



**Global Environment Facility (GEF)**  
**United Nations Development Program (UNDP)**

## **FINAL EVALUATION REPORT**

**PROJECT BRA/97/G31**

## **NATIONAL STRATEGY ON BIOLOGICAL DIVERSITY AND NATIONAL REPORT**

**National Biodiversity Strategy and Action Plan (NBSAP)**

**Ministry of Environment**

**Brazil**

**September, 2006**

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# **Chapter 1 –Outline of the Evaluation Study**

## **1.1 Objectives of the Evaluation Study**

The objective of this study is to evaluate the results achieved with the conclusion of the Project **NATIONAL STRATEGY ON BIOLOGICAL DIVERSITY AND NATIONAL REPORT** started on 20<sup>th</sup> August 1997 and concluded on 31<sup>st</sup> July 2006, with MMA as the Brazilian executing agency.

The evaluation from 1997 to 2006 should consider the relevance, efficiency, effectiveness, impact, and sustainability of the the Project, through the results achieved until 30<sup>th</sup> July 2006, totalling eight years of implementation.

## **1.2 Members of the Evaluation Study Team**

The Evaluation Study had been jointly executed with Brazilian (SBF/MMA and ABC) and UNDP/GEF teams.

### **UNDP/GEF side:**

Mr. Carlos Castro – GEF/UNDP Coordinator for Technical Cooperation

Ms. Rose Diegues –GEF/UNDP Assistant for Technical Cooperation

Ms. Claudia Diegues Miyaki – Programa Assistant, GEF/UNDP

Mrs. Clarice Zilberman Knijnik – GEF/UNDP's independent consultant

### **Brazilian side:**

Mr. Márcio Lopes Corrêa – Multilateral Program Coordinator, Multilateral Technical Cooperation (CTRM); Brazilian Agency for Cooperation (ABC)

Ms. Carolina Antony Gomes de Matos da Fonseca – Bilateral Program Officer, CTRM/ABC.

Mr. João Paulo Ribeiro Capobianco – Head of Forest and Biodiversity Secretary, SBF/MMA

Mr. Paulo Yoshio Kageyama – Project National Director, SBF/MMA

Mr. Bráulio Ferreira de Souza Dias – Project Manager Director, SBF/MMA.

Mr. Fernando A. Lyrio Silva – Adviser on International Issues, ASIN/MMA

Ms. Núbia Cristina B. da Silva Stella – Project Coordinator, SBF/MMA.

## **1.3 Period of the Evaluation Study**

The Evaluation Study was carried out from 27<sup>th</sup> July to 30<sup>th</sup> October 2006.

## **1.4 Methodology for the Evaluation Study.**

The Evaluation Study was based on the following methodological procedures:

- 1** – Verification and comparative analysis of the current situation of Project implementation and the Project Development Matrix (PDM) of 31<sup>st</sup> March 1998;
- 2** – Consultations with Brazilian and UNDP/GEF interlocutors; monitoring reports of the Project's implementation by the Coordination Team; and confirmation of indicators for the final evaluation of the Outputs, Immediate Objectives and Development Objective;
- 3** – Proposition of Guidelines for the Evaluation Study:
  - (i) Five Criteria Evaluation Grid;
  - (ii) Evaluation of Project Achievements based on the PDM; and
  - (iii) Project Operational Plans from 1997 to 2006 agreed by UNDP/GEF; ABC and SBF/MMA.
- 4** – Discussion and consultation with the Project Coordination and GEF/UNDP about Guidelines and Procedures for the Evaluation Process.
- 5** – Data collection, analysis and interpretation to obtain answers to the main questions on the Evaluation Grid; and elaboration of a narrative summary of the Project's results based on the PDM;
- 6** – Presentation for comments of the preliminary version of the Project Final Evaluation Report.
- 7** – Approval of final version of the Final Evaluation Report

This evaluation was mainly based on:

- (i) Interviews with key people for the project's execution/implantation at DCBIO and Project Coordination Team and with the UNDP/GEF Experts;
- (ii) Consultation to technical documents, reports and materials;
- (iii) Visits, meetings and interviews with strategic stakeholders; and
- (iv) Consultants who participated in the implementation of the Project.

## **Chapter 2 – Project Outline**

### **2.1 – Project Context**

#### **2.1.1 – CBD and the Brazilian commitments (1992-1994).**

Between 5<sup>th</sup> and 14<sup>th</sup> June 1992, Brazil was the host country of the United Nations Summit on Environment and Development (UNCED), widely known as the Earth Summit that took place in Rio de Janeiro.

The Convention on Biological Diversity (CBD) was opened for signature on 5<sup>th</sup> June, and on 29<sup>th</sup> December 1993 has entered into force. Until now, 188 countries ratified this Convention, including Brazil, which did sign it in 1992.

The Brazilian ratification was realized through the Legislative Decree no. 2, of 3<sup>rd</sup> February 1993, approved by the National Congress, and published through Decree no. 2.519, of 16<sup>th</sup> March 1998.

In order to achieve the objectives of the Convention, it was recognized that every State could count on information that would make it possible to establish: costs, benefits and needs not yet solved, with the aim of making countries able to initiate their actions towards the conservation and sustainable use of biodiversity.

In this context, the CBD recommended the realization of a “Country Study”, with the aim to support the analysis of available information in the biological, economic and social fields.

Such study would allow that each country had a general diagnosis of the biodiversity as well as its use, and on the other hand, it would provide the basis for the elaboration of a National Strategy and the Action Plan for the conservation and sustainable use of biodiversity.

#### **2.1.2 – GEF and Facilitative Activities (1992-2000)**

GEF (Global Environment Facility) was launched in 1991 and was designated as an interim financial mechanism of the CBD in 1993, and therefore it keeps a very close relationship with the decisions and guidelines taken during the Conference of the Parties (COPs).

This fund was restructured in 1994, together with the launching of the First Period for the Establishment Fund, until 1998.

During this period, the GEF's Committee approved the Document on Operational Strategy, in April 1996, as a means to improve the operationalization of the achievement of CBD Articles (in this final evaluation, concentrated on Articles 6 and 26), through 04 modalities (Full Size, Medium Size, Enabling Activities and Short-term Actions).

The Document on Strategies was elaborated based on the COP 2 recommendations for the implementation of actions and projects in Biodiversity, such as: (a) development of a National Strategy and an Action Plan (NBSAP), according to article 6 of the CBD; and (b) the elaboration of the first National Report for the CBD.

The "Enabling Activities" were defined as those requested for the achievement of the Convention objectives. The estimated costs per country for a simplified approval were limited to USD 350 thousands. If countries present Projects with budgets higher than this limit, they should follow the ordinary proceedings for the approval of project with framework of GEF. This proceeding was adopted by Brazil and India during 1996/1999.

The Brazilian Government, via the Ministry of Environment (MMA), submitted in 1996 a proposal to GEF, in the Enabling Activity modality, of an estimated amount of USD 942 thousands, given the counterpart of around USD 360 thousand. The requested financial support was enough to achieve the Standard Matrix of Activities for the CBD (Articles 6 and 26).

Such proposal aimed to: **(i)** provide support to the country for the stocktaking of biodiversity, based on national programs and related studies, without a primary research; **(ii)** identify options and the establishment of priorities for conservation and sustainable use of biodiversity; **(iii)** elaboration and development of biodiversity planning initiatives such as national strategies, action plans and plans per sector; and **(iv)** dissemination of information on biodiversity, through regular communication between the State-Parties and the CBD.

### **2.1.3 – The initial consolidation of the national environment sector**

In the previous section it was analysed the context in which relies the CBD, COP and the financial mechanism of the Global Environment Facility (GEF). This context is aimed to identify which were the existent conditions and facilities that make it possible the GEF approval of the Project Proposal BRA/97/G31 by MMA.

On what concerns the Environmental Sector, in particular the Biodiversity and the State Strategic Activities – proposal, supervision, monitoring of national public policies – the 80's and the 90's showed significant institutional, political and technical progress.

The Stockholm Conference provided also the beginning of regular national discussions about environmental issues, which resulted in the establishment in 1973 of the Special Secretariat on Environment (SEMA) within the Ministry of Interior, envisaging a *latu senso* environmental protection.

On 31<sup>st</sup> August 1981, it was adopted Law no. 6.938, which established the National Policy on Environment, adopting guidelines for environmental protection related to the national, social and economic development. Through this Law it was also established the National Environmental System (SISNAMA), composed by the National Environmental Council (CONAMA) and other executive bodies at state and national levels.

The discussions carried out during the elaboration of the new Brazilian Constitution of 1988 provided a good scenario for the legislative and institutional improvement of the Environmental Sector.

In 1989 it was established the Brazilian Institute of Environment and Renewable Resources (IBAMA) and the National Environment Fund (FNMA). In April 1990 it was created the Secretariat of Environment of the Republic President (SEMAM/PR) as a means to plan and supervise the activities related to the National Policy on Environment. In 1992, the SEMA/PR became the Ministry of Environment (MMA).

Between 1994 and 2005, MMA faced changes on its structure and also on its collective bodies, resulting in the current structure enclosed to this document.

Brazil during the 80's and 90's had experienced relevant improvements in the national legislation on what concerns conservation and protection of environmental resources and also in some issues, such as: National Policy on Environment, National Environmental Council (CONAMA); National Policy on Water Resources; National Policy on Environmental Education; The Land Statute; The Forestry Code; Fauna Protection; Protection and Incentives to Fishing; Biosafety, Protection of Cultures; Industrial Propriety; Environmental Crimes (which defines the public civil action as the instrument to punish those who cause environmental damages) and the National System on Protected Areas.

#### **2.1.4 – Brazilian Initiatives on the promotion of institutional capacities for Biodiversity.**

In order to promote favorable conditions for the compliancy of commitments stated in the CBD, the Brazilian Government, launched a technical coordination division on Biodiversity, within the framework of MMA (1994).



As a means to coordinate the operational implementation of the CBD, it was established in the MMA the Coordination for Biological Diversity (COBIO), linked to the Secretariat on Coordination of Environmental Issues (SMA), in the former Department for the Elaboration of Environmental Policies and Programs (DEPAM) of the MMA.

COBIO had the following objectives: to plan, coordinate, monitor and evaluate actions related to the conservation and sustainable use of the Brazilian biological diversity. The above-mentioned coordination was initially composed by 2 or 3 professionals, and it was improved with the participation of consultants supported by Project BRA/95/012 – Managing Biological Diversity in Brazil.

The first initiative of COBIO was related to the proposal of the National Program on Biological Diversity (**PRONABIO**), a relevant instrument of medium and long-term for the elaboration of the National Policy on Biological Diversity.

In December 1994, the Brazilian Government established the PRONABIO, within the framework of MMA, with few resources of the National Treasure. At the same time, it was given room for the acquisition of new investments.

In 1996, after five years of negotiations between MMA and GEF, it was approved the first support operation for PRONABIO. This operation was composed by two programs: **PROBIO** (Project on Conservation and Sustainable Use of the Brazilian Biological Diversity) and **FUNBIO** (Brazilian Biodiversity Fund).

During the negotiation process with GEF for the establishment of PROBIO, it was created favorable conditions for the submission by the Brazilian Government of a new Project for the elaboration of a National Strategy on Biodiversity.

Other relevant aspect for the consolidation of the biodiversity sector was the restructuring of the MMA in 1999, with the establishment of the Secretariat on Biodiversity and Forests (SBF) and of the Directorate for Biodiversity Conservation (DCBIO).

The Directory body of the National Program on Biodiversity Conservation (DCBIO) linked to the Secretariat on Biodiversity and Forests acted as an operational division for the implementation of PROBIO and of the future Project on National Biological Diversity Strategy (NBS).

## 2.2 – Project Background

### 2.2.1 – Preparatory Assistance and Project Approval (1997/1998)

The Project “**NATIONAL STRATEGY ON BIOLOGICAL DIVERSITY AND NATIONAL REPORT**” has been carried out by the DCBIO/SBF/MMA together with the **United Nations Development Program** (UNDP), as GEF Implementation Agency. The **Ministry of Environment** is the operational focal point of the CBD (National Strategy) and the national executive agency of the Project. The Project also counted with the technical cooperation partnership of the **Brazilian Agency on Cooperation** (ABC/MRE).

GEF’s operational focal point in Brazil is the **Secretariat on International Relations** of the Ministry of Planning and Budget (SEAIN/MPO) and the political focal point is the Brazilian Ministry of Foreign Affairs (MRE).

In February 1996, during a presentation of the PROBIO Project, MMA, GEF and the World Bank agreed on the project document that: (i) it was being elaborated a National Strategy on Biodiversity, which would be carried out together with the analysis of the biomes and would include the workshops’ results; and (ii) MMA had planned to develop a National Biodiversity Strategy (NBS), in compliance with the commitments stated at the CDB.

The Ministry of Environment started in 1996 the elaboration of a draft proposal for the acquisition of financial resources for the formulation of the NBS, that was submitted to GEF and the UNDP. In the same year, the SEAIN/MPO began the proceedings for the approval of a new technical cooperation with GEF.

On 20<sup>th</sup> August 1997 the project proposal was submitted to UNDP/GEF Office in Brazil, and it was approved due to a meeting with the there parties. The financial resources available were at that time, an amount of around USD 295,680.

This Project approval made it possible to carry out the first phase of the BRA/97/G31, characterized as **Preparatory Assistance**, from 20<sup>th</sup> August 1997 until 18<sup>th</sup> March 1998. In this period, preparatory Project activities were realized, until there was an official approval of GEF resources (USD 942,500) to the Project. Theses resources were approved according to the modality called “Full Size/Enabling Activity”.

UNDP/GEF approved the Project on 18<sup>th</sup> March 1998. Around USD 1,485,149 were made available, of which USD 942,500 was provided by GEF. The Project should have been completely carried out in 18 months, with its termination expected on 31<sup>st</sup> August 1999.

During the seven months of Preparatory Assistance, the operational particularities of the mentioned Project were carried out; composed the technical and coordination teams; as well as detailed the institutional arrangements for the Project operationalization. These counterpart initiatives had the support of UNDP's several National Projects, carried out by MMA, and of the PROBIO activities.

It is important to highlight that the Preparatory Assistance Matrix, approved in August 1997, had six Immediate Objectives. The Project's team improved the referred Matrix during the Preparatory Assistance, resulting in four Immediate Objectives.

The Project Document (PRODOC) approved in 1998 reduced from six to four the number of Immediate Objectives. The Immediate Objectives 3 and 4 aimed respectively to elaborate 06 studies on the state of the Brazilian biodiversity and to incorporate the elaboration of the First National Report to the CBD.

Both project proposals (1997 and 1998) did not provide performance indicators for the Project in order to achieve the Development Objective and Immediate Objectives. The indicators were proposed only for the initial Results to be achieved.

### **2.2.2 – Initial Plan of the Project (1998)**

The Project was initially proposed with the aim to elaborate a National Biodiversity Strategy (NBS) for the conservation and sustainable use of Brazilian biodiversity; and the equal share of its benefits, according to article 6 of the CBD. At the same time, it would allow the elaboration of the First National Report to the CBD.

The Project implementation strategy made use of three action axis, according to the guidelines of GEF to "Enabling Activities":

- (i) Complementary analysis of existent information on issues related to Biodiversity;
- (ii) Identification of options for the implementation of the CBD in Brazil;
- (iii) Planning and elaboration of the National Biodiversity Strategy, through the identification of national and regional priorities; guidelines for policies per sector; and the elaboration of the First National Report to the CBD.

The methodological scheme adopted by the Project, with few modifications, was similar to the document "A Guide for Countries to prepare National Biodiversity Strategies and Action Plans", by Roy T. Hagen (1999), produced with GEF's support.

On what concerns the Project Results, it was considered strategic the cooperation with PROBIO, as provider of inputs for the Strategy:

- (i) The results to be obtained through the diagnosis;
- (ii) Proposals and monitoring of biodiversity through the Brazilian Biomes;
- (iii) Results of researches and projects to be realized by the scientific community and national research centers.

Due to the differences in deadlines for the obtention of outputs and activities in the schedules for the execution of the Project and of PROBIO, the Strategy Project has chosen to initiate its activities for a National Balance, before the conclusion of balances per Biome that would be carried out by PROBIO.

The expected results stated in the Project's PRODOC (1998) consisted in the elaboration of the document on National Strategy and the First National Report of Brazil to the CBD. The elaboration of an Action Plan for the implementation of the NBS was not originally planned.

These outputs would also generate other strategic outputs, as the establishment of a network composed by relevant partners; the dissemination of knowledge; and the consolidation of a national division at MMA in order to deal with national institutional and political issues related to biodiversity.

This Project proposal was considered very ambitious to be carried out in 18 months. In the first years, the Project faced delays and changes in order to attend the technical, political, financial and administrative conditions in Brazil.

***The Initial Project Plan BRA/97/G31***, presented in the Logic Matrix of the Project Document and approved by GEF, through **Review B, dated of 18 March 1998**, is enclosed.

The Project Document approved provided a list of indicators for the evaluation of the results achievement. However, there was no agreement over performance indicators for the achievement of the Development Objective and the four Immediate Objectives.

#### ***Difficulties and Achieved Results of the original PRODOC (18 months)***

It was established the Unit of Project Coordination, composed by: 01 National Project Coordinator (Mr. José Pedro de Oliveira Costa); 04 consultants to work in the basic Project team; 01 National Project Director; and the support of staff members of the former COBIO (mostly consultants of other projects).

The Coordination Commission of the National Program on Biodiversity (PRONABIO) was selected as a "division" for general guidance to the Project development. This Consultative Commission was composed by 06 governmental and 06 non-governmental

representatives (02 from the academic community, 02 from Non-Governmental Organizations – NGOs, and 02 from the private sector).

The Technical Secretariat of PRONABIO was in charge of the technical and operational execution of the Project; of the national and international cooperation agreements; and of the procurements process for the elaboration of the ENB.

This Technical Secretariat was also in charge of coordinating the implementation of PROBIO I. The same coordination for both projects also allowed a better cooperation with the other 20 environmental Projects, which were executed by MMA and IBAMA.

However, the National Direction of the Project faced several difficulties during the first 18 months, which resulted in substantial delays in the achievement of Results of the Technical Cooperation.

Among difficulties faced, the following could be highlighted:

- (i) New federal government administration in 1998;
- (ii) Changes in the MMA staff, in particular medium and high level managers;
- (iii) Technical and institutional changes within MMA in 1998 and 1999;
- (iv) Changes in the operational teams of the Strategy Project and PROBIO;
- (v) Delays in the release of resources by national counterparts to the Project;
- (vi) Modifications by new MMA authorities in the guideline for the strategic development of NBS in the Project; and
- (vii) Changes in the methodology for the consultation and evaluation of NBS through the participation in three international conferences (1998/1999).

