	100,000	0	400,000
<b>Total</b>	<b>441,591</b>	<b>2,990,990</b>	<b>3,565,254</b>	<b>3,517,777</b>	<b>2,749,744</b>	<b>1,560,854</b>	<b>14,826,210</b>

**Certificate Of Completion**

Envelope Id: D5136E65C24F4D36999FC3859E2954FE	Status: Completed
Subject: Complete with DocuSign: BRA/20/G31 Relatório Final MTR Small Grants	
Source Envelope:	
Document Pages: 106	Signatures: 2
Certificate Pages: 2	Initials: 0
AutoNav: Enabled	Envelope Originator:
Envelopeld Stamping: Enabled	Andrea Ribeiro Bosi
Time Zone: (UTC-08:00) Pacific Time (US & Canada)	One United Nations Plaza
	New York, NY 10017
	andrea.bosi@undp.org
	IP Address: 138.204.34.21

**Record Tracking**

Status: Original	Holder: Andrea Ribeiro Bosi	Location: DocuSign
7/5/2024 7:23:35 AM	andrea.bosi@undp.org	

**Signer Events**

Juliana Wenceslau Biriba dos Santos  
 juliana.santos@undp.org  
 Oficial de Planejamento Estratégico  
 UNDP Brasil  
 Security Level: Email, Account Authentication (None)

**Signature**

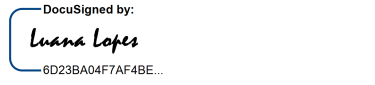
DocuSigned by:  
  
 0C219F7175F24B5...  
 Signature Adoption: Pre-selected Style  
 Using IP Address: 192.124.42.11

**Timestamp**

Sent: 7/5/2024 7:28:27 AM  
 Viewed: 7/5/2024 8:11:53 AM  
 Signed: 7/5/2024 8:12:26 AM

**Electronic Record and Signature Disclosure:**  
 Not Offered via DocuSign

Luana Lopes  
 luana.lopes@undp.org  
 Oficial de Programa  
 UNDP Headquarters  
 Security Level: Email, Account Authentication (None)

DocuSigned by:  
  
 6D23BA04F7AF4BE...  
 Signature Adoption: Pre-selected Style  
 Using IP Address: 187.72.61.180

Sent: 7/5/2024 7:28:28 AM  
 Viewed: 7/5/2024 11:31:11 AM  
 Signed: 7/5/2024 11:31:25 AM

**Electronic Record and Signature Disclosure:**  
 Not Offered via DocuSign

In Person Signer Events	Signature	Timestamp
Editor Delivery Events	Status	Timestamp
Agent Delivery Events	Status	Timestamp
Intermediary Delivery Events	Status	Timestamp
Certified Delivery Events	Status	Timestamp
Carbon Copy Events	Status	Timestamp
Witness Events	Signature	Timestamp
Notary Events	Signature	Timestamp
Envelope Summary Events	Status	Timestamps
Envelope Sent	Hashed/Encrypted	7/5/2024 7:28:28 AM
Certified Delivered	Security Checked	7/5/2024 11:31:11 AM
Signing Complete	Security Checked	7/5/2024 11:31:25 AM

Envelope Summary Events	Status	Timestamps
Completed	Security Checked	7/5/2024 11:31:25 AM
Payment Events	Status	Timestamps