UNEP GEF PIR Fiscal Year 2021

Reporting from 1 July 2020 to 30 June 2021

1. PROJECT IDENTIFICATION

1.1. Project details

Identification Table	GEF ID: 9142	Umoja no.: S1-32GFL-000613, P1-33GFL-001332, P1-33GFL-001337, P1-33GFL-001364. Project structure number SB-009923.
Project Title	Promoting Sustainable Cities in Brazil through integrated urban planning and innovative technologies investment	
Duration months *Planned*	48 months	
	Until April 2022	
Division(s) Implementing the project	Climate Change Mitigation Unit, Energy and Climate Branch, Economy Division	
Executing Agency(ies)	Ministry of Science, Technology and Innovation (MCTI), in cooperation with UNEP Brazil Office	
Names of Other Project Partners	Digital Port Management Center – NGPD / ARIES Centre for Strategic Studies and Management - CGEE Sustainable Cities Programme - SCP Environment Secretary of the Federal District of Brasilia – SEMA/FDG	
Project Type	Full Size Project	
Project Scope	National	
Region	Latin America and Caribbean	
Countries	Brazil	
Programme of Work	Programme of Work 2020-2021, subprogramme 1: climate change	
GEF Focal Area(s)	GEF-6 IAP Sustainable Cities	
UNSDCF / UNDAF linkages	UNDAF Brazil 2017-2021, Outcome 3: Strengthened institutional capacity to promote and implement coherent public policies for the sustainable management of natural resources and ecosystem services, and for combating climate change and its adverse effects.	
Link to relevant SDG target(s) and SDG indicator(s)	SDG goal 11: Make cities and human settlements inclusive, safe, resilient and sustainable. Target 11.3: By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries. Indicator 11.2.1: Proportion of population that has convenient access to public transport, by sex, age and persons with disabilities. Target 11.6: By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality and municipal and other waste management. Indicator 11.6.1: Proportion of urban solid waste regularly	

		collected and with adequate final discharge out of total urban solid waste generated, by cities.
GEF financing amount		US$ 22,635,780
Co-financing amount		US$ 195,650,658
Date of CEO Endorsement		January 6 2017
Start of Implementation		April 2018
Date of first disbursement		April 2018
Total disbursement as of 30 June 2021		US$ 10,378,506
Total expenditure as of 31 March 2021		US$ 7,872,232
Mid-Term Review Date		December 2020 - March 2021
Completion Date	*Planned*	April 2022
	Revised	N/A
Expected Terminal Evaluation Date		October 2022
Expected Financial Closure Date		April 2023

1.2. Project description

The project aims develop innovative technical solutions and offer methodologies and tools for integrated urban planning to support public officials, foster citizen participation and promote more just and sustainable cities. It is built upon three components:

Component 1: Integrated Urban Planning

Knowledge building and tools for integrated administration of public policies and social participation towards sustainable cities in Brazil, piloted by Brasilia and Recife. Promoting innovative systems accessible to public officers and citizens, to support, facilitate and strengthen local governance. In Brasilia, the component strengthens the environmental Information System (SISDIA), the local environmental and climate regulations and public participation. In Recife, it supports integrated and participatory long-term plans – Recife 500 years, plans for housing and climate sectors and develops an integrated management system (IMS) for the local government.

Component 2: Investments in innovative technologies

Test pilot projects in Brasilia and Recife to face historical challenges of the population and the public administration in the fields of water, solid waste, energy, climate change and mobility. The results will provide a blueprint to be replicated in large scale around the country. In Brasilia, best practices for spring's preservation and land restoration are being implemented, as well as the development and dissemination of models of photovoltaic energy. In Recife, the urban interventions tackles active mobility and the sustainable use of the public space, including a filtering garden.

Component 3: Platform for sustainable cities

Virtual spaces to support and promote integrated and sustainable public administration. There are two platforms being built at a national level. The Observatory of Innovation for Sustainable Cities (OICS) and the new Platform of the Sustainable Cities Program (PCS). The cooperation between these platforms aims to build competences, generate and register knowledge, and mobilize local decision makers towards sustainable and integrated urban planning solutions.

1.3. History of project revisions

Version	Date	Main changes introduced in this revision
Rev0 (CEO ED)		
RevA (CEO ED)	30 January 2019	Changes to CGEE OICS deliverables of output 3.5

2. OVERVIEW OF PROJECT STATUS

2.1. UNEP Subprogramme(s)

Programme of work 2020-2021, sub-programme 1: climate change.	**Specify the relevant Expected Accomplishment(s) & Indicator(s)** (b) Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies (i) The number of countries supported by UNEP that make progress in adopting and/or implementing low greenhouse gas emission development plans, strategies and/or policies

Through this project Brazil has made progress in investing in clean technologies in Recife and Brasilia. Brasilia has advanced in piloting phytoremediation techniques to rehabilitate contaminated soils of the Estrutural rubbish dump (once the largest open landfill in Latin America) and mechanized agro-forestry in its drinking water catchments. Recife has advanced on preparing pilots for urbanizing the banks of the Capibaribe river and developing a filtering garden. Both aim to promote the river as a low-emission form of transport.