### **2.2.3 – Changes in the Initial Project Plan (PRODOC -1998)**

From 20<sup>th</sup> August 1997 until 31<sup>st</sup> December 2005, the Project on National Strategy received 18 reviews of different natures, throughout the eight years of execution. GEF grants were kept stable, with some negative variation of the resources provided by national counterpart.

The implementation period occurred during three presidential mandates: (i) 1995/1998 – first mandate of Mr. Fernando Henrique Cardoso; (ii) 1999/2002 – second mandate of Mr. Fernando Henrique Cardoso; and (iii) since 2003, the mandate of Mr. Luis Inácio Lula da Silva.

In this period, MMA was leaded by four Ministers: (i) Mr. Gustavo Krause (January 1995/December 1998); (ii) Mr. José Sarney Filho (January 1999/ March 2002); (iii) Mr. José

Carlos Carvalho (March 2002/ December 2002); and (iv) since January 2003, Mrs. Marina Silva.

The seven Substantive Reviews (D, E, H, J, M, P, Q) approved by the three parties (UNDP/GEF; ABC/MRE and SBF/MMA) during the last eight years has added important changes in the Initial Project Matrix as well as in the implementation process.

The other Project reviews were: eight mandatory, one budgetary (reduction of the national counterpart); one simplified and one general.

The Substantive Reviews increased or reduced the Immediate Objectives, Results and Activities of the Strategy Project. In its great majority, these Reviews were not followed by the updating of modifications in the Project Matrix as well as by the proposal of new indicators, means of verification, and important assumptions.

The Project presented in each proposed review “a logic framework”, which could be compared only to the last Substantive Review approved, making it more difficult the follow-up of effective modifications in the last eight years, since the approval of the Project Document in 1998.

### *Summary of the Project Reviews*

Review	Type of Review		Date of approval	Purpose/Aim
	Substantive	Mandatory		
<b>A</b>	X		12/09/1997	Approval AT
<b>B</b>	X		18/03/1998	GEF Project Approval
<b>C</b>		X	08/12/1998	Budget Adjustment
<b>D</b>	X		22/10/1999	Extension until 31 <sup>st</sup> October 2000.
<b>E</b>	X		31/10/2000	Extension until 30 <sup>th</sup> June 2001. Introduction of Immediate Objective 5 (PANBIO)
<b>F</b>		X	18/12/2000	Extension until 31 <sup>st</sup> October 2001.
<b>G</b>		X	15/06/2001	Budget Adjustment.
<b>H</b>	X		09/11/2001	Extension until 31 <sup>st</sup> Mai 2002. Changes introduced to Immediate Objective 4 (II Report)

<b>I</b>		X	18/03/2002	Budget Adjustment
<b>J</b>	X		05/06/2002	Extension until 30 <sup>th</sup> June 2003. Immediate Objective inserted in the Immediate Objective 1. Inserted new Immediate Objective 3 (CHM).
<b>K</b>		X	31/10/2002	Budget Adjustment
<b>L</b>		X	17/03/2003	Budget Adjustment
<b>M</b>	X		01/07/2003	Extension until 30 <sup>th</sup> June 2004. Enlargement of activities and results of the Immediate Objective 5 (PANBIO)
<b>N</b>		X	11/03/2004	Budget Adjustment
<b>O</b>		X	01/07/2004	Extension until 30 <sup>th</sup> September 2004.
<b>P</b>		X	01/10/2004	Extension until 31 <sup>st</sup> December 2004.
<b>Q</b>	X		27/12/2004	Extension until 31 <sup>st</sup> September 2005. Enlargement of activities of the IO3, IO4 (III Report) and IO5 (Agro-biodiversity).
<b>R</b>		X	28/03/2005	Extension until 30 <sup>th</sup> November 2005.
<b>S</b>		X	30/09/2005	Budget Adjustment
<b>T</b>		X	17/01/2006	Extension until 31 <sup>st</sup> December 2005.

The mandatory reviews “U” and “V” were carried out in the first semester of 2006, extending the deadline for execution to 31<sup>st</sup> August 2006.

#### **2.2.4 – Final Plan of Project Development Matrix**

The Project originally proposed to be executed in 18 months, after its approval, actually needed 100 months to be concluded (about 8 years).

This in fact meant that the time needed for the Project execution exceeded in five times, or about 560% higher to the indicator of performance measurement of the Project (time of execution, results obtained and disbursements’ capacity).

In order to develop the final evaluation of this Project, below there is some relevant comments regarding the Project Development Matrix:

- 1- The Matrix of Project Development (MPD), as originally agreed, did not proposed evaluation indicators for the achievement of: Development Objective and Immediate Objectives. It would have only indicator(s) for the evaluation of the Original Results of the PRODOC, approved on 18<sup>th</sup> March 1998;
- 2- Within the Reviews “D” and “E”, it was created a new modality for the submission of substantive modifications to the Project, through the item “Logic Framework”. This instrument did not present the indicators for Results, Immediate Objectives, Development Objective, and did not allow the review of the Logic Project Matrix;
- 3- The lack of reviews of the MPD, with its update, caused the introduction of new Immediate Objectives to replace the Immediate Objective already achieved, which were excluded from the new “Logic Structure”;
- 4 – The same proceeding was observed in relation to the introduction of new Activities, which were numbered as existent actions, and thus the numbers given to activities under execution had to be changed. For instance, activity 1.1.3 became activity 1.1.4, with the introduction of a new activity 1.1.2 and 1.1.3.
- 5- The Project Implementation Schedules in each review did not consider the presentation of the planned and executed activities. In each review it was presented a general scheme without the indication of the planning months and the effective realization of activities, Results and Objectives.

This scenario shows not only the fragile nature of the technical, administrative and financial management of the International Cooperation Project but also the changes in the coordination teams.

The Project’s Final Evaluation will consider also the implemented actions by the National Program on Biodiversity (PROBIO), supported by GEF, with different implementation agencies (UNDP and the World Bank).

The strategic option of MMA, which divided into two Projects the initiatives for the CBD implementation in Brazil, should have generated a joint final evaluation of the outcomes, impacts, learned lessons and recommendations of the implemented operations in this modality. Both operations were started and concluded at the same time in terms of execution deadline: 1997 to 2006.

The Matrix for the Final Evaluation is the one considered in the Substantive Review “Q”, as follows:



- **Development Objective:**

*The conservation of the biological diversity in Brazil, the sustainable use of its components and the share and equitable sharing of the benefits arising out of the utilization of genetic resources, through the planning and implementation of national and sectoral development programs, within the framework of a National Biodiversity Strategy.*

- **Immediate Objective 1:**

*Principles and guidelines of the National Policy on Biodiversity elaborated in accordance with the CBD, promoting the inclusion of the sustainable use, the biodiversity conservation and the equitable sharing of its benefits in the planning and implementation activities by public institutions and strategic partners in the national development.*

- **Immediate Objective 2:**

*Strategic studies on issues related to biodiversity in Brazil, carried out and published, promoting an assessment of the status of knowledge of the national biodiversity.*

- **Immediate Objective 3:**

*Structure for the information exchange implemented among stakeholders of the National Biodiversity Policy and the Clearing-House Mechanism of the CBD.*

- **Immediate Objective 4:**

*First, Second, and Third National Report to the CBD, elaborated and approved by Brazilian authorities, and submitted to the CBD.*

- **Immediate Objective 5:**

*Action Plans at federal, state and civil society levels for the implementation of the Principles and Guidelines of the National Policy on Biodiversity, elaborated and approved by the Brazilian authorities; as well as elaborated Policy implementation proposals through Projects and submitted to potential donors.*

- **Result 1.1:**

*At the end of January 2002, it is elaborated a Regulation which will be the basis for common information and guideline for the process of wide national public consultation.*

*Document “Principles and Guidelines for a National Policy on Biodiversity” elaborated and approved by Brazilian authorities; as well as a proposal of a Law for a National Policy on Biodiversity, elaborated and approved by the political departments in charge.*

- **Result 2.1:**

*Complementary studies on biodiversity should be: edited, published and disseminated among strategic partners and stakeholders, as well as new strategic studies needed to the implementation of the Policy, promoted.*

- **Result 3.1:**

*A reasonable operational structure as focal point of the Clearing-House Mechanism of the CBD (Brazilian Website on Biodiversity), established and functioning.*

- **Result 4.1:**

*First, Second, and Third National Report to the CBD elaborated, approved and submitted to the CBD Secretariat, according to the Convention guidelines, having an updated knowledge about the Brazilian biodiversity and the methodology used; as well as a more accessible version of the National Report, elaborated and disseminated.*

- **Result 5.1:**

*Action Plans for the implementation of the Principles and Guidelines of the National Policy on Biodiversity, elaborated at federal, state and civil society level; as well as Project proposal elaborated and submitted to potential donors.*

The Logic Matrix of the Initial Project (1988) and the Final (2005) did present significant changes in terms of scope, implementation methodology and results achievement.

It should be highlighted that it was not possible to provide a complete list of Activities carried out by the Project, through the existent document, due to the replacement of new activities by others already realized.

This evaluation will only be carried out through the analysis of the Achieved Results, Immediate Objectives and Development Objective.

## **Chapter 3 – Achievements of the Project**

### **3.1 Project Implementation**

#### **3.1.1 – Framework implementation at MMA.**

The Strategy Project was initially linked to MMA, through the National Program on Biodiversity (PRONABIO), established in 1994 and in operation since 1996, through its Coordination Commission created by National Decree n° 1.354 (29<sup>th</sup> December 1994).

The Coordination Commission of PRONABIO (COBIO) was appointed to act as a consultative instance to support the establishment of policies and decisions related to PROBIO and later to the “National Strategy Project”. This played a very relevant role in the ownership of the Project by MMA.

There were two levels of implementation: (i) consultative level and (ii) operational level. The consultative level was represented by CONABIO (ex-COBIO after 2003)

PRONABIO counted from 1995 to 1999 with the support of Project BRA /95/012/B/01/99 (UNDP) for the establishment of its technical team, specialized consultants, installations, and infrastructure. From 2000, these actions started to be supported by Project BRA/00/21, which gave aid the Strategy Project through the appointment of ten consultants and a “Basic Technical Team”.

The National Strategy Project counted with PRONABIO professionals in order to technically support the realization of its activities, as well as, with the former COBIO as a means to propose the general and strategic guidelines of its implementation. One Coordinator and four consultants composed the initial team in the phase of Preparatory Assistance.

With the establishment of the Secretariat on Biodiversity and Forests (SBF) at MMA, in 1999, PROBIO and the National Strategy Project became directly supervised by the SBF.

The Secretariat on Biodiversity and Forests had the task to propose policies and legislations; define strategies; and implement programs and projects with issues related to biodiversity, such as: collective management for the sustainable use of natural resources; knowledge, conservation and sustainable use of biodiversity and forests, as well as access to genetic resources.

The National Decree n° 4703 (21 May 2003) changed the Coordination Commission of PRONABIO to CONABIO – National Commission for the Biodiversity, enlarging its composition and institutional capacity

Initially the SBF counted with three Directories, given that the Directory body of the National Program on Biodiversity and Genetic Resources would operate as the Technical Secretariat for the Coordination Commission of the National Program on Biological Diversity (PRONABIO).

Later on the former Directory body was divided in two, one in charge of Biodiversity issues and the other in charge of the Genetic Resources Management. The new Directory body of the National Program on Biodiversity Conservation (DCBIO) took over the tasks of the Executive Technical Secretariat for the CONABIO.

One of the tasks of DCBIO was to carry on the implementation of several projects and programs initiated at SBF/MMA, related to Biodiversity and supported by GEF (PROBIO and National Strategy).

DCBIO had among its main objectives: **(i)** elaboration of policies and norms for the conservation and sustainable use of biodiversity; **(ii)** dissemination of information on biodiversity; **(iii)** establishment of a system for the access to genetic resources; and **(iv)** promotion of incentives, at public and private sectors, to conservation and sustainable use of biodiversity.

All these changes make it possible to identify the several technical units at the MMA related to the implementation of the National Strategy Project in the last eight years

The Unit of Project Coordination was institutionally linked to DCBIO, with a Director who is also the National Director of the National Strategy Project and PROBIO. At the same time, this Director is a deputy of the SBF Secretary, which operates as Executive Secretary of CONABIO, chaired by the Minister of Environment.

At the same period, the Coordination Unit of the Strategy Project was technically bound to the DCBIO Manager, which was also the Manager of PROBIO Project. This DCBIO Manager had also the task of Deputy Executive Secretary at CONABIO.

The Operational Coordinator of the Strategy Project was directly related to the DCBIO Manager, which would informally take over the tasks of Project Technical Coordinator.

In 2005, DCBIO counted with around 50 professionals (among Staff and consultants), in three management divisions (Biodiversity Conservation, Genetic Resources, and Fishing Resources) as well as in two Projects (Strategy Project and PROBIO).

Within MMA, the Project was carried out technically by DCBIO and more directly through its Project Coordination Unit. The Consultative Technical Supervision of the Project was carried out by the Biodiversity Conservation Management of DCBIO and at a higher

instance by the DCBio Director and by the Secretary of Biodiversity and Forests of the MMA.

In the collegiate instance, the Project was followed by the CONABIO, with the support of its Executive Secretariat and its members.

The National Coordination of the Project counted with Consultants per long-term period, which composed the Basic Technical Team for the execution of Project Activities.

Three units were established for the support of the Strategy Project: (i) technical support (around 05 professionals/year); (ii) administrative and financial support (on average with 02 professionals/year); and (iii) logistic and information technology support (on average with 02 professionals/year).

The Project team in 1998 was composed by three MMA staff, in charge of Directory Bodies of High Management (National Director, Program Manager, Project Financial Manager) and ten consultants of the Project BRA/95/012 (PRONABIO/SBF). The Project resources since 1999 would provide support for this team, as long as PROBIO and BRA/95/012 would face difficulties.

The National Coordination had the following capacities: monitoring, evaluation and management of the Project. The Coordination counted with technical subsidies from DCBIO, CONABIO, and other Directory bodies of SBF and Consultants.

The actions for the proposition of policies and programs on biodiversity stated at the Decrees of establishment of CONABIO (consultation and validation) and of SBF/MMA (formulation and supervision) were realized by DCBIO in partnership with its operational sectors.

The original proposal of institutional agreements for the PROBIO Project coordination envisaged a Tripartite Consultative Commission formed by the UNDP, the World Bank and MMA as a means to facilitate the coordination between the Strategy Project and PROBIO. This coordination aimed to prepare the NBS, the Action Plan and the National Reports to the CBD as well as their relationship with the results/inputs achieved by PROBIO.

Unfortunately, this Consultative Commission was not implemented and the above-mentioned coordination was executed directly by DCBIO and both Project Coordinators. Through an interview, it was possible to realize that this instance of integration among different Implementation Agencies of GEF would have added better Results to the implementation of the Projects.

At the Project original design, in particular, on what concerns the Coordination, there were good conditions through which the Project could perform its actions according to the

needs originated by its execution as well as to the institutional changes at MMA, SBF, CONABIO and PROBIO.

Furthermore, Plans of Annual Activities and the Reports on the Project Progress were elaborated and after many reviews, approved in three meetings with UNDP, ABC and MMA.

According to the Progress Reports elaborated by the Project Directory Body, about 38 consultants were hired and the following subcontracts were realized: 53 contracts for consultants (including additive terms and new contracts of the same consultant); 29 sub subcontracts (transport, consultants, and publications) and 24 equipment acquisitions.

- *From August 1997 until December 1999: 17 short term consultants (studies); 02 consultant for the Basic Technical Team; and 01 subcontract;*
- *From January 2000 until March 2002: 06 short term consultants (studies);*
- *From April 2002 until April 2003: 03 retainers; 07 short term consultants; and 02 subcontracts.*
- *From Mai 2003 until March 2004: 03 retainer consultants and 02 short term consultants; and 06 subcontracts.*
- *From April 2004 until March 2005: 03 retainer consultants; 08 short term consultants; and 16 subcontracts.*
- *From April 2005 until December 2005: 02 short term consultants; and 04 subcontracts.*

In sum the Project framework was achieved through:

- (i) Contribution of human and financial resources by the other Projects of DCBIO/SBF (national counterpart);
- (ii) Internal partnership within MMA/SBF/DCBIO towards the Project implementation;
- (iii) Participation of the same Project managers in several instances of technical and institutional decision-making (PRONABIO, CONABIO); and
- (iv) Articulation between the Projects “Strategy” and PROBIO, executed by the same managers of DCBIO/SBF, for the program management as well as for the national management .

### **3.1.2 – Main changes in the strategies for Project implementation:**

The National Biodiversity Strategy (NBS) for Brazil, according to its original Project, would be implemented through 03 main actions:

- a) Generation of information:** general complementary balance, afforded by the Project, would be developed studies and surveys on biodiversity (conservation, use and associated traditional knowledge, evaluations of institutional capacities, legislation, etc.);
- b) Identification of priority areas and actions in each Brazilian biome** (supported by PROBIO) and;
- c) Elaboration of a draft proposal of the national strategy**, which would consolidate the items *a* and *b* of a draft submitted to a nationwide consultation process with several sectors of the Brazilian society, as a means to later carry out legal and institutional validation.

The Project had changes of thematic components during its implementation. Initially based on three thematic components, the Project started to strategically develop its activities with the following components:

- (i) Systematization and dissemination of the knowledge** on the Brazilian biodiversity through National Reports and Clearing-House Mechanisms;
- (ii) Setting up of a network of relevant partners** and of a participation process for stakeholders in the elaboration of public policies in Biodiversity;
- (iii) Consolidation of guidelines and principles** that would lead to a national policy on biodiversity through the proposal of the NBS;
- (iv) Awareness of relevant partners and civil society** for Biodiversity-related issues;
- (v) Elaboration of a national action plan** for the achievement of improvements on short, medium and long-terms of the CBD's Article 6.

The modifications in the implementation strategies were previously indicated through the Substantive Reviews, and are explained in an Annex, through 05 schemes of Project execution follow-up.

Besides the changes in the Strategy as well as in the sectoral Policies faced by the federal administration, reflected in the low degree of funds paid out in these periods; in the extension of the execution deadline; and in the changes of technical teams and Project coordination.

The Project management had to adapt to the adverse conditions faced during the implementation process:

- (i) Delays in the PROBIO execution schedule** for the gathering of results per biome (it was planned to obtain the results during the first two years), which would be important to provide the status of the Brazilian biodiversity knowledge;

- (ii) Unstable availability of annual resources from the Brazilian counterpart to the Project;
- (iii) Results achieved in different times from multiple actions and programs executed by MMA and IBAMA in the field of biodiversity;
- (iv) Initial lack of communication with the academic community and the network of relevant partners in the issue; and
- (v) Frequent changes in the high and medium level managers of MMA/Federal Government and the Project technical team.

## **3.2 – Achievements of the Projects outputs**

### **3.2.1 – Initial Period (1997/1999)**

It was an important moment for the elaboration of the stocktaking on the status of biodiversity knowledge, as well as for the establishment of the Project team and of the communication network with the academic community and strategic partners.

During the initial period, some progress was achieved on what regards the comparative study among other experiences of NBS elaboration; participation in international conferences in order to support the NBS elaboration as well as the proposal of methodology for the Brazilian NBS; and the realization of a survey about the current Brazilian environmental legislation in relation to the CBD implementation.

In this context, the Project has realized small progress on what concerns the stocktaking on the status of biodiversity knowledge and the establishment of a communication network for the NBS consultation process.

PROBIO Project has had relevant delays in order to achieve results of the diagnosis and the assessment per biome of the Brazilian biodiversity. The evaluation started in 1998 and finished in 2001. The evaluation component of biodiversity in the PROBIO Project also considered a later phase for the proposal of “priorities and recommendations for the conservation and sustainable use of biomes”, which was concluded between 2003/2004.

Thus little progress would be achieved through the Strategy Project on what concerns the effectiveness of an NBS or National Policy proposal in the period of 1997 until 2001.

At the PROBIO’s intermediate evaluation, the World Bank mission identified a set of difficulties related to human and managerial resources and presented a set of recommendations for improvement of the Project effectivity and efficiency. If an evaluation mission had been undertaken also for the Strategy Project, it could be possible that some recommendations on corrective measures would also be applied to the referred Project.



Still in the period of 1997 and 1999, there was relevant progress with the elaboration of the First National Report to the CBD, approved and sent to the CBD in 1998.

In this Report, the difficulties that COBIO would face for the elaboration of the NBS were listed, anticipating the difficulties with the deadline for the Project achievement.

Other political initiatives, besides the assessments per biome, would have been avoided. In the Strategy Project, the identified priorities and needs for each Biome would have to be analysed through a national perspective.

Furthermore, in order to propose priorities and strategies at national, regional and sectoral levels, it would be still necessary to make use of national statistics, which would require a longer time for the consolidation of information collected per biome, including: species distribution; its variability; and the definition of biogeographic standards.

In 1998/1999, the Project Team started to evaluate the complex task of identifying and agreeing over options to implement the CBD, with the several technical, administrative and political units of Ministry management. The options would include an evaluation of the Biome's specific priorities and the other levels of proposals for the elaboration of national policies on Biodiversity.

This will still be one of the greatest challenges due to the complexity of a national policy on biodiversity, with a future perspective of implementation of the decentralization process per State or Biome.

### **3.2.2 Project's methodological changes (2000-2005)**

Taking into account that the Project Outputs were concluded and disseminated since 2002, the scope of Outputs for the achievement of the Technical Cooperation Final Results is described below:

#### **Result 1.1:**

*At the end of January 2002 it will be elaborated and approved a Regulation, which will be the basis for common information and basic guidance for the nationwide consultation process.*

The elaboration of the document "Basic Guide for Elaboration of a National Policy Proposal" was concluded with the information gathered by the Thematic Working Groups on the CBD Articles, allowing the realization of a National Consultation in partnership with PROBIO.

The above-mentioned document provided a conceptual basis, references about limits and the elaboration process of a national policy. There were then opportunities for the identification of proposals presented by relevant partners, governmental or non-governmental, to administrative and political instances in Brazil.

The issues submitted to consultation were related to the following CBD articles:

- (i) The stocktaking and identification of biodiversity (article 7);
- (ii) Monitoring, impact assessment and mitigation of adverse impacts (articles 7 and 14);
- (iii) *In situ* conservation (article 8);
- (iv) *Ex situ* conservation (article 9);
- (v) Sustainable use of biodiversity components (articles 10 and 11);
- (vi) Benefit sharing (article 15);
- (vii) Biotechnology management (article 19);
- (viii) Public Education and Awareness (article 13);
- (ix) Scientific and Technological Cooperation and Transfer of Technology (articles 12, 16, 17 and 18); and
- (x) Environmental legislation and intellectual propriety.

The National Consultation was carried out through the submission of this Regulation, between 1999 and 2001, to the different sectors of the Brazilian society represented by: (i) business sector: Industry National Confederation (CNI) and CEBEDS (Brazilian Business Council for Sustainable Development); (ii) non-governmental sector: The Forum on Social Biodiversity; (iii) federal and state level governments and (iv) academic sector: Brazilian Society for the Progress of Science (SBPC), Network “Botanical Gardens”, among others.

The consultation started with: (i) notice distribution by the Minister of Environment to all State Governors, inviting them to participate and (ii) requesting the nomination of focal points at the state level that would be able to develop its activities in the state coordination. Once the nomination of the focal points was made, the Project sent to the States about 100 copies of the “Methodological Guide”.

Furthermore, other institutions of non-governmental sectors were contacted to play a role as focal points, together with their associates, for the implementation of the National Consultation.

The Brazilian Business Council for Sustainable Development became the focal point as a means to effectively execute the consultation in the business sector. This Council has therefore established a Technical Body on Biodiversity.

On what concerns the civil society organizations, the Project counted with the Brazilian Forum of NGOs and Social Movements for Environment and Development, which has promoted the dissemination and participation of its associates in several regions of Brazil.

The relevant partners were also stimulated to submit their opinions through a Regulation made available online via the MMA website. The Project carried out meetings with the state level focal points and received inputs from decentralized meetings carried out by other Programs of the Ministry.

The contributions received per Biome, originated in the meetings of the National Consultation, were said to be very important for the Project.

The NBS National Consultation generated more than 1000 forms and specific documents, available at the MMA/SBF website, which are the result of the participation of non-governmental organizations, the business sector, the Federal Government and the Brazilian States.

The Proposition Framework presented indicators, targets and objectives per issue submitted to consultation and those issues expected by the relevant partners to the elaboration of the Strategy. Through the comparison between the expected and the achieved, it can be said that the Consultation, though it was carried out, did not completely meet the expected Results.

It should be though highlighted that the expected results were very ambitious in the initial phase to the elaboration of the National Consultation. Several issues of the Consultation were highly sensitive due to the conflicting interests involved among stakeholders. Furthermore, the capacity to deal with many of the Articles, subjected to the Consultation, was not directly under the Project's institutional responsibility.

The NBS final document is limited to the elaboration of general principles and guidelines for the adoption of a National Biodiversity Policy (NBP). Considerations of this nature were collected through interviews with relevant actors that develop their activities in the biodiversity field.

The initial strategic option (guidelines and principles) provided relevant advantages for the Project continuity, through the significant reduction of conflict handling in the process of national and regional Consultations.

However, the institutional option adopted by the Project certainly generated limitations that would influence the effectiveness of subsequent phases, which would deal with the proposition of Policy instruments and Action Plans on Biodiversity.

## **Result 1.2:**

***National Biodiversity Strategy elaborated and approved until December 2002; as well as a proposal of a Law for the National Biodiversity Policy elaborated until June 2004.***

A draft proposal of a National Biodiversity Policy (NBP) was elaborated in the first trimester of 2002, taking into account the following inputs:

- (i) Systematization of results of the National Consultation, which took place from September 2001 until February 2002;
- (ii) Assessments per Biome realized with PROBIO resources (from 1998 until 2001), which identified 900 priority areas for biodiversity conservation; and
- (iii) Progress achieved by the other projects developed by SBF and other related institutions which work with biodiversity-related issues.

The consolidation of these inputs, between February and March 2002, was carried out through the elaboration of nine thematic reports (according to CBD's articles). These reports were subjected to a detailed analysis by the Project team and a group of seven consultants, which resulted in the first draft of the NBS/NBP.

As a means to validate the NBP draft proposal, between April and May 2002, the Project organized four meetings in different regions of the country, with the participation of representatives of the States, NGOs, business sector and indigenous peoples in order to discuss the elaborated draft policy proposal.

The regional meetings were carried out in the following main cities: 1<sup>st</sup> meeting in Recife, with 60 participants; 2<sup>nd</sup> meeting in Curitiba, with 60 participants; 3<sup>rd</sup> meeting in Goiânia, with 63 participants; and the 4<sup>th</sup> meeting in Manaus, with 65 participants.

A Technical Report was elaborated for each meeting, with reviews and consolidation of recommendations, which would be useful for the proposal of a National Biodiversity Strategy.

This National meeting was realized in June 2002, through the 37<sup>th</sup> Extraordinary Meeting of CONAMA, when partners from the regional meetings were invited to take part. This meeting counted with 125 participants.

The Project Team consolidated the final version of the NBP proposal, following two extraordinary meetings of the Coordination Commission of PRONABIO, in June 2002. The proposal debated at that meeting contained also a draft proposal of a Decree for the establishment of "Principles and Guidelines for the Implementation of the National Biodiversity Policy".

The National Environment Council (CONAMA), chaired by the Minister of Environment, was appointed to validate the final proposal of the Decree with the Guidelines

and Principles for the NBP. On 4<sup>th</sup> June 2002, the Decree Proposal was approved and sent for the President's sanction.

On 22<sup>nd</sup> August 2002, the President signed the Decree 4.339/2002 establishing the Principles and Guidelines for the implementation of the National Biodiversity Policy".

Until April 2003, the Project would elaborate a Bill proposal that would envisage more details, mechanisms and instruments for the establishment of the National Biodiversity Policy. However, this proposal was canceled due to a Project review.

This Output was achieved in a highly satisfactory way, if compared to the outputs of other 10 South American countries, which took part of the meeting in Brazil in 2003. This initial NBS phase was reached through the declaration of Principles and Guidelines for the Conservation and Sustainable Use of the Brazilian Biodiversity.

Through the realized interviews, it was noticed that it could have been very positive that the other State Ministers would have been co-responsible for the proposal and signed, together with the Minister of MMA, the Presidential Decree that approved the "Principles and Guidelines for the Implementation of the National Biodiversity Policy".

This co-responsibility would enhance the commitment of relevant public officials at the federal level. This commitment would promote the participation of high and medium level officials in giving support to the implementation of actions for a national cross-sectoral strategy on biodiversity.

## **Result 2.1:**

*The concluded complementary studies on biodiversity should be edited, published and disseminated to relevant partners and several stakeholders, as well as the new strategic studies for the Policy implementation should be promoted.*

Studies were carried out between 1999 and 2002 in order to gather further knowledge to support the Project Team, in particular on **two strategic axes**: (i) generate information on the current status of knowledge on biodiversity; and (ii) support the Project development, providing inputs for the other Immediate Objectives and responding to commitments within the CBD framework.

On what concerns **the first strategic axis**, the Project has selected 50 experts from recognized institutions in the field (UNICAMP, UFSC, André Tosello Foundation, and USP) for the elaboration of a diagnosis on the status of knowledge of biodiversity. Besides, the Project kept its cooperation with PROBIO, following the study progress per biome.

The following seven reports and the executive synthesis elaborated can be highlighted: **(i)** assessment of the current status of biodiversity knowledge: genetic, microbial, marine invertebrates, terrestrial invertebrates, vertebrates, terrestrial plants and fresh waters organisms; and **(ii)** synthesis of the status of knowledge on the Brazilian biodiversity.

These reports were made available at the website of MMA (Strategy Project/SBF) and the synthesis had a limited printed edition. Unfortunately, these studies have not been updated, due to the non operationalization of the planned Open Forum on Tropical Biodiversity (FORBIO), structure for the functioning of the Brazilian CHM. It was mentioned that the coming Project PROBIO II should fund this mechanism.

**The second axis based on strategic studies** was supported by the Project, with resources for the elaboration of the National Strategy and the Action Plan, such as:

- (i)** Survey of the Brazilian legislation and its adequacy to the CBD;
- (ii)** Manual on economic value of environmental resources;
- (iii)** Economic value of the Brazilian biodiversity with case-studies;
- (iv)** Traditional knowledge and Brazilian biodiversity;
- (v)** Analysis of the national strategies of several countries;
- (vi)** The role of the clearing-house mechanism on the promotion of CBD's implementation;
- (vii)** Survey on the financial mechanisms that could promote the implementation of CBD actions;
- (viii)** Experiences on benefit sharing derived from the use of biodiversity resources in Brazil.

Ten working groups, formed by experts, elaborated analysis of the relevant articles of the CBD; summarized Brazilian priorities; and presented special recommendations about the following articles: 7; 8; 9; 10; 11; 12; 13; 14; 15; 17; 18 and 19; and also about the following issues: biosafety, genetic diversity, microorganisms and soil biodiversity.

The strategic studies and the studies complementary to those elaborated by PROBIO I formed one of the first initiatives for the systematization of knowledge on biodiversity in Brazil.

These reports and studies, available at the MMA website and through the publication of the Biodiversity Series (MMA), are important references for professionals in the field of biodiversity, for environmental NGOs and social movements as well as for other stakeholders in the Brazilian society.

This Result can be evaluated as highly satisfactory due to the quality and adequacy of the strategic studies carried out on biodiversity in Brazil as well as to the support provided for the obtainment of the NBS and the PANBIO.

### **Result 3.1:**

***Basic Structure for the work of the Forum on Biodiversity (FORBIO), embracing the focal point of the Clearing-House Mechanism of the CBD (Brazilian Website on Biodiversity), established and operationalized.***

At the review “H” of the Project in November 2001, it was included a new result, called result 3.1, aimed to the creation of a basic structure for the functioning of the CHM and the Open Forum on Tropical Biodiversity – FORBIO. The Project aimed to achieve this Result through the execution of a set of 05 activities, of which only two were executed.

The Project Team suggested at the end of 2001 an ambitious implementation of the CHM of the CBD. However, it was not made available the necessary human, financial and technological resources for its complete implementation.

Given these difficulties, it was prioritized the implementation of a “Brazilian Website on Biodiversity” within the MMA website, which should meet the minimum requirements of the CHM toolkit disseminated by the CBD.

Since 2005, the publications supported by the National Strategy Project and by PROBIO, as well as the information disseminated by the “Biodiversity Series”, are available for consultation in the MMA website.

Originally, the Project wished to implement this Mechanism for information dissemination, debate and cooperation between relevant partners for the implementation of the National Biodiversity Policy and other related policies.

Within MMA’s framework, it was proposed a Center for Dissemination of Information on Biodiversity. This Center would provide access to information and technical publications on the issue and would make available part of the projects of the Directorate of Biodiversity Conservation (DCBIO). However, through the impact assessment of PROBIO I, this Result was not reached due to several difficulties.

On what regards the NBS Project, after the Brazilian participation at the meeting of the Interamerican Network for Information on Biodiversity, in Cancun/2003, the establishment of this above-mentioned initiative was retaken.

In December 2003, in Rio de Janeiro, it was realized the “Meeting for the Identification of Themes on Biodiversity for Cooperation and Interchange among South

American Countries” with the participation of relevant countries (e.g., Venezuela, Colombia, Argentina, Chile, Ecuador, Bolivia and Paraguay).

This meeting promoted: a fast assessment of the achieved progress by participant countries on what concerns biodiversity conservation; preliminary identification of the main progress related to the NBS implementation process and the proposal of a set of common interest issues for the definition of an “Agenda for the implementation of technical cooperation actions on biodiversity”.

At that occasion a Protocol of Intentions was signed to implement the South American Network for Information on Biodiversity. This network would support the medium-term implementation of the Global network of CBD (CHM of CBD).

The variety of information systems as well as of information networks on biodiversity in Brazil is one of the factors that would difficult the integration among several databases; and also its availability to several stakeholders.

The harmonization costs and the time required would call for significant investments from all institutions, governmental and non-governmental. Besides, the research proceedings and data availability make it difficult the comparison among different sources, due to the multiplicity of concepts, indicators, permanent follow-up mechanisms of evolution on biodiversity information.

Note that MMA is still deciding about resources, implementation deadline and cooperation to the following activities:

- (i) Activity 3.1.3 – Acquisition of publications; implementation of a service for electronic access to references on biodiversity; and establishment of an information database for the promotion of knowledge exchange among partners towards the implementation of the National Biodiversity Policy.
- (ii) Activity 3.1.4 – Elaboration of a system for the exchange of information among South American countries;
- (iii) Activity 3.1.5 – Establishment of the National Network on Agro biodiversity;

The MMA authorities consider that the proposal for a Clearing-House Mechanism would be reinforced in the near future, allowing that information and knowledge on Biodiversity be generated and shared within the Brazilian society and international partners of the CBD.

Brazil was the host country of the Eighth Conference of the Parties (COP8) of the Convention on Biological Diversity, in the first semester of 2006. The Project supported this Conference, in a special way, on what concerns the issues related to the CHM implementation.



At COP 8 it was presented the initiatives agreed in the meeting with South American countries, held in December 2003 in Rio de Janeiro:

- (i) Elaboration of a regional strategy to consolidate the CHM in the South American countries, as an instrument to promote the exchange of information and technology;
- (ii) Proposal of an information system to connect relevant databases of species and biological collections in South America;
- (iii) Promotion of exchange of information and experiences on biotrade;
- (iv) Promotion of interchange and cooperation for the development of action plans of the National and Regional Biodiversity Strategies;
- (v) Cooperation for the prevention and control of invasive exotic species; and
- (vi) Proposal of a financial and technological mechanism that allow the improvement of the execution of action plans of the National and Regional Biodiversity Strategies .

In this context, the MMA should in the coming years implement the following initiatives, which were not yet executed by the National Strategy Project:

- (i) The Brazilian Network of Biodiversity Information;
- (ii) The South American Network of Biodiversity Information (CHM in South America);
- (iii) National Network on Agrobiodiversity.

At first the full establishment of the “Brazilian Network of Biodiversity Information” and the “National Network on Agrobiodiversity” is expected to be implemented with the PROBIO II resources, which is being negotiated with GEF.

With regard to the South American Network, MMA and MRE would have to initiate agreements for the functioning of this regional network through the appointment of focal points in the participant countries; the elaboration of a project to the Network implementation and the identification of resources (technical, financial and managerial) for its operation.

This Project Result was executed in a low satisfactory degree since it only achieved the implementation of preliminary activities of the CHM, including the implementation of the Brazilian Biodiversity website in the MMA webpage, in accordance to the toolkit recommended by CDB. Only a half of the proposed activities and initiatives were concluded in order to achieve this Result 31. It is expected that in the second semester of 2007 these activities could be carried out by Project PROBIO II.

#### **Result 4.1:**

*First, Second, and Third National Report to the CBD elaborated, approved and submitted to the CBD Secretariat, according to the Convention guidelines, having an updated knowledge of the Brazilian biodiversity and the methodology used; as well as a more accessible version of the National Report, elaborated and disseminated.*

The elaboration of National Reports was supported by “Enabling Activities” grants from GEF, which aim to keep updated the implementation process of the Convention in the Country. The Project has elaborated the **First National Report to the Convention on Biological Diversity** in Portuguese (1998) and English (1999). It was available in printed and electronic versions, at the website of MMA.

The **Second National Report to the Convention on Biological Diversity** was elaborated between August and December 2002. The draft version of this Report was sent on 31<sup>st</sup> December 2002, in Portuguese and English, to the Secretariat of the CBD.

The MMA has organized consultations within the three relevant stakeholders biodiversity sectors in order to elaborate this Second Report: (i) Federal Government; (ii) non-governmental organization; (iii) State Governments.

First of all, the Project Team prepared a Draft document that was sent to several stakeholders for consultation. This document contained preliminary comments, obtained from secondary surveys (in particular via internet), on initiatives carried out by several segments of society, as a means to comply with the Convention articles.

The Draft was submitted to validation through two consultation meetings: (i) the first for members of 50 Federal Programs of the Multiyear Plan, on 7<sup>th</sup> and 8<sup>th</sup> November 2002, in Brasília; and (ii) the second for members of 19 non-governmental organizations, on 26<sup>th</sup> and 27<sup>th</sup> November 2002, in Brasília.

Based on the typology of answers gathered in both meetings, a final version of the Second National Report to the CBD was consolidated. The draft version of this Report was sent to the Secretariat of the CBD on 31<sup>st</sup> December 2002.

On 24<sup>th</sup> October 2003, the National Commission on Biodiversity (CONABIO) approved the Second Report which was made available in Portuguese and in English in May 2004.

The information and data covered by the First and the Second National Report are difficult to be compared, in particular on what regards the implementation stage of the CBD articles in Brazil, due to different format and contents.

As regards the **Third National Report (2005)**, the CBD Secretariat made available a guideline to elaborate the National Reports with questions to be responded by each State-Party to the CBD.

The structure of the Third Report was basically divided into two parts: **(i)** the first refers to the “2010 Biodiversity Target” and to the “Global Strategy for Plant Conservation”; and **(ii)** the second part refers to the Implementation of CBD Articles in the Country.

Public consultations for the preparation of the Third Report started in December 2004 and were concluded in March 2005. Different methodologies were adopted for the elaboration of the two parts of the Third Report, since they presented specific contents and information.

As regards the first part of the Report, CONABIO in 2004 have not approved the final version of the “National Report on National Biodiversity Loss” and suggested the establishment of a Working Group (WG) to review the issue. Until September 2006, the WG had not concluded its work.

Given that Brazil has not agreed on such targets, they will have to be agreed soon through the selection of a set of indicators/targets of success (qualitative and quantitative). According to the Third National Report, this will be done through methodology proposed to CONABIO.

As regards the second part of the National Report (related to the assessment of the “Implementation of CBD articles in Brazil”) it was adopted a participatory process, which included the Consultation with relevant stakeholders on the biodiversity management.

Initially, it was elaborated a form for consultation about the relevant initiatives undertaken by several sectors: **(i)** States governments; **(ii)** the programs of the Multi year Plan of the Federal Government (PPA 2004/2007); and **(iii)** civil society organizations that carry out activities in the field of biodiversity (NGOs, representatives of the economic sector, representatives of the indigenous peoples, representatives of African slave communities, among others).

Civil society sectors were formally involved in the preparation of the Third National Report. Out of 164 institutions, only 71 responded to the consultation. The Project also received contributions of people and institutions not contacted formally (open consultation) through the MMA website.

After the National Consultation, the Project Team realized the consolidation of received information. A draft of the Third Report (based on the consultation and the internet

consultation) was elaborated, and then validated in two national meetings in April 2005, with the participation of 75 relevant partners.

The final version of the Report was approved by DCBIO and validated by CONABIO on 4<sup>th</sup> May 2005. The final version was sent to the Secretariat of the CBD at the end of May 2005. The publications were concluded in 2006.

Through the information provided in the last National Report, it is noticed that there are still difficulties in formally proposing indicators/targets for monitoring and assessment of the Brazilian Biodiversity. The questions from the Guidelines not answered in the Third Report to the CBD could be taken as a preliminary diagnosis to identify gaps in this issue.

Difficulties for the consolidation of issues could be due to the following:

- (i) Political instances of decision-making are not empowered enough to face the current stage of national biodiversity loss;
- (ii) Few “consensus” in divisions, such as CONABIO and MMA structure, for the approval of the “National Report on Biodiversity Loss”;
- (iii) Weakness of mechanisms for monitoring and assessing the Brazilian Biodiversity; and
- (iv) Conflicting interests among national stakeholders in approving targets towards the reduction of biodiversity loss.

This Project Result, initially aimed to the preparation of one National Report, allowed the elaboration of two additional National Reports, due to the deadline extension as well as the increase of resources made available due to Brazilian currency devaluation (1999/2002).

Other positive factor for the achievement of this Result was the consultation process adopted by the Project: identification of relevant partners at the governmental and non-governmental instances, as focal points, and the high degree of influence to the associates of the selected focal points (federal and state level; NGOs and private sector).

The achievement of this Result was highly satisfactory through the execution of a set of three activities, even though the Activity 4.1.1 has been cancelled.

### **Result 5.1:**

***Action Plans for the implementation of the “Principles and Guidelines of the National Biodiversity Policy”, elaborated at federal, state and civil society level; as well as Project proposal elaborated and submitted to potential donors.***

This Result was added to the Project on 31<sup>st</sup> October 2000, through substantive review “E”. Originally it was aimed to the elaboration of preliminary proposal on Action Plans for the National Biodiversity Policy at the federal, state and civil society levels. The

mentioned Plans should then later become different Projects to be presented to international donors.

The original proposal was actually very ambitious to be achieved in 12 months, given the few technical and managerial resources, and the negotiation process with several governmental and non-governmental stakeholders in order to agree to the Action Plans and their respective Project Document Proposals.

The document called **“Guidelines and Priorities of the Action Plan for the implementation of the National Biodiversity Policy”**, known as **PANBIO**, was approved through the CONABIO Decision no. 40, of 7<sup>th</sup> February 2006.

Furthermore, a permanent technical working group was established within the CONABIO framework with the aim to conclude and monitor the implementation of PANBIO. The working group was composed by members of three Ministries (MMA, MP and MI) and members of five relevant civil society organizations (ABEMA, SBPC, FBOMS, and CNI).

The Technical Body shall play a strategic role on the implementation of PANBIO, through:

- (i) Proposal of outputs, deadlines, targets, phases, budget and stakeholders taking part of implementation;
- (ii) Follow-up and advise the CONABIO in the implementation of actions, through a management system; and
- (iii) Definition of indicators to PANBIO, having as basis the proposals already submitted by the Strategy Project.

The Project used the Third National Report, finished in May 2005 as basic document for the PANBIO proposal. The methodology adopted for the elaboration of PANBIO took into account the execution of 04 phases:

- (i) Information Survey;
- (ii) National Consultation;
- (iii) Meeting for the elaboration of the Plan; and
- (iv) Consolidation of proposed actions.

The information survey and the public consultation phases were carried out between July and August 2005, taking into account: (i) mapping of information and programs available at the Third National Report; and (ii) on-line consultation with important stakeholders on biodiversity. Through this process, around 800 initiatives were identified,

which undoubtedly did not represent the whole of different actions carried out within the Brazilian biodiversity issue.

The following phase aimed to consolidate the information collected during phases 1 and 2, and to form a document-basis to be discussed during the National Meeting for the PANBIO elaboration. The Meeting was carried out in August 2005, in Salvador, and counted with 130 relevant partners (members of NGOs, private sector, research institutions, state governments, federal government and CONABIO), which participated in the proposal of the National Biodiversity Policy. The fact that the participants were familiar with the previous process of proposing the National Biodiversity Policy was useful for the establishment of seven working groups, and to keep the interrelationship between the National Policy and the PANBIO. At the end of the Meeting, 494 actions were proposed.

During the consolidation process, between October 2005 and January 2006, through the realization of debates with the Meeting participants and within the CONABIO meetings, the mentioned actions were reduced to 142.

The final document with guidelines was approved in February 2006 by CONABIO. The PANBIO's publication was made available in the first trimester of 2006.

The activities related to Result 5.1 aimed to the Project proposal to ensure the future implementation of Action Plans (at federal, state and civil society levels). Activities related to propositions to State and Civil Society Plans were cancelled and turned out to be under the capacity of PROBIO II Project and DCBIO. The new PROBIO II Project proposal is still under negotiation, and is expected to be approved in 2007.

The Project added an Activity to the Result 5.1 (Agro biodiversity), which faced difficulties in achieving the expected output. Preliminary meetings were carried out to support the implementation actions of the "Irradiating Centers of Agro biodiversity Management" (CIMA).

The Result 5.1 of the Project Strategy was satisfactorily achieved, since the proposed Action Plan is still seen as an instrument for indicative planning (PANBIO) and the National Network on Agro biodiversity was not established.

It was also not submitted a project proposal to potential donors for the implementation of PANBIO, which would have a broader nature than PROBIO II Project.

### 3.3 – Summary of Achieved Results (MDPe)

The Results achieved with the execution of the Strategy Project are presented at the enclosed table, providing a systematic view of these achievements between 1997 and 2006.

Based on the previous analysis, it was possible to say that the 45 activities (actually 30 after the reviews) supported the achievement of the 05 expected final Results during the Project execution.

The Reports on Progress of the Project Execution from 1997 – 2006 were elaborated at an annual or biannual basis, with very few follow-up of the Project Development Matrix, which made it difficult to view the achievement of indicators of the Project Performance.

Besides these information on execution, the disbursements per component/Results – of the Project were analyzed, making it possible to evaluate the compliance with the Execution Schedule for the period of 9 years as not satisfactory.

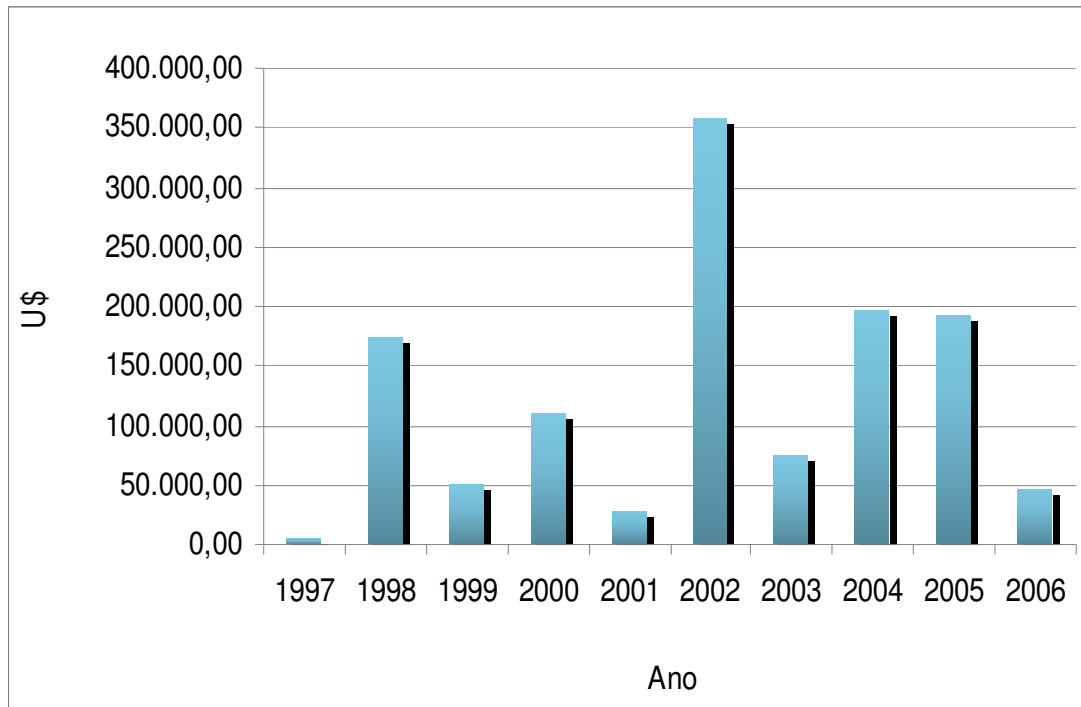
Between 1997 and 1999, disbursements were relatively low, representing 17% of the total budget; in 2002 expenses were of 28% of the budget; in 2005 this amount reached 15,5% and in 2006, the remaining 3,5% of the Project budget. These data show that the Project, without increasing resources, needed almost 05 times more time to be concluded.

The disbursements during the Project are showed at the following tables:

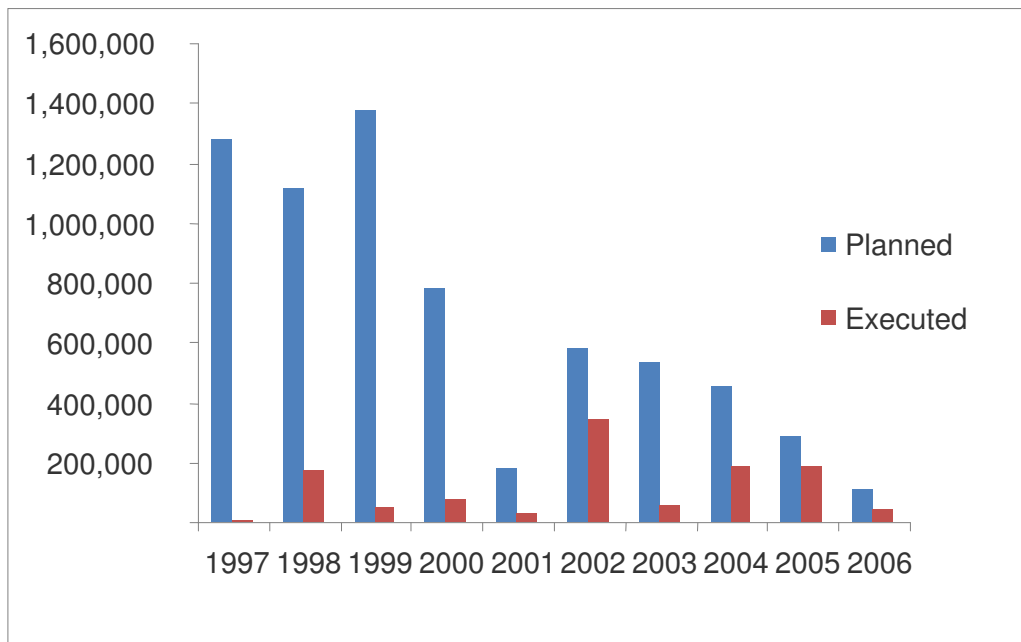
<b>Year</b>	<b>Disbursements per year USD</b>	<b>Disbursement executed and planned per year (%)</b>
<b>1997</b>	<b>4,555</b>	<b>0.3</b>
<b>1998</b>	<b>172,781</b>	<b>13.2</b>
<b>1999</b>	<b>49,425</b>	<b>3.8</b>
<b>2000</b>	<b>109,673</b>	<b>8.4</b>
<b>2001</b>	<b>27,646</b>	<b>2.1</b>
<b>2002</b>	<b>356,771</b>	<b>27.3</b>
<b>2003</b>	<b>74,328</b>	<b>5.7</b>
<b>2004</b>	<b>195,948</b>	<b>15.0</b>
<b>2005</b>	<b>192,254</b>	<b>14.7</b>
<b>2006</b>	<b>44,992</b>	<b>3.5</b>
<b>TOTAL</b>	<b>1,227,812</b>	<b>94.0</b>

*Source: Project Final Report.2006.MMA.*

### Project Disbursements (1997/2006)



### Project Disbursements Planned x Executed (1997/2006)



Source: Project Final Report.2006.MMA.



The annual differences between the budget and the expenses from 1997 to 2001 were very high, suggesting: some weakness in Project management (reviews every 12 months); problems to transference of budgetary resources of the counterpart and difficulties in the decision-making process about the Project development.

Great differences in disbursements are seen in the years 1997, 1999, 2000 and 2003, due to the expectation of Project termination, causing the need to further deadline extensions. This differences between what was planned and executed were 50% present in the years 2002 and 2005.

From 1997 until 2000, the Project put effort in the establishment of networks of relevant sectors at the national level; in the production of knowledge on biodiversity; and in the cooperation for the planning of the Project initiatives.

In the first semester of 2002, the Coordination team was substantially changed, showing then better performance indicators with regard to expenses and also better performance of results and activities.

The strategic Results achieved between 1999 and 2000 were concentrated in the production of knowledge on biodiversity; in the adoption of methodology for the elaboration of an institutional and legal framework for the future ENB and the establishment of the network of relevant partners for the project development.

It should be highlighted that the Workshops and Seminars carried out by PROBIO, per Biome, supported: **(i)** the establishment of networks, homogenization of concepts and objectives; **(ii)** cooperation among stakeholders; **(iii)** the establishment of instances for dialogue and operationalization; as well as took a significant time of the Project execution.

Furthermore, the objectives and methodologies recommended for NBS's Projects by the CBD Secretariat were very effective elements of reference to the realization of planned actions in Brazil for this Project.

This reference gave conditions to the selection of more appropriate methodology considering the Brazilian's specificities and to the support in the awareness of certain groups of public officials related to biodiversity issues.

Therefore, the Project Coordination has made progress in the elaboration of eight studies, which supported the acquisition of knowledge and information of the biodiversity status. The studies were used for the elaboration of the National Reports and for the proposal of Guidelines for the National Biodiversity Policy. Besides, ten strategic studies were prepared to support the elaboration of the NBS and the Action Plan.

These strategic studies and complementary researches to those developed by PROBIO have been very effective in the production of a referential and knowledge framework to be shared with several relevant partners of the Project.

The elaboration of the “Principles and guidelines for the implementation of the National Biodiversity Policy”, following by its approval in August 2002 through Presidential Decree, was an important progress in the establishment of a legal framework for the national biodiversity conservation.

The MMA should keep on working on these Guidelines as a means to propose, at medium and long term, the Law on a National Biodiversity Policy, adding different components of the Guidelines and establishing its regulation.

This work should be part of the objectives of the future PROBIO II with the GEF support. In this strategic axis, the cooperation between FUNBIO and GEF should also be reviewed on what regards scopes and parts addressed to the governmental and non-governmental sectors.

It was noticed that no progress was made in the issue of financing mechanisms and benefit sharing mechanisms, which should be included in public policies and implementation instruments proposed in the NBS and PANBIO. The same situation was seen at the final evaluation of PROBIO.

Through National Consultation, the Project established a basic network of Project’s partners, with the identification of relevant focal points, for the dissemination of actions in national biodiversity.

Besides, it was established a network on communication, composed by members of states, social movements, environmental movements, private sector, indigenous peoples and federal institutions.

In February 2006, PANBIO (Guidelines and Priorities of the Action Plan for the Implementation of the National Biodiversity Policy) was approved by CONABIO.

This document presented the selection of priority actions, proposed in the Meeting for the PANBio elaboration, and their relation to the Projects and Programs of the Government’s Multiyear Plan (PPA) for the period of 2003/2007, as well as the identification of: priority level, implementation deadline, viability and potential executors.

Other strategic result of medium and long-term for the implementation of PANBIO was obtained with the establishment of the permanent technical working group, within CONABIO. This Working group will detail the management, monitoring and evaluation systems; define indicators and targets, as well as the priority projects of PANBIO.

Through interviews it was possible to realize the need to improve within CONABIO the participation network of high-level officials of governmental and non-governmental organization as a means to promote a wider range to the decisions of CONABIO. This situation would be a key for the effective implementation of decisions that go beyond the MMA's Divisions and Technical units.

An important Project initiative was the realization in 2003 of the meeting of South American countries for the establishment of the CHM in the Region. However, this issue was not yet fully implemented by the Project, and should be one of the objectives of PROBIO II, in 2007/2008.

A positive aspect for the achievement of Project results was the establishment of the support network of research centers, universities and researchers with recognized experience in issues related to biodiversity, providing a stamp of quality for these initiatives, such as: USP, CDS, UNICAMP and WWF.

The dissemination of new knowledge and awareness of some segments of Brazilian society were promoted through the publication of the Biodiversity Series, and its availability at the MMA website. These initiatives created conditions to the continuity of use of these publications by new partners and managers in several instances of public policies on biodiversity.

The availability of studies, researches and knowledge derived from the Project could have been better results, not only inside MMA but also externally. This is due to the fact that these documents were launched only recently (2004/2005) at the MMA website.

Three National Reports to the CBD were elaborated by the Project, and constituted an important instrument for the systematization of Brazilian initiatives for the implementation of commitments derived from the CBD. Originally only the First Report was covered by the Project. With the extension of deadline, it was possible to include the two other National Reports.

Another Result that could have shown better outputs refers to the proposal of methodology of monitoring and impact assessments of the Project in the public policies on biodiversity.

This monitoring would provide for the relevant partners greater degrees of participation on the implementation of public policies. It is expected that these actions can still be achieved with the support of PROBIO II Project and CONABIO, in the next five years.

In general the implementation of planned activities for each Output could be evaluated as satisfactory, even considering that the changed or cancelled activities were of around 60% within these 09 years.

It should be highlighted that the achieved Results can be considered as those that produced the initial favorable conditions for the strengthening of national capacities for the elaboration of public policies on Biodiversity.

The strengthening of the planning process promoted the introduction of guidelines and principles on Biodiversity and the necessity of a cross-cut approach by the national policies on this theme, as well as the introduction of guidelines of the action plan in federal projects for the coming 10 years.

Actions were started at different strategic axis, which, by the end of the Project, showed different stages of consolidation.

The achieved Results at this final phase can be evaluated as satisfactory, if compared to the initial and final objectives of the Strategy Project.

The financial resources available were of around USD 1.3 million; given that USD 942 thousand were from GEF. However, during the Project, the resources in Brazilian currency were doubled, due to its devaluation from 1999 to 2002.

These additional resources in Brazilian Real ensured the execution of a great part of the additional Planning of the Project in Brazil, as well as of certain activities that were modified or later cancelled due to changes in the methodology or in the institutional guideline. Thus, it can be said that the disbursements and the supplementary expenses surpassed in about 50% the total amount originally planned.

The achieved Results were selected as a means to support the implementation of strategic axis of the Project, having contributed to its achievement according to the analysis previously carried out.

It should also be mentioned that the Team that designed the Project did not propose annual quantitative indicators for the monitoring of the achieved Results. The Project Execution Team took this task.

This process led to the elaboration of a Project planning matrix, which took into account: available resources; initiatives of other Programs; availability of counterparts and the progress in the implementation of activities in Brazil.

However, the Project Team did not appropriately develop the quantitative and qualitative indicators during the substantive reviews.

It can be evaluated that the Project Results were carried out in a satisfactory way, according to analysis and interviews carried out with relevant partners, Project Team and authorities in the sector.

## **Chapter 4 - Evaluations Results**

### **4.1 – Evaluation framework**

In order to evaluate the results (outputs, outcomes and impacts) achieved by the Project, it was used a Development Matrix of Project Evaluation, having 05 criteria according to the methodology adopted for this evaluation: relevance, effectiveness, efficiency, impact and sustainability.

#### **4.1.1 - Relevance:**

The Project was initially designed according to the guidelines adopted by the Secretariat of the CBD for the preparation of the National Strategies of the State-Parties to the Convention. Thus, the Project has gathered high relevance since it allowed the Brazilian Government to comply with national commitments for the implementation of the CBD, ratified by Brazil in 1994.

The GEF, ABC and UNDP approved the final Project Proposal in 1998. The methodology and the proceedings for its implementation faced changes in the first years of its execution and tried to accompany the changes in the environmental policy.

Previous analysis confirmed that it was adequately executed, according to the needs of technical, legal and institutional strengthening of the sector and of the strategic managers on the conservation and sustainable use of biodiversity; and also the equal share of benefits derived from biodiversity.

Furthermore, the Project had a strong component for the institutional strengthening of the SBF and DCBIO in these issues, due to a temporary consolidation of a Coordination for the knowledge production.

In order to evaluate the Project relevance, it was considered the context of the National Strategy Project as regards the public policies and programs on Biodiversity of the Brazilian Government and MMA during the last 10 to 15 years.

Since the Conference Rio-1992 and the establishment of the current MMA in 1994, it was appointed the need of an improvement in the efficacy of the actions for the elaboration

and implementation of public policies for the significant reduction of biodiversity loss in Brazil.

In this context, the Projects PROBIO and National Strategy, supported by GEF, promoted the strengthening of the biodiversity issue within the scenario of public environmental policies elaboration. These Projects started the adoption of a crosscut approach of Biodiversity in the public policies, which shall be strengthened with the approval of PROBIO II (2007).

The Strategy Project aimed to support the political, technical and institutional framework to comply with the commitments not only assumed before the international community but also before the society and national relevant actors.

For the execution of the National Strategy Project, some strategic initiatives were agreed for the strengthening of a proposed National Agenda on Biodiversity, through the proposal of National Policy, National Reports to the CBD and PANBIO.

The consultation process to relevant partners of the Project confirmed the adequacy and appropriateness of developing, together with PROBIO, the activities related to the knowledge production, elaboration of policies and strategies, and strengthening of capacity in the elaboration of public policies.

In the last 10 years, the Project has worked at the national level making use of synergy among several initiatives and around 30 Projects developed by MMA and IBAMA.

During the implementation of these initiatives, it was developed a process of adjustment to the needs of beneficiaries as well as to changes in the Governmental policies and development methodologies. These changes considered the scale and scope of the Project; the execution time of the Technical Cooperation (initially 18 months) with its 19 reviews; and the expected Results of its execution.

The majority of those interviewed during the evaluation in 2006 confirmed the relevance and adequacy of the Project to the need of beneficiaries. However, they suggested that it should be intensified the dissemination process of the results achieved for the Brazilian society, which in general, is not aware of the policies and action plans on biodiversity.

Through the approval of the three National Reports, the PANBIO and the Principles and Guidelines for the NBP (Decree 4339), it was possible to confirm that the Project is still in line with the priorities of the Brazilian policy on environment and improvement of life quality (sustainable development and poverty alleviation).

The degree of relevance could be confirmed through policies and national plans, programs and projects of MMA and IBAMA, as well as through decisions taken at technical units of the National System on Environment and the CONABIO.

In the last years the institutional scenario was quite positive for the execution of this Project. Biodiversity issues started gradually to be part of the Green Agenda of the Brazilian society at federal, state and local levels. This can be evidenced through the policies and priority programs which are part of the PPA 2000/2003 and 2004/2007, as well as through the realization of the National Conference on Environment and other events in this sector, and through the planning of Programs at PPA to 2007/2011.

The introduction of Biodiversity issues in the public policies is relatively recent. It is actually a way of the Government to respond to civil society demands as well as to international organizations agendas for Brazil.

The political and institutional scenario (national and international) in the last decade provided more visibility in dealing with Biodiversity issues. For instance: **(i)** the establishment in 1999 of the Secretariat of Biodiversity and Forests at MMA; **(ii)** adoption of the National System of Conservation Units (SNUC) in 2000; and **(iii)** selection and approval of the Priority Areas for Biodiversity in 2004.

The Project acquired more relevance once its support was aimed in particular to the establishment of the National Strategy on Biodiversity and the Action Plan. This strategy would support the public officials of DCBIO, SBF, CONABIO, CONAMA and MMA in the elaboration of public policies in the sector and in the implementation of the PRONABIO actions.

The proposal of “Principles and Guidelines for the implementation of the National Biodiversity Policy” was approved through the Presidential Decree 4.339, on 22<sup>nd</sup> August 2002. With this Decree, the Brazilian society counts with basic principles on the national Biodiversity to comply with national commitments to implement the CBD in the Country.

The document “Guidelines and Priorities of the Action Plan for the Implementation of the National Biodiversity Policy (PANBIO) was approved through the CONABIO Decision no. 40, on 7<sup>th</sup> February 2006, and allowed the beginning of long-term technical activities.

Due to the elaboration of the three National Reports, it was possible to have an initial systematization of information on biodiversity, available at several instances and organizations, as well as to support the elaboration of public policies and the federal action plan.

The Multi Year Plan of the Brazilian Government (PPA) for the period 2004-2007 (as the previous PPA, 2000-2003) contains actions for the conservation and sustainable use of biodiversity (for instance, the Program Parks of Brazil), which are objectives of the NBP.

The Project supported the strengthening of dialogue mechanisms with the Brazilian civil society, through technical meetings, consultations and publications for the promotion of Biodiversity in the National Agenda of Public Policies.

This Project and PROBIO generated conditions for the establishment of a basis for the beginning of a cross-cut approach of the biodiversity issue in the public policies, which should be enlarged in the coming years by the PROBIO II and projects on sustainable development.

In this context, this Project shows a high degree of relevance for the execution of guidelines and principles of public policies on Biodiversity and for the implementation of the actions related to the National Agenda on this issue.

These policies are not only due to national commitments with the Brazilian society, but also due to those commitments agreed in international forums by the Brazilian government, such as the Millennium Development Goals (MDG) and the Convention on Biological Diversity (CBD).

The Project is in conformity with the Brazilian cooperation policy in the environmental field with: GEF, United Nations System, Multilateral Agencies for Development, and Cooperation Bilateral Agencies. This priority is confirmed through the documents of Strategies, Program for the Country, and Projects of these international organizations.

The Cooperation with the UNDP and the Secretariat of the CBD/COP in the field of environment is technically very well-accepted by MMA and other partners, as seen in the numbers of Technical Cooperation carried out or being carried out, as well as through the evaluation reports of these initiatives. Within MMA and IBAMA, the Project counted with the synergy of around other 30 Projects.

The Biodiversity and Environmental issues are one of the priorities of the Program on Technical Cooperation of the Brazilian Agency on Cooperation and other international commitments that the Government assumed through the Brazilian Ministry of Foreign Affairs.

The Project contributed with the Eighth Conference of the Parties to the Convention on Biological Diversity, which took place in Brazil in March 2006. At this occasion, several



biodiversity themes were discussed and the Project presented its initial progress for the establishment of the South American Network on Biodiversity.

Even though the Project relevance for the strengthening of MMA and other public policy officials, it was noticed that in the framework of the Ministry and its Secretariats the financial resources are very few for the realization of these initiatives.

The relevance of the Technical Cooperation was still enlarged by actions such as:

- (i) Elaboration of legal and institutional instruments and instruments for the strengthening of sectors of the federal public administration, through the proposal of policies on biodiversity and a preliminary action plan;
- (ii) Knowledge generation and establishment of a communication network with stakeholders (public, non-governmental and private);
- (iii) Promotion of new partnerships for the Project and of new initiatives;
- (iv) Establishment of follow-up mechanisms for the actions started with PANBIO with the creation of the Permanent Technical Body at CONABIO; and
- (v) Successful experiences in the elaboration of policies and action plans, with high potential of multiplication among other divisions at state and municipal levels.

The Project was evaluated as very relevant due to the proposals of public policies on Biodiversity; of instruments for the implementation of these policies and for the technical and institutional strengthening of SBF/MMA, as well as the instances of dialogue.

As regards the role played by the Project for the institutional strengthening of MMA, it can be said relevant for the following reasons: it has strengthening considerably the organizations related to the Project and improved partially the legal framework in the field of Biodiversity.

A gradual and long-lasting process of institutional and organizational strengthening is being carried out and at a certain degree will be continued once GEF's support is over.

#### **4.1.2 - Effectiveness.**

##### ***Immediate Project Objectives (Purpose):***

##### **Immediate Objective 1:**

**Indicator of success:** *NBS elaborated and approved by the Brazilian Government*

**Immediate Objective 2:**

**Indicator of success:** *The stocktaking on the status of knowledge of Brazilian biodiversity and strategic studies for the NBS and Action Plan, elaborated;*

**Immediate Objective 3:**

**Indicator of success:** *Framework of the CHM implemented and operationalized, through the FORBIO.*

**Immediate Objective 4:**

**Indicator of success:** *Three National Reports elaborated, approved by CONABIO and submitted to the Secretariat of the CBD.*

**Immediate Objective 5:**

**Indicator of Success:** *PANBIO elaborated and approved by CONABIO; and proposal of project implementation of PANBIO submitted to potential donors.*

The achieved Results contributed to the realization of the Purposes and Development Objective, creating conditions for the evaluation of the effectiveness degrees of the Project implementation.

Among the results achieved it could be mentioned:

- (i) Better instruments for cooperation and national consultation on Biodiversity issues;
- (ii) Institutional adoption of guidelines for national biodiversity policy implementation;
- (iii) Production of knowledge; initial network of national partners and awareness of relevant partners;
- (iv) Improvement of the planning capacity in biodiversity issues at federal level; and
- (v) Promotion of the planning process for the Federal Action Plan.

Therefore, the Project supported the initial actions of strengthening of the public policies on biodiversity; of the strategies per sector; and of the planning of federal medium and long-term actions. This set of Results allowed MMA to count with better instruments for biodiversity management, indirectly contributing to its conservation and sustainable use.

The achieved Results are presented below, together with the use of selected indicators for effectiveness evaluation.

**Indicator of the Immediate Objective 1** – The IO 1 was realized with a satisfactory effectiveness degree, given that the elaborated NBS became a set of “Principles and

Guidelines for the implementation of the National Biodiversity Policy”. The document of Guidelines for the NBP took about 05 years to be elaborated and approved by the Brazilian government, what happened through Presidential Decree 4.339, on 22 August 2002.

Until March 2003, the Project planned the elaboration of a new Bill called “National Law on Biodiversity”, which would consist of a political and institutional framework for the sector, with its regulation, in conformity with the successful model adopted for the Law on the National System of Protected Areas (SNUC). However, this initiative was cancelled by MMA authorities and by orientation of CONABIO, as indicated by the Manager of the Project.

Moreover, PROBIO Project was very effective due to the MMA approval in 2004 of the 900 “Priority Areas for Conservation, Sustainable Use and Benefits Share of the Brazilian Biodiversity” or “Priority Areas for Biodiversity (APB)”.

Another important element of this regulation is the clear indication that these APBs turned out to be reference for the elaboration and implementation of public federal policies, envisaging six important biodiversity components: **(i)** *in situ* conservation; **(ii)** sustainable use; **(iii)** share of benefits derived from the access to genetic resources and the associated traditional knowledge; **(iv)** research and surveys; **(v)** recovering of degraded areas and of overexploited species or under extinction threat; and **(vi)** economic studies.

The elaboration of the document “Principles and Guidelines for the NBP’s implementation” represented important methodological changes, not only in the elaboration but also in the National Consultation process.

The lack of indicators and quantified targets in the Guidelines (short, medium and long-term) to be achieved in the conservation and sustainable use of biodiversity has significantly reduced the quantitative effectiveness evaluation of this Immediate Objective 1, related to the achievement of the Project’s Development Objective and for the Global Targets of the CBD for 2010.

However, this contribution could be evaluated together with actions of other MMA and IBAMA Projects, as well as with the initiatives of biodiversity monitoring by NGOs and other national institutions at the three governmental levels.

The Project Team mentioned that PROBIO II may be able to support in the forthcoming years the consolidation of procedures for monitoring and evaluating the Brazilian biodiversity loss and the progress made towards conservation and sustainable use.

**Indicator of the Immediate Objective 2:** The achievement of Immediate Objective 2 was highly effective (very satisfactory) through the realization of 12 studies, 10 thematic reports and 08 systematization reports on the status of biodiversity knowledge in Brazil. Its effectiveness was enlarged due to the initiatives executed by PROBIO and around 30 Project of MMA and IBAMA, which counted with the support of UNDP and the World Bank.

These studies promoted a great contribution to the elaboration of the National Reports and the establishment of the network of research institutions; individual researchers; technicians and of recognized international centers on biodiversity.

Furthermore, the studies carried out were very useful for relevant decisions taken for the Project development. It can be highlighted: (i) evaluation of experiences of NBS elaboration at more than 20 countries, which resulted in the methodological proposal and implementation stages of such process in Brazil; and (ii) survey on the Brazilian legislation and the adaptation needs for the CBD implementation.

With regard to the legal survey in 2000, it was noticed that certain Brazilian legal texts (classified as “partially complied”) would need to be adjusted to have the classification “completely complied” with the CBD articles. It would be advisable that MMA begins in the forthcoming years the harmonization process of the Brazilian legislation.

**Indicator of the Immediate Objective 3:** The Immediate Objective 3 was achieved with medium effectiveness (not much satisfactory) due to the lack of implementation of some scheduled activities and of achievement of the Result 3.1 (regarding the establishment of FORBIO, as a clearing-house mechanism (CHM) of the CBD)

The Project created the Website on Brazilian Biodiversity at MMA but it was not a Clearing-House Mechanism on Biodiversity (CHM). The information on studies of the Project and of PROBIO were made available, allowing the information dissemination on the issue. The Project manager informed that the Brazilian Biodiversity website, at the Ministry webpage, was implemented in accordance with the recommended CDB toolkit to dissemination of knowledge on biodiversity themes.

However, this website is not considered a focal point on biodiversity issues as a CHM. It was appointed that PROBIO II should in the short-term better develop the Immediate Objective 3.

The actions started by the Project did not achieve the expected targets, not only for the CHM in South America, but also for the National Network on Agro biodiversity. Both

results are considered to be in preliminary stage of agreements and definition of technical, managerial and financial proposals with the partners of these initiatives.

**Indicator of the Immediate Objective 4:** The Immediate Objective 4 was achieved with high effectiveness (very satisfactory) due to the elaboration of the First, Second and Third National Report to the CBD, which were presented within the scheduled deadlines.

Originally, only the First National Report (1998) was scheduled, but with the extension of execution deadlines and resources availability it was possible to elaborate other 02 Reports, in 2003 and 2005.

The publication of these Reports and dissemination within the MMA website allowed the enlargement of the initial process of dissemination and awareness of the Brazilian society on biodiversity issues. More accessible versions of these National Reports were elaborated for the dissemination of information and of available data on biodiversity.

With the National Reports, the Brazilian Government was able to comply with its commitments to the CBD; as well as to support participants of the successful realization of COP 8 in Brazil, on 28/29 March 2006, through relevant information about the Brazilian biodiversity management.

The participation process and the National Consultation for the production of these Reports led to a very relevant short-term outcome to the establishment of national and regional communication networks on this issue. It also provided an important instrument for the systematization of initiatives and of the professionals with relevant work in this field.

This Immediate Objective 4 collaborated with the achievements of the Development Objective of the Project and of the CBD Objectives in the medium and long terms.

**Indicator of the Immediate Objective 5:** The Immediate Objective 5 was achieved with medium effectiveness (satisfactory), considering it should originally generate an action plan at federal level, with sectoral actions plans and thematic subjects envisaging the support to different relevant partners in the field of biodiversity conservation and sustainable use.

This Objective was introduced in the first semester of 2003. The proposed characteristics and methodologies were modified in three occasions between 2003 and 2005.

Between January and July 2005, a survey limited to the federal governmental level was carried out about the existent projects within the National Action Plan (2004/2007) That were related to biodiversity.

The Results were consolidated at a national meeting, and this turned out to be the proposal of “Guidelines and Priorities of the Action Plan for the Implementation of the NBP - PANBIO”.

The PANBIO should still be developed at the CONABIO in order to become an effective planning instrument of the actions to be executed by the Federal Government in the forthcoming five to ten years.

The relevance of this objective relies on the perspective of the multiplication of this national experience for the elaboration of PANBIO, at state and local levels as well as in the civil society and private sector.

### **Comments on Purposes:**

The five Immediate Objectives are contributing to the future achievement of the Project Development Objective, which will be probably achieved in the forthcoming years, given the contribution of initiatives to be executed by partners and political and social instances out of direct control of the Project.

The Project effectiveness can be evaluated as satisfactory, since the Immediate Objectives were achieved, with different degrees of implementation. The Project could be classified as very effective due to: **(i)** it has achieved the majority of expected outcomes (indicators); **(ii)** the positive perspective to keep the majority/certain benefits for the Project beneficiaries; and **(iii)** the medium likelihood of achieving in the future outcomes and long term impacts of the Project.

The following Results led to this degree of effectiveness:

- (i)** Progress made in the establishment of a legal and institutional framework of the Brazilian Government for the compliance to the CBD; through the approval of the “Principles and Guidelines for the Implementation of the National Biodiversity Policy”;
- (ii)** Promotion of development of National plan and programs on biodiversity, through PANBIO, as an instrument to comply with constitutional commitments and to the implementation of the CBD;
- (iii)** Establishment of a technical written record and institutional increasing capacity for the proposition and management of federal public policies on Biodiversity;
- (iv)** Strengthening of several instances for the participation of relevant partners as a means to have better participation in the initiatives taken for the elaboration of public national policies on biodiversity, through consultation and validation processes;

- (v) Support to the updating of technical and leadership capacities as well as of sectoral collaboration, inter-sectors and intra-sectors for the elaboration of public policies on biodiversity;
- (vi) Functioning of the Working Groups and Commissions for the execution of Project initiatives at different levels of cooperation and social dialogue;
- (vii) Establishment of a technical and institutional written record for future dissemination of Project experiences to other instances and relevant partners;
- (viii) Establishment of study and research networks, promoting partnerships with study and research centers and other project partners, as well as with South American countries;
- (ix) Preliminary diagnosis for the establishment of databases on the Brazilian biodiversity knowledge through studies and stocktaking made available through publications and eletronically at the MMA website; (x) Realization of events for technical and managerial integration envisaging the operationalization of the Project with governmental organizations, study and research center, NGOs, indigenous peoples movements and private sector; and
- (xi) Improvement in the dissemination of biodiversity information to relevant partners due to the publication and availability of this knowledge at MMA website.

### **4.1.3. Efficiency**

The six Results and around thirty executed Activities were technically adequate, in general, implemented with significant deadline extensions and at reasonable costs for the achievement of the five Projects Immediate Objectives.

However, the Development Matrix of the Initial Planning was very ambitious in terms of number of activities to be carried out during the originally proposed 18 months. The other Matrixes of Planning were progressively changed, resulting in more than 18 Projects reviews. On average these reviews extended in 12 months the Project execution deadline.

The operational and administrative implementation of the Project presented low efficiency, due to:

- (i) Progressive changes on the Project strategic planning;
- (ii) Weakness of monitoring and evaluation of indicators and targets;
- (iii) Changes of results (new and cancelled ones); activities (new and cancelled ones) and immediate objectives (new ones or added to the existent ones), making it difficult to gather results and costs per initiative;

(iv) Reduced follow-up of technical and financial resources of other projects and actions in the ambit of MMA that could contribute to the achievement of Results.

The follow-up of the activities' cost and of the results was carried out in 2002 and 2003 by the Project. However, the Project Final Report could not make the referred costs available.

On 31<sup>st</sup> December 2003, USD 503,670 had not been used by the Project, representing 37% of the resources for its execution. After 05 years of implementation, 63% of the Project resource was executed. Only in 2002, around 30% of the total resource was spent.

- Result 1.1 and Result 1.2 – (National Policy)

**Total: USD 416,759**

- Result 2.1 (Information Survey)

**Total: USD 291,780**

- Result 3.1 (FORBIO/CHM)

**Total: USD 166,200**

- Result 4.1 (National Report)

**Total: USD 170,600**

- Result 5.1 (PANBIO and Funding Proposal)

**Total: USD 231,450**

**Total: USD 1,276,789** (without administration costs; available resources of the counterpart; and disbursements to 2006).

The progressive changes in the planning of Activities, changes in the Results and Immediate Objectives led to changes in the methodology during the execution and caused significant deadline extensions.

The Project then adopted extended deadlines, every 12 months, since 1999 (reviews “A” to “V”) in a permanent adjustment process of the Project implementation to several conditions faced.

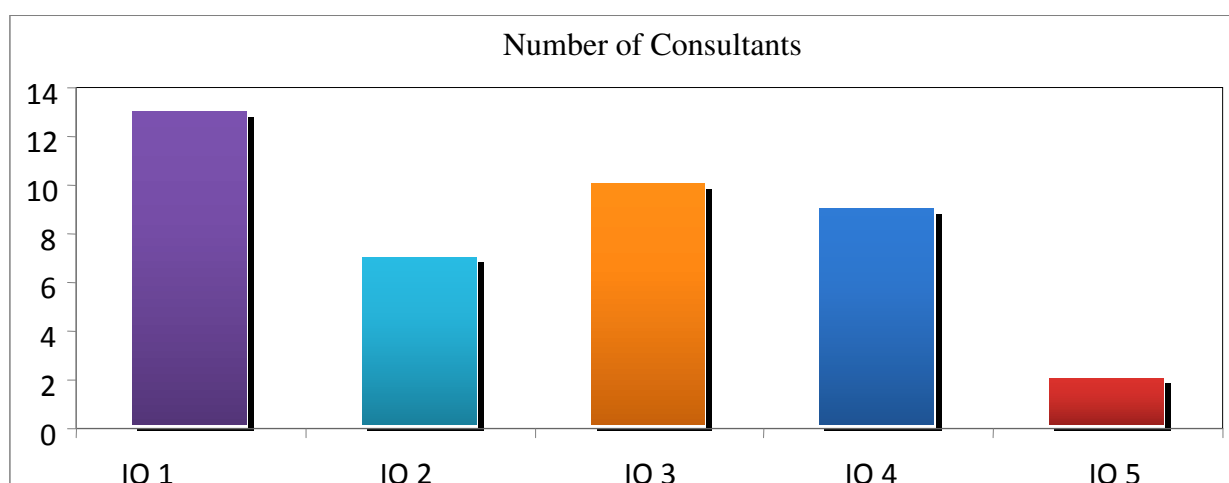
These conditions contributed to the gathering of “additional resources” derived from other national projects, and to the reduction of certain activities within the deadline, such as: dissemination of knowledge and Project information and the initiatives related to the CHM.

The efficiency of the Project implementation can be considered **somewhat satisfactory**, as regards to the time used for the achievement of initial results; and as



**satisfactory** due to the significant efforts done by Project and partners (PROBIO I, UNDP Projects, CONABIO, SBF) to face difficulties related to the few technical personnel and the unstable resources provided by the counterpart.

The Project counted with the contract of consultants for the Coordination Unit; 52 consultants for studies and researches. The Project also carried out several technical meetings. For the engagement of Consultancies, on the short and long-term, it was needed approximately **USD 700,000 or 54% of the financial resources** of the Project.



*Source: Project Final Report.2006.MMA.*

The realization and participation in **Workshops and Seminars** represented around **USD 280,000 or 21%** of the total Project resources.

Additionally, it was used around USD 140,000 or 11% of the resources for the realization of contracts for consultancies for the support in the organization of meetings and issuing of tickets for the participants of Seminars.

About **USD 70,000 or 5%** was used for the publication of reports and around 5%, for the acquisition of equipments.

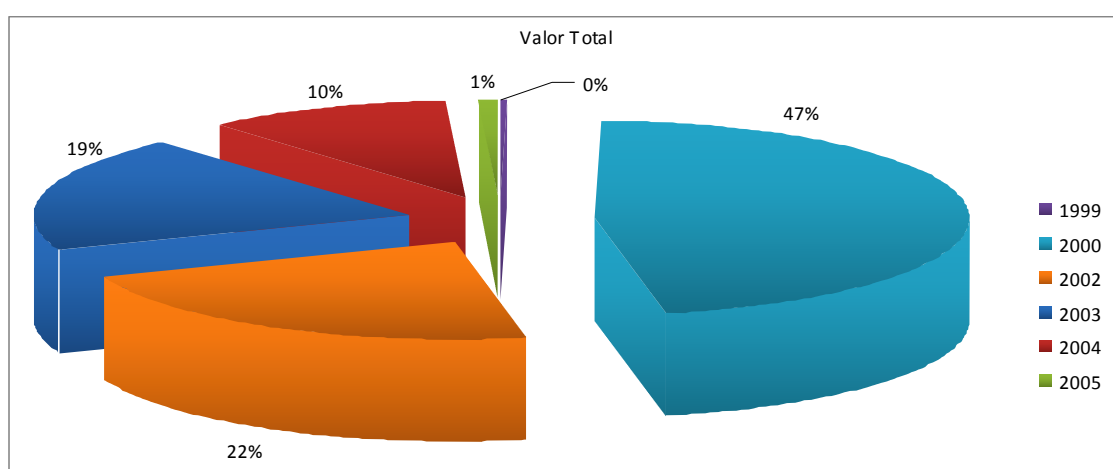
The above-mentioned budgetary categories represented 75% of the total Project resources. Besides, the resources per Result reflected the priority given to the Immediate Objectives 1, 2 and 5.

The priority given to the **Immediate Objective 1** (Principles and Guidelines of the PNB), concentrating **33%** of the resources was achieved with a strong technical support from the PROBIO Project.

As regards the time for the acquisition of inputs (consultants and equipments), it can be said that it was compatible with the period observed in other Projects executed by MMA. Some processes of Consultant hiring were replaced by the work team as, for instance, the elaboration of the National Report.

In some occasions there were delays for the realization of meetings and seminars, as well as in certain processes for the approval of partial or final outputs submitted by Consultants.

The equipments effectively acquired by the Project were in conformity with the specifications, preliminary amounts and installations for the Project development.



Source: *Project Final Report.2006.MMA.*

The Brazilian “in kind” counterparts, such as installations, room/space, technical and administrative support, were provided in time for the Project execution, according to the availability of other MMA projects, which financially supported the technical counterpart of the team.

The Project faced financial oscillations in 1999 and 2001, due to the changes in the political sector and of MMA authorities. Internally, the GEF resources played a strategic role in supporting these oscillations, although the activities were significantly reduced in this period.

The initial Project budget, until the substantive review “D”, was of USD 1,485,149 (October 1999), and it was modified in October 2000 after review “E” to USD 1,309,539. This review reduced the financial support of the national counterpart.

The GEF resources (USD 942,500) were available since 1998, allowing its use in the beginning of the Project, in case of difficulties to guarantee the Brazilian counterpart.

The national counterpart of USD 367,000 was made available, mostly every 2 years, in the following dates and amounts: **1998** (USD 88,000); **2000** (USD 83,000); **2002** (USD 40,000); **2003**(USD 100,000); **2005** (USD 32,000); and **2006** (USD 37,000).

The evolution of the utilization of resources from the National counterpart and from GEF, in American dollars, of the annual disbursements within the first five years, made it possible to identify that the major difficulties faced were not financial or budgetary.

Utilization of resources of disbursements by origin:

<b>Year</b>	<b>Total Disbursements</b>	<b>National Counterpart</b>	<b>GEF</b>	<b>Annual Available Resources of GEF</b>
<b>1998</b>	172,781	87,847	81,593	860,907
<b>1999</b>	<b>49,426</b>		43,817	<b>817,090</b>
<b>2000</b>	109,673	83,591	97,548	719,542
<b>2001</b>	<b>27,646</b>		10,139	<b>709,403</b>
<b>2002</b>	356,771	39,436	344,692	364,711
<b>Total</b>	<b>716,237</b>	<b>210,874</b>	<b>505,363</b>	<b>355,544</b>

Therefore, it could be noticed that until 2002, about 50% of the Project's financial resource had already been used, leaving to the Brazilian Government the Project support with 40% left of the total counterpart.

The Project also faces internal difficulties related to a low operational capacity, due to changes in the national legislation for consultants hiring in 2003. The principal team of the Project was composed by Consultants, who had to take part on public examinations in order to exercise the functions of temporary staff. Thus, some professionals left the team or were hired by other Projects.

During 1999 to 2001, the Project also had changes in the composition of its principal team. Since 2002, with new staff modification, the Project presented a better operational performance, according to information of the Project Manager and the activities carried out.

Interviews with authorities and with staff of SBF and DCBIO, members of CONABIO and PROBIO Project appointed that this was an important Project for technical support for the strengthening of these instances on the Brazilian biodiversity issues.

CONABIO members interviewed also mentioned that the Project allowed their institutions to follow-up the improvement of instruments for the management and policies on the biodiversity issues, such as the Guidelines of PNB and the Action Plan.

The components were financed according to the following investment categories, in USD:

<b>Project Disbursements 1997/2006</b>											
<b>Sublime</b>	<b>Description</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
015.01	Duty Travel	0	12,054	3,442	10,626	15,266	8,557	12,123	21,700	81,600	28
015.11	Duty Travel	0	2,757	0	0	0	0	0	0	0	0
016.71	Mission Costs	0	0	0	0	0	2,663	871	0	1,129	3,050
017.01	National Professionals	0	0	3,225	28,047	414	2,074	0	8,068	0	0
017.02	Short Term Consultants	0	33,487	29,245	31,697	4,831	96,896	32,105	29,481	60,778	1,552
017.11	National Professionals	0	0	0	0	0	0	0	0	0	0
017.12	Short Term Consultants	4545	72,859	1053	0	0	696	0	0	0	0
021.01	Subcontracts	0	0	0	0	0	1,742	861	93,983	2,330	35,937
021.11	Subcontracts	0	0	0	0	2,046	0	0	0	0	0
032.01	Workshops & Meetings	0	0	0	0	3,986	225,585	7187	31,574	38,830	3,865
032.11	Workshops & Meetings	0	0	0	0	0	163	0	0	176	0
045.01	Expendable Equipment	0	0	1,013	1,690	776	6,520	3,635	942	1,305	0
045.02	Non-Expendable Equipment	0	0	148	31,682	0	7,917	8,865	4,353	430	0
045.03	Maintenance of the Office	0	0	0	0	129	192	0	40	76	0
045.04	Maintenance of Equip.	0	0	0	0	0	119	0	100	0	0
045.11	Expendable Equipment	0	563	0	0	0	0	0	0	0	0
045.12	Non-Expendable Equipment	0	0	0	0	0	0	0	0	0	0
045.13	Maintenance of the Office -	0	86	0	9	0	0	0	0	0	0
045.14	Maintenance of Equip.	0	0	0	0	0	0	0	0	0	0
045.71	Direct Costs (not for OPS)	0	0	0	0	0	0	8,681	5,707	5,600	0
052.01	Reporting Cost	0	47,118	10,186	4,432	0	647	0	0	0	0
052.11	Reporting Cost	0	1,522	0	0	0	0	0	0	0	0
053.01	Sundries -	0	697	868	833	0	0	0	0	0	0
053.11	Sundries -	9	650	241	656	92	0	0	0	0	0
053.12	Miscellaneous	0	0	0	0	0	0	0	0	0	0
085.01	Gain and Loss	0	0	0	0	106	0	0	0	0	0
	<b>Total</b>	<b>4,555</b>	<b>172,781</b>	<b>49,425</b>	<b>109,672</b>	<b>27,646</b>	<b>356,771</b>	<b>74,329</b>	<b>195,949</b>	<b>192,254</b>	<b>44,991</b>

*Source: Project Final Report. 2006. MMA.*

In this context, 90% of the Project's financial execution was carried out until 31<sup>st</sup> December 2005. Until September 2006, the Project resources would have to be completely

used, achieving 97% and the remaining 3% corresponds to administration costs of the UNDP.

Due to the non-realization of a set of the Project Activities, from January until September 2006, it was carried out other four mandatory reviews for the extension of the execution deadline in 09 months.

Between 2002 and 2005, the most relevant initiatives were carried out in order to achieve the Immediate Objectives and for the achievement in the medium and long-terms of the Development Objective of the Project.

The difference between the expenditures made and the annually programmed for each Project category is presented in the graphic of Chapter 3, item 3.3 (summary of the achieved results).

The Project needed five times more of the originally proposed timeframe for its implementation, with costs that could have been reduced if the execution time would have been shorter. If compared with Projects developed by other countries, the achieved results were similar, but the timeframe for its execution was longer.

Another element to be analyzed would be the Brazilian strategic option of executing two Projects in an interdependent way: PROBIO and Strategy. This option has lead to the simultaneous conclusion of both Projects in 2006, which started respectively in 1996 and 1997.

The other countries Projects that developed both themes at a sole operation, with budgets between USD 10 to 20 million presented execution deadlines of 05 to 06 years), considering countries with similar dimensions and characteristics in what concerns the relevance of the national biodiversity. The Brazilian option has taken 9 years with two different Projects.

According to the Project original design and national peculiarities, it could have been concluded in August 2002 (in 56 months), since it was achieved the NBP proposal (Presidential Decree n. 4.339, August 2002) and the elaboration of the First National Report to the CBD (December 1998).

The Project Manager explained that the MMA had decided to give continuity to the Project considering two factors: (i) resources available at the Project in 2002 and (ii) the long period (five to six years) to be approved a new full or medium size Project with GEF financial support.

The real costs of the Project would be equivalent to USD 720.850 until 31<sup>st</sup> December 2002 (59 months, plus 06 additional months) according to information given by the UNDP. If

there were still expenditures to be made, in the first semester of 2003, other USD 37.570 would be added, totalling USD 758.420 for a period of 71 months.

The efficiency of the Project implementation is considered **somewhat satisfactory (not satisfactory)** due to time factor, and **satisfactory** in relation to the significant efforts done by the Project Team to obtain the expected Project results at reasonable costs.

#### **4.1.4. Impacts**

##### **Indicators of success:**

- Instruments for the elaboration of national policies and of public management to promote the conservation and sustainable use of biodiversity elaborated and approved.
- Status knowledge on the national biodiversity enlarged through studies and reports elaborated and disseminated to national and international relevant partners.
- Network of strategic officials, implemented and operational, through several instances of collaboration, consultation and validation.

The short-term Outputs and Outcomes achieved by the Project are contributing to the accomplishment, at a certain degree, of the Development Objective in the forthcoming years. This Objective, in order to be achieved in the long-term, will need the active participation of several public and private stakeholders, as well as of NGOs and other programs under execution (which are not directly implemented by DCBIO/SBF).

The Project implemented at DCBIO and SBF a set of preliminary conditions and of initial actions on public policies (Principles of NBP) and practices for the biodiversity management (PANBIO).

Therefore, the capacity of MMA public officials was improved in the process of elaboration and implementation of national policies on biodiversity; as well as promoted better conditions for the dissemination of knowledge, collaboration and awareness of other relevant national officials in dealing with biodiversity issues.

Two important legal and institutional instruments were approved by different instances, allowing the Brazilian Government to build up conditions for the implementation of CBD objectives in the issues of conservation and sustainable use of biodiversity; and the equal distribution of benefits.

The establishment of this referential framework with the elaboration of the NBP and the Action Plan was important for the achievement of positive impacts in the medium and long terms of policies for the mitigation of biodiversity loss.

Besides, the compliance of commitments assumed by the Government before the Brazilian society and the international community, as regards the biodiversity knowledge, could be achieved with the elaboration of the three National Reports to the CBD.

The short-term outcomes achieved by the Project that are contributing for the achievement in the long-term of the Development Objectives, are indicated as follows:

- (i) Cooperation of relevant institutions to the Project;
- (ii) Awareness of public officials, NGOs and other partners;
- (iii) Dissemination of data and information achieved by studies and complementary research;
- (iv) Consultation at different instances of dialogue about policies and actions on biodiversity;
- (v) Promotion of principles and guidelines of public policies on biodiversity to public officials and other relevant partners;
- (vi) Promotion of a permanent process of policy proposals on biodiversity;
- (vii) Technical and institutional strengthening of SBF, CONABIO and DCBIO;
- (viii) Promotion of communication networks with national and South American partners for the exchange of information;
- (ix) Establishment of a permanent Technical working group at CONABIO to provide follow-up to further implementing PANBIO;
- (x) Establishment of a well-successful national experience for the elaboration of public policies with a high potential of multiplication in other political and administrative instances;
- (xi) Best practices of consultation and participation of the scientific community, NGOs, indigenous community, private sector and other relevant partners related in different stages of proposition of national plans and policies;
- (xii) Greater recognition of MMA and CONABIO by the civil society and other strategic officials that work with biodiversity issues;
- (xiii) Establishment of a technical written Record and an institutional capacity in instruments of planning and management of the national biodiversity;
- (xiv) Establishment of a national division for consultation and dissemination of the status of knowledge of the national biodiversity through the Website on Biodiversity (Strategy and PROBIO Project); and
- (xv) Renewing of technical capacities, leadership capacity to sector, inter-sectors and intra-sector collaboration on public policies for conservation and sustainable use of biodiversity.

The areas of technical and institutional strengthening of DCBIO/PRONABIO and SBF which presented immediate positive outcomes through the direct or indirect contribution of the Project were:

- (i) Organizational structure;
- (ii) Capacity for the production of knowledge and information system;
- (iii) Intrasector coordination;
- (iv) Interorganizational coordination;
- (v) Development of human resources and
- (vi) Studies and publications.

The complete achievement of the Development Objective requires time, resources and joint-efforts of a significant number of relevant institutions, which work in all Brazilian biomes, in the environmental sector and in others.

Through the analysis and interviews carried out, it can be said that the medium-term impacts of this Project on conservation and sustainable use of biodiversity can only be evaluated in the coming years (post-evaluation process).

The Brazilian Government has promoted an important number of initiatives with a strong impact in biodiversity conservation, in particular since the establishment of the National System on Protected Areas (2000).

Several evaluations of impacts of Loans (as PNMA) and Technical Cooperation Projects (as PROECOS and Strategic Management of IBAMA) confirmed that some progress was achieved for the mitigation of the national biodiversity loss.

Through PROBIO, in 2004, a group of 900 Priority Areas for Biodiversity was identified. The Impact Evaluation of this Project (2006) was a valuable instrument for the perception of complementary impacts achieved by PROBIO and Strategy Project.

There are no available information and data of monitoring and evaluation of the implementation impacts of both national Plans approved in 2002 and 2006, as regards Principles and Priorities for the implementation of the NBP and PANBIO.

The Brazilian targets to be achieved until 2010 are still not defined, in relation to the Global Targets on Biodiversity for 2010 of the CBD. The definition of these national targets for the indicators agreed by the State-Parties to the CBD could provide, in the forthcoming years, better conditions for monitoring and evaluation of the Brazilian contribution to the reduction of the biodiversity loss in the medium and long terms.

In global terms, the Project outcomes and impacts in the short-term were achieved at the initial stage and it is expected that they could be enlarged in the forthcoming years,



according to the interviews and achievements of the Project Outcomes and Immediate Objectives.

Considering the indicators recently selected by GEF for the results achievement envisaging the improvement of actions on biodiversity within the CBD State-Parties, this evaluation considers that the Project, together with other initiatives of MMA, is in a satisfactory way contributing to the initial improvement of the national scenario.

Relevant aspects of the enabling environment include:

- (i) Developing and reforming biodiversity policies and regulations: **medium high;**
- (ii) Addressing biodiversity issues in the policies of other sectors that may affect biodiversity: **medium low;**
- (iii) Achieving international cooperation in protecting and managing key biodiversity resources affected by more than one nation: **medium low;**
- (iv) Developing and implementing fiscal (and other) incentives to promote biodiversity conservation and eliminate perverse incentives: **medium;**
- (v) Leveraging additional resources from national and other international sources: **high;**
- (vi) Promoting relevant research to the conservation and sustainable use of biodiversity: **medium high;**
- (vii) Raising public awareness on the importance of biological diversity and its conservation, through education and dissemination of information in the media: **high;**
- (viii) Building individual, institutional, and systemic capacity to conserve biodiversity and sustainably use its components: **medium high.**

#### **4.1.5 – Sustainability**

The Project aimed the institutional and technical strengthening of PRONABIO, SBF, CONABIO and MMA with the achievement of: public policy instruments; management processes; guidelines; norms; knowledge production and dissemination of information related to the conservation and sustainable use of biodiversity.

As regards the international policy, the Project aimed the support for the compliance of commitments derived from the Brazil's CBD ratification as a means to implement its initiatives and objectives since 1994.

The resources for its implementation came 72% from GEF and 28% from the MMA budget. Even with the little contribution of MMA, some instability was identified in the MMA budget available to the Project.

The GEF Enabling Activities are intended to support the Countries in the establishment of initial activities for the elaboration of public policies and strengthening of capacities for the management of the national biodiversity.

Therefore, once the National Strategy Project is concluded, after 08 years of execution, the Secretariat on Biodiversity and Forests will be committed to continue the initial process of elaboration of public policies on biodiversity.

Currently, DCBIO counts with 39 professionals for both Projects, PROBIO and Strategy, as follows: 05 professionals with Superior Advisory Functions (DAS); 09 Consultants per Output; 04 Consultants hired by third parties; and 20 temporary public officials with contracts until 2007; and 01 permanent public official, of the MMA staff.

With the end of the Project, there is a high likelihood that DCBIO technical team will be dispersed, which constitutes a high risk for the Project continuity. During the interviews, it was highlighted that the Project Outputs could be continued, through the use of the team of staff and consultants, who work for several Coordination's, Technical and Project Units of SBF; or through the resources of PROBIO II (Biodiversity Mainstream), that will start in 2007.

Growing demands still remain in the following fields: policies; regulations and norms; systematization of information; consolidation of networks of partners; enlargement of databases; clearing-house mechanism; participation and realization of meetings, seminars or Conferences; monitoring and evaluation; multiplication of this process to the other governmental levels.

In case the SBF budget remains the same in the forthcoming 04 years, not only for the payment of regular expenses but also for investments (relatively small); the future Project sustainability would have high likelihood of facing difficulties for the follow-up of activities.

The Project sustainability would be viable if MMA/SBF is able to ensure: (i) an increase of technical and financial resources for the coming years; and (ii) that DCBIO can count with the entrance, through public examination, of technicians with adequate background and experience to the needs of the actions of public biodiversity management.

The following factors would contribute to the **operational continuity**:

- (i) Approval and operationalization of PROBIO II Project;
- (ii) Follow-up by CONABIO of the further details of PANBIO;

- (iii) Increasing cooperation with the Agenda 21 Program and the National Plan on Protected Areas (PNAP);
- (iv) Collaboration with partners of public and private organizations and NGOs for the multiplication of partnership networks;
- (v) Cooperation with Programs and Projects that are carried out on the Conservation of the Brazilian Biodiversity;
- (vi) Consolidation of a network for management of biodiversity information (databases, maps, technical and managerial information on the Brazilian biodiversity).

It is estimated that in the forthcoming four years, the following **agreements on institutional and organization resources** will probably be reached to maintain some results, outcomes, and initial impacts of the Project:

- (i) Support from the high level officials of MMA: medium to high;
- (ii) Legal framework and regulations: medium to high;
- (iii) Organizational capacity: medium to low;
- (iv) Intra-organizational capacity: medium to low;
- (v) Inter-organizational capacity: medium to low;
- (vi) Sufficient financial resources: medium to low;
- (vii) Sufficient technical resources: low;
- (viii) Resources for the maintenance of equipments and infra-structure: low;
- (ix) Support of the Project beneficiaries: medium to low;
- (x) Support of the federal, state and municipal governments: medium to high.

Following the Project conclusion, the likely **risk factors to sustainability** are:

- (i) Likelihood of changes in the high and medium managements of the sector due to the realization of presidential, state and municipal elections in the forthcoming years;
- (ii) Frequent changes in the technical and administrative human resources in the institution;
- (iii) Reduced technical staff (permanent and for support) at the three governmental levels;
- (iv) Weakness of the interinstitutional coordination of the national biodiversity policy;
- (v) Budgetary difficulties for joint activities of public organizations and NGOs for the continuation of the Project objectives;
- (vi) Reduced coordination among different government levels;
- (vii) Unbalanced flux of annual financial and budgetary resources at three levels of public administration; in particular for biodiversity;

- (viii) Difficulties in the acquisition of new equipments and in the enlargement/maintenance of a database;
- (ix) Increase in the conflicting interests among public, private and non-governmental stakeholders in the biodiversity issues;
- (x) Difficulties due some opposition of certain groups of the Brazilian civil society;
- (xi) Reduced deepness on issues as such as: sustainable biodiversity use and mechanisms for biodiversity benefits sharing; and
- (xii) Managerial and cultural difficulties of the public bureaucracy in adopting a cross-cut approach for the public policies on biodiversity.

**Favorable factors to sustainability** of the Project Outcomes and Results are indicated as follows:

- (i) Approval of Principles and Guidelines for the implementation of the National Biodiversity Policy;
- (ii) Approval of PANBIO and proposal of its continuation by CONABIO;
- (iii) Approval of the Priority Areas for the Brazilian Biodiversity;
- (iv) Approval of the National Plan on Protected Areas (PNAP), with targets until 2015;
- (v) Increasing number of national mass campaigns about conservation and sustainable use of biodiversity;
- (vi) Institutional commitment of MMA to keep up with CDB initiatives;
- (vii) Keeping up with the political priority given to the biodiversity thematic axis at federal level;
- (viii) Support to MMA and SBF to assure new national or international resources to support the operationalization of PANBIO;
- (ix) Functioning of CONABIO with the participation of NGOs, public bodies, private sector, and research centers on the issue of strategic biodiversity management;
- (x) Dissemination of knowledge and national information through the MMA Biodiversity Website;
- (xi) Inclusion of Programs and Project on Biodiversity at PPA 2007/2011 linked to the environmentally sustainable growth with generation of jobs and incomes to Brazilian population;
- (xii) Collaboration of international cooperation organizations, multilateral or bilateral, with programs and projects aiming to the Brazilian implementation of CBD objectives.

Based on previous analysis, it can be evaluated as likely that the Project's outcomes are relatively sustainable in the forthcoming years, but there is a degree of concern about the human and financial resources, provided by MMA, for the continuity of the guidelines and priorities proposed by the Strategy Project.

This classification of medium likelihood of sustainability of the Project outcomes and Results is based on the following factors:

- (i) Elements that have an influence on biodiversity were partially introduced in the Project design, but the necessary agreements for the implementation of PANBIO were not made and formally taken;
- (ii) During project execution, little effort was made for its continuity, such as: diagnosis of the necessary actions for the project continuity (PANBIO); new financial resources (PANBIO II and PPA 2007/2011); and greater national visibility of SBF/DCBIO;
- (iii) At the end of the Project, in partnership with SBF and PROBIO I Project; it was proposed the introduction of some sectoral actions for the project continuity in the PROBIO II for the forthcoming 05 years, however, with no further details of institutional, human and financial resources (PANBIO).

The project sustainability would have a higher likelihood once its relevant partners would work on the increase of the political priority of biodiversity in the proposed National Agenda on Environment, as well as on the increase of financial and technical resources for biodiversity in the forthcoming years.

## **4.2 – Conclusions**

### **4.2.1 – Promoting factors to the Project**

#### **4.2.1.1 – Promoting Factors related to Design**

The original Project design proposed actions for the technical and institutional strengthening of the SBF and MMA through:

- (i) Improvements of planning proceedings and legal framework to biodiversity issues;
- (ii) Increase in the knowledge production and dissemination of information on the status of Brazilian biodiversity knowledge; and
- (iii) Establishment of networks of stakeholders on the conservation and sustainable use of biodiversity.

In the third year of implementation, due to the change of methodology for the NBS elaboration, it was necessary to make initial modifications in the Project proposal.

The Project design was very flexible to changes, caused by external factors to the Project, as for instance: delays on the inputs production of PROBIO in relation to the initial schedule of the Strategy Project.

During eight years of Project's implementation, Activities, Results and Objectives were modified, according to changes in the National policies or to new actions of CBD or COP.

The team of the Implementation Agency of GEF (UNDP) answered, adequately and in time, to the requests for changes and extensions of execution deadline.

The planning of meetings with the three parties involved in the Strategy Project for its monitoring and evaluation was actually an instance of joint decision, allowing the Project to realize some actions recommended in these events.

The original Project design planned its total implementation in 18 months, limited to the elaboration of the NBS and the First National Report to the CBD. The design made possible the introduction of new activities by MMA with the potential to broaden the Project outcomes.

The strategy for the Project execution was based on the joint work of public officials of DCBIO and Consultants of long, medium and short terms for the elaboration of studies, researches, publications and proposals of legal and institutional instruments.

#### **4.2.1.2 – Promoting Factors related to Implementation**

The Project design provided adequate conditions for the introduction of modifications in the Activities, Results and Purposes, which responded to changes in: the methodology; national policies; and capacities installed at DCBIO and PROBIO.

The main factors that played a positive role to the execution were:

- (i) Operationalization of the Project Coordination Unit (UCP) through a technical-operational team with executive and technical purposes;
- (ii) Technical and executive integration of PROBIO and Strategy Projects implementation;
- (iii) Realization of meetings of UCP with DCBIO/SBF, UNDP and ABC;
- (iv) Very good relationship and channels of communication among consultants, UCP and direct beneficiaries;
- (v) Selection of consultants with knowledge and experience on the biodiversity issue;

- (vi) Support of the political and institutional framework of SBF and MMA;
- (vii) Budgetary assignment of SBF to the Project implementation; even with strong budgetary constraints in the Federal level;
- (viii) Realization of national and regional meetings for the national consultation and dissemination of knowledge;
- (ix) Financial and technical support of other SBF and IBAMA projects;
- (x) Very good professional and interpersonal relationship among technical team, UNDP, ABC and other relevant partners; and
- (xi) Additional resources due to the devaluation of the Brazilian currency between 1999 and 2002.

## **4.2.2 – Inhibiting factors to the Project**

### **4.2.2.1 – Inhibiting Factors related to Design**

The original Project proposal relied 70% on GEF resources (USD 729,000) for the achievement of Results related to a diagnosis of the status of biodiversity knowledge (including complementary studies) and the elaboration of NBS.

Therefore, the resources originally planned for the First National Report were of about USD 40,000 representing around 5% of GEF resources and thus showing a lower priority of this initiative, for a country with biodiversity dimensions as like as Brazil. In this situation, the MMA had supported with significant additional technical and financial resources this implementation activity as such as the Second and Third Reports.

The monitoring and evaluation proceeding of the Project indicators was one of the weaknesses of the initial proposal of Cooperation. The initial designed Project adopted evaluation indicators for some Outputs/Results based on the elaboration of documents and reports.

In terms of design, it was not proposed the formal establishment and the timeframe for meetings with the three parties for the integration of Strategy and PROBIO Projects, with the participation of both implementation agencies: UNDP and the World Bank.

The original design did not propose dissemination mechanisms of the Project and its results to several MMA units.

The lack of planning, at the original design, of preliminary activities (to the national consultations) aimed to the establishment of a conceptual basis on biodiversity, among several relevant partners, was one strategic disadvantage for the upcoming Project phases.

#### **4.2.2.2 – Inhibiting Factors related to Implementation:**

**Inhibiting factors** contributing for the Project's implementation could be identified as following:

- (i) Reduced human resources (technical and administrative) of the Coordination Unit, independent of Consultants;
- (ii) Delays on the execution of PROBIO Project in the first two years, causing delays in the execution of the Strategy Project activities;
- (iii) Dissemination of the results of developed activities was not implemented on a national large-scale until the launching of the Website on Biodiversity; and publications were printed in reduced numbers;
- (iv) Frequent changes in the technical team of the SBF, the Project and the UCP Coordination;
- (v) Important changes in the Project implementation strategy and methodology;
- (vi) Difficulties in the decision-making process related to issues of sustainable use and share of benefits derived from biodiversity;
- (vii) Reduced capacity of strategic planning for the Project implementation, reflecting in the 22 reviews of the Project;
- (viii) Internal difficulties at MMA (GAP) in the approval of public procurements of goods and services, causing delays;
- (ix) Delays in receiving contributions of partners at state levels during National Consultations; and
- (x) Delays in presentation and approval of reports of Consultants.

#### **4.2.3 - Conclusions**

The Project is still in conformity with the Brazilian Policy on environment (conservation and sustainable use of biodiversity), which can be noticed by the strategies and projects of the Ministry of Environment (PPG7, Agenda 21, PROBIO, National Fund on Environment) as well as the NGOs and FUNBIO. It is also in conformity with the



cooperation policy of the Brazilian Government, ABC and UNDP/GEF in the environmental field.

The Project document (PRODOC) with the modifications presented, proposed actions to: **(i)** strengthening of the legal and institutional framework of the Brazilian biodiversity (NBP); **(ii)** knowledge on the national biodiversity (complementary studies); **(iii)** systematization and dissemination of information (CHM); **(iv)** proposal of instruments for the biodiversity management (PANBIO); and **(v)** compliance of commitments to the CBD implementation (National Reports).

Due to the Project implementation, there were initial achievements in order to technically and institutionally strengthen the initiatives to the CBD implementation in Brazil.

Besides, the elaboration of the “Principles and Guidelines for the NBP implementation” and the preliminary “Action Plan” brought up better national conditions for the achievement of results and short-term outcomes in biodiversity issues.

It can be evaluated that the Project Immediate Objectives were in general achieved in a satisfactory level, considered very useful for the further work of DCBIO and SBF in the planning and management of public policies on biodiversity.

The achievement of future outcomes and impacts of the Project will depend on the capacity of political and institutional cooperation of DCBIO/SBF and MMA in order to significantly increase the technical and financial resources, and thus continue the actions on public policies implementation, started with this Technical Cooperation.

Out of the six planned Outputs, four were technically carried out in a satisfactory level, in most cases within a timeframe longer than planned, and with reasonable costs for the achievement of Project Objectives.

Some Outputs were not implemented, such as: network on agro biodiversity, elaboration and submission to donors of the Project proposal for the implementation of the Action Plan, Clearing-House Mechanism (CHM), and establishment of a database.

Around 20 activities were added, cancelled or changed due to institutional changes, and difficulties in obtaining consensus among relevant officials or in taking decision on the follow-up of certain issues, as for instance: national consultations, mechanisms and incentives for the benefit share (environmental services), sustainable use, level of detail of the national policy (limited to guidelines and principles, and not the approach per biome).

Activities were replaced by others of less complexity that require less time and resources for its conclusion, or they were also cancelled.

The Project inputs were achieved as planned, but they demanded more time, due to difficulties faced by the institutional centralization for the approval of all public procurements of Projects, with international or national resources, at only one department (GAP) of MMA.

The Executive Agency ensured the conditions of installation, room/space and basic administrative material, during the Project Execution.

The Project had faced difficulties to ensure some technical, administrative and budgetary needs for the Project implementation every two years. However, the difficulties of the counterpart were surpassed through additional resources generated due to the Brazilian currency devaluation from 1999 until 2002.

Due to the difficulties faced in the consultation processes; changes in the execution methodology, small principal team and delays in the results of PROBIO I and Strategy Project, it was needed 22 reviews, out of which 11 were meant to extend the execution deadlines, meaning 88 additional months until 30<sup>th</sup> July 2006.

The total project implementation took 106 months. In other words, 09 years were needed for the achievement of objectives originally agreed, and also for the partially achievement of new objectives (approved by the three parties).

The resources made available and the timeframe for its use suggests that the efficiency index of the Project management was reduced, with an annual average of USD 145,000 instead of USD 700,000 according to the original PRODOC (18 months).

In case the Project had been concluded in August 2002, with the NBS approved and the First National Report submitted, the total cost would have been USD 740 thousand, with an average annual expense of USD 175,000 - which could have been fully funded with GEF resources.

In this context, the results achieved by the Project, taking into account the planned targets for the execution of 100% of the budget, can be evaluated as positive, but with low efficiency and average effectiveness.

The results and outcomes of short-term are leading to the achievement of the Project Development Objective in the forthcoming years. However, the Immediate Objective 3 (related to the systematization and information dissemination through the CHM) and the Immediate Objective 5 (proposal of projects for potential donors and network on agro biodiversity) should still be operational and complemented by DCBIO during the next PROBIO II Project (Mainstreaming).

Similar recommendation can be applied to the Immediate Objective 1, since the NBP Guidelines will have to be detailed as a means to achieve a National Legislation on Biodiversity, with the respective regulation and operationalization of several related proceedings.

The prospect for keeping the small technical structure and budgetary resources of DCBIO and SBF, in the coming years, will make it difficult to commit major national leadership in the elaboration and monitoring of public policies on biodiversity.

It is added to this scenario the growing civil society demands as well as conflicting interests of several stakeholders in the biodiversity issues. This prospective scheme brings a certain degree of concerns over the sustainability of initiatives executed by the Project.

Through these analyses it was pointed out that the structural and operational conditions of DCBIO and SBF, in principle, would remain with small changes in technical, budgetary and institutional resources.

This scenario of trends could be modified through a decision taken by high level authorities or high-level officials of the MMA to respond to the need of promoting the technical and institutional strengthening of this National Biodiversity Secretariat, through:

- (i) Medium and long term planning for the sectors on resources derived from “Environmental Services”, to be created in the forthcoming years through federal legislation;
- (ii) Implementation in the medium and long term of the National Law on Biodiversity and its regulation;
- (iii) Increase of the funding for Biodiversity projects by GEF and other international donors;
- (iv) Implementation of new public examinations to increase human resources;
- (v) Increase of financial resources for investments and support of DCBIO and SBF;
- (vi) Increase of public-private associations for the promotion of conservation and sustainable use of biodiversity through the application of incentive mechanisms (benefits).

There is a consensus among those interviewed that there is an average likelihood of reaching a certain degree of improvement in the achievement of the Development Objective in the forthcoming years.

This would be achieved as a consequence of the growing number of actions and initiatives implemented in the last years and to be implemented in the next years by DCBIO/SBF and MMA.

There is also an average likelihood that a certain degree of Project sustainability will be achieved after the end of the Cooperation. The Project sustainability will highly depend upon the political and institutional capacity of DCBIO and SBF to manage the Project

continuity, and ensure the growing amount of technical and financial resources in the forthcoming years.

It is also important to highlight that this Project was a well-successful experience as regards the proposal of public policies and management instruments for the conservation of the Brazilian biodiversity.

Thirty activities and six results were implemented which contributed to the achievement in different degrees of the Purposes and Development Objective of the Project.

As regards the evaluation of Project performance, it would be positive to consider the assumption on which budgetary available resources, from August 2002 (NBP approval), would have been used to:

- (i) Elaboration of the National Law on biodiversity and its regulation, with a systematization of the existent legislation and the complementation of the observed gaps; and
- (ii) Proposition of a Bill (it could be also included the National Law on Biodiversity) for the establishment of mechanisms for the Payment for Environmental Services (PSA), which envisage payment systems for those who protect the environment – water, forests, climate and biodiversity (provider of environmental services).

If this scenario had been carried out, it would have possibly been achieved greater likelihood of sustainability of the Project outcomes and impacts, after the conclusion of the GEF's Technical Assistance.

Among the promoting factors that lead to the achievement of the Project results and outcomes, the following can be highlighted:

- (i) Technical and operational coordination with PROBIO;
- (ii) Support of high-level officials of SBF and DCBIO;
- (iii) Very favorable contexts (social, political, institutional, cultural and macroeconomic) to the implementation and initial progresses achieved by the Project;
- (iv) Realization of national and regional seminars, promoting networks for partnership and sharing of knowledge;
- (v) Participation in national and international events for the dissemination of Brazilian biodiversity knowledge and best practices.

Among the inhibiting factors for the Project implementation, it can be mentioned:

- (i) The planning of this partnership did not adequately consider the preliminary activities of cooperation for the building up of networks with stakeholders;
- (ii) Delays in the implementation of PROBIO, during the first two years of implementation;

- (iii) Changes in the high and medium-level officials at the public institutions;
- (iv) Changes in the technical Project team;
- (v) Difficulties in carrying out procurements;
- (vi) Changes in the methodology and approaches for the Project strategic development.

The achievement of future outcomes and impacts of the Project will depend on the capacity of political and institutional cooperation of the several partners to keep the issues of biodiversity in its National Agendas and to work together for the increase of technical and financial resources for the implementation of the Green Agenda.

The achieved short-term Results and Outcomes are contributing at a certain degree to the enlargement of targets of the Project Immediate Objectives, with the joint-cooperation of other policies, programs and projects of MMA; of other Ministries; and of relevant non-governmental and private partners.

Monitoring and evaluating public policies on biodiversity should still be complemented and turned operational by CONABIO, until the end of 2007, as well as it could be supported by PROBIO II.

The Project counted with learning and experimental initiatives for the proposal of national public policies. This national experience has shown a great potential to be multiplied at state and local levels. The future of these actions is directly linked to institutional, technical and financial capacities of states and local partners to reach this purpose.

In terms of awareness of strategic officials, very few was achieved if compared with the current and future demands, not only at the federal, state and local governmental levels, but also as regards NGOs and private sector members.

This action could in the future be enlarged to the public officials of the legislative and judiciary federal branches. PROBIO II could take great responsibility for the implementation of this issue.

New challenges will also be faced by SBF/MMA and relevant partners with the prospect of more participation of States and Municipalities in the implementation of biodiversity public policies, through the decentralization of initiatives in this matter.

The Project implementation counted with an extremely favorable political scenario at the federal level, resulting in positive synergies of actions between the SBF and other relevant partners and Programs under execution.

## **Chapter 5 – Learned Lessons and Recommendations.**

### **5.1 – Learned Lessons**

#### **5.1.1 – Learned Lessons related to Country Context and Project's Management.**

The main lessons learned with the Project execution are mentioned as follows:

**Learned Lesson 1:** Execution with adaptability, increasing the chances of success with greater political and technical support. The Project in the first 04 years centralized its actions to: build up technical and institutional capacity; additional studies; national diagnosis; and identification of learned lessons and best practices of other countries in proposing NBS and submitting Reports.

**Learned Lesson 2:** The design for the coordination of budgetary resources of MMA and of external resources for implementation of this Project and others, allowed that GEF resources to NBS/NBP could be used as “leverage” by other relevant stakeholders.

**Learned Lesson 3:** The proposal of the original Project design was not elaborated with the participation of relevant partners of the Brazilian society. This governmental initiative, at the phase of the Project pre-approval, should have counted with the collaboration of relevant partners. This participation could have meant a significant additional improvement of time, efficiency, effectiveness, impact and sustainability to the Project.

**Learned Lesson 4:** During the Project implementation, some initiatives would have been executed in order to strengthen the implementation transference process of the leadership and the ownership of the Project Results to representatives of regional and local communities and the business sector. These instances levels of participation could have increased the possibilities of management and partnership to decentralization of the implementation of NSBAP; and the monitoring and evaluation of biodiversity loss and share of biodiversity benefits at local and state level and/or per biome.

**Learned Lesson 5:** The reduced introduction of economic approaches (economic value), the targets to be achieved (costs, risks, benefits to be achieved); and the innovative fiscal mechanisms for the reduction of biodiversity loss in the proposal of NBS and PANBIO (environmental services and sustainable use) promoted less degree of awareness and proposal appropriation by different sectors of the Brazilian society (social, environmental,,and indigenous peoples movements, as well as the private sector).

**Learned Lesson 6:** The Project implementation could have included : (i) the awareness and capacity building on biodiversity issues of relevant project participants; (ii) preliminary activities to the Project implementation for the establishment of communication networks; (iii) activities towards the systematization and publication of learned lessons, best-practices and recommendations for the Project monitoring and evaluation.

**Learned Lesson 7:** The Project didn't count with resources to implement at least one pilot experience of decentralization of national policies on biodiversity. It should have been included at least one pilot project experience related to the reproduction of Project proceedings of the NBS and PANBIO at state and local levels (or per Biome).

## **5.2 - Recommendations**

### **5.2.1 – Recommendations for the Executive Agency**

The main recommendations to the Executive Agency are indicated as following:

**Recommendation 1:** Ensure the necessary measures and actions for the continuity/implementation of initiatives carried out by the Project in the forthcoming years, through the realization of a seminar for its conclusion, with the proposition of planning and targets for the next three to five years:

- (i) Human, institutional and financial resources;
- (ii) Joint-participation of the relevant partners in the process of management, monitoring and evaluation of the progress made towards the achievement of targets for the reduction of national biodiversity loss;
- (iii) Increase in the degree of institutional and political priority for biodiversity issues.

**Recommendation 2:** Promote strategy on communication, awareness and dissemination of the achieved results (NBS and PANBIO) through media campaigns at national and state levels. Besides the dissemination, it could be promoted the Project multiplication at state level. It is suggested that a pilot project could be supported by the PROBIO II Project at least in three States or one Biome.

In this context, a National meeting could be promoted by MMA with State level of participation in order to agree the national basis for a proposition of a National and State Agendas for the Biodiversity.

**Recommendation 3:** Build technical and management capacity on biodiversity of relevant national partners and other federal public agencies that were selected to compose the PANBIO, promoting better conditions to the cross-cut approach of biodiversity within national public policies.

**Recommendation 4:** Reproduce at the local level the national experience on the proposal of public policies and biodiversity management in partnership with the Program Agenda 21. This initiative would promote the systematization, at local level, of best practices, innovative solutions and lessons learned through guide manuals and publications for the introduction of these issues in new municipalities.

**Recommendation 5:** A National Agenda for Biodiversity can be promoted - together with the ENV TAL (Environmental Sustainability Agenda Technical Assistance Project), ENV PRL (Programmatic Reform Loan for Environmental Sustainability), and PROBIO II (National Fund for Biodiversity) – through the improvement of proceedings and mechanisms of implementation of the “Principles and Guidelines for the Implementation of the National Policy on Biodiversity” and of the “Guidelines and Priorities of PANBIO”.

**Recommendation 6:** With the Project conclusion, DCBIO and SBF should: (i) better share the responsibilities of relevant partners, towards the continuation of the implementation process of national policies and action plan; (ii) identify strategies to ensure the collaboration of several stakeholders; and (iii) implement the mechanisms and structures to ensure the sustainability of the planning and management of biodiversity.



**Recommendation 7:** Strategic actions for the improvement of the Monitoring and Evaluation Systems of national public policy implementation (National Agenda on Biodiversity) to comply with article 6 of the CBD, in relation to the planning and execution of National Government Action Plans (PPA).

A political and institutional instance of higher level could be used to this aim, as proposed to assure the implementation of the ENVTAL and ENVPRL loans (Green, Blue and Brown Agendas).

**Recommendation 8:** It is recommended that DCBIO/SBF could add to the PANBIO the project and program contributions to be implemented by other relevant partners: NGOs, OCCIPS, private sector, and other civil society organizations. This initiative could introduce new levels of collaboration of these partners.

**Recommendation 9:** It is recommended to increase the budgetary sectoral resources for the continuity of the NBS and PANBIO strategic actions, through the reorientation of MMA and IBAMA internal resources for the SBF; the internal allocation of provisional resources by SBF until the approval of PROBIO II; or other financial sectoral mechanisms.

In this context, it is recommended: (i) to approve, in the medium and long-terms, of legislation and regulation on the environmental services (ii) to increase cooperation with other public institutions (public resources/economic value); (iii) to increase articulation with relevant private sector representatives and other stakeholders (conservation and sustainable use of biodiversity and incentive mechanisms).

**Recommendation 10:** It is recommended that DCBIO/SBF could be able to continue or to carry out new agreements for the realization of studies and proposal of regional solutions, with countries that have in their national frontiers critically relevant areas for the biodiversity, as such as already developed by MMA with MERCOSUL countries

**Recommendation 11::** Projects on the proposal of public policies, involving several political and administrative levels and requiring a strong synergy among stakeholders, should count with a formal structure of Project Supervision, with the participation of relevant partners, members of financial and implementation agencies, as well as of the operational Projects management (Strategy, PROBIO, FUNBIO, FNMA, PPG-7; PNAP).

### **5.2.1 – Recommendations to the UNDP**

The main recommendations to be taken into account on future Technical Cooperation by the Implementation Agency are:

**Recommendation 1:** In the phase of proposal elaboration of future Projects, as a means to increase the likelihood of Project impact and sustainability, it is recommended that the following partners actively participate: civil society members; municipal and state governments; and non-governmental organizations, among others.

**Recommendation 2:** In the phase of proposal elaboration of future Projects, the Team should be able to plan the use, by the Executive Agency, of legal and fiscal instruments that already exist or to be proposed in the biodiversity field to financially support the sustainability of Project initiatives.

**Recommendation 3:** In the phase of proposal elaboration of future Projects, the Team could include the elaboration of agreements that make formal the cooperation and responsibilities in the implementation of initiatives or projects between the Executive Agency and several governmental and non-governmental partners for the PANBIO implementation.

**Recommendation 4:** In the implementation phase of future Projects, it is recommended the realization of annual meetings with related projects in what concerns Technical Cooperation, in order to work together on the initiatives and the dissemination of information among several public institutions and relevant NGOs, which work on the Project issues. It is also recommended a meeting with other Agencies of Implementation of Brazilian Projects, supported by GEF, including the participation in missions for the partial and final Project evaluation.