Through the work of Sustainable Cities Programme (PSC) in Sao Paulo and the Centre for Management and Strategic Studies (CGEE) in Brasilia, the project is supporting Brazilian municipalities to strengthen capacity for developing, adopting, and implementing low greenhouse gas emission development plans, strategies and policies. Concretely, PCS is encouraging municipalities to incorporate the sustainability aspects into their political agendas for city development. Currently there are 75 signatory cities, including some of the biggest cities in Brazil: Sao Paulo, Rio de Janeiro, Salvador, Recife, Curitiba, Campinas, and Belem. CGEE has worked to develop an online pilot of the project's sustainable city innovation observatory (OICS), which now has 336 solutions and 471 case studies mapped considering the following themes: urban mobility; energy; constructed environment; water; solid waste; and nature-based solutions.

2.2. GEF Core Indicators (for all GEF 6 and later projects):

GEF Core Indicators	**Indicative expected Results**

In the project's third year, moderate progress was made towards these indicators. On biodiversity, implementation of plantations to recover Permanent Protection Areas (PPA) and spring water aquifer areas took place in 70 hectares in rural areas, in addition to the actions of 10 hectares in ecological parks that took place previously. Furthermore, there was the implementation of good practices on 20 hectares of land due to communal work related to mechanized agro-forestry for the Brasilia water-catchments. On GHG reductions, in this period the project executing agencies focused on designing their interventions and contracting agents for implementing them. The substantive progress on these indicators is expected for the project's fourth year.

Indicator	Expected values at	
	Mid-term	End-of-project
Improved management of landscapes and seascapes covering 300 million hectares	Not measured	415 hectares
120 million hectares under sustainable land management	Not measured	80 hectares
750 million tons of CO2e mitigated (include both direct and indirect)	Not measured	3,802,710 metric tons

2.3. Implementation status and risk

	FY 2019	FY 2020	FY 2021
PIR #	1st	2nd	3rd
Rating towards **outcomes** (section 3.1)	S	S	MS
Rating towards **outputs** (section 3.2)	MS	MS	MS
Risk rating (section 3.3)	M	M	M

The project advanced moderately satisfactorily towards the outcome indicators during the reporting period.

Rating towards outcomes:

On Outcome 1, the District Environmental Information System (SISDIA) of the Federal District Government (FDG) was launched and has been receiving positive feedback from users, therefore, it is rated as HS (Highly Satisfactory). The system shares databases from 18 government bodies, and local government and civil society stakeholders have been trained on its functionalities. Cooperation agreements with legislative and executive government institutions are being established to guarantee the usability and sustainability of the system. The FDG adaptation and mitigation plans, including an emission reduction target, were concluded and currently sectoral strategies are under development to impact public policies. The challenge is to include other secretariats and government bodies in the process of elaboration and implementation of the climate policies.

The Recife's Integrated Management System (IMS) did not achieve the expected mid-term indicator of influencing 5% of urban planning decisions. However, it is rated as MS (Moderately Satisfactory) because the first version of system was launched in May 2021, and it is receiving feedback from local government representatives for improving the Beta version. The environmental technical feasibility study for social housing is being developed based on innovative and participatory methodologies. One achievement of ARIES during the reporting period was the building of strong cooperation with the newly elected local government (which entered into office in January 2021) ensuring this government's political support for and policy alignment with project activities, and interest to use and embed project outputs into municipal operations.

In relation to the pilot projects (outcome 2), in both Brasilia and Recife actions were impacted by the Covid-19 pandemic. However, in Brasilia actions and studies were carried out for the whole Paranoá and Descoberto Rivers Basins, and progress was thus rated satisfactory. The actions in the landfill are showing a steady decline of waste disposal, however, during the pandemic an increase of construction debris impacted overall results.

In Recife, during the election campaign letters of commitment to support and continue with the project were signed by the candidates. The current administration is fulfilling this promise by showing their interest in executing and supporting the project's actions. The executive project of the filtering garden and the urbanization of the riverbanks are concluded and currently going through the licensing process. With regards to the solar boat, delays in design and scoping, and questions as to its viability, mean that it will not be completed within the official project end date. An extension will be required.

On outcome 3, actions of the OICS towards influencing federal public policies was rated as MS due to difficulties of integration among ministries and lack of a solid outreach strategy, however, important actions have been implemented. Specifically, this includes actions with the Ministry of Regional Development (MDR), namely a partnership to showcase case studies of the OICS and a proposal to integrate the urban typologies developed by OICS. As MDR has the national mandate to promote the urban agenda, those actions increase the influence capacity of the OICS in public policies and dissemination of its content. Regarding the OICS presenting solutions of the pilot projects in its platform, it was rated as MU. Brasilia and Recife have filled the database to be made available to the public. Nevertheless, both cities are yet to

choose and commit to implement solutions from the Observatory.

As PCS have 75 signatory cities using its portal and functionalities, it has progressed towards reaching 100 municipalities. OICS is starting the process of mobilizing cities, lacking significant results during the past period. Therefore, this indicator is rated as MS.

Rating towards outputs (implementation progress):

Component 1

The overall progress of Component 1 is rated as MS. Both Brasilia and Recife are advancing reasonably well with execution. Brasília has successfully developed SISDIA and completed the climate studies. In spite of constraints that have arisen due to the COVID-19 pandemic, Brasilia is successfully involving stakeholders and citizens in project activities through innovative ways such as online courses and the creation of a multistakeholder committee. In Recife, the recently elected local government is actively involved in the project's actions such as the *Local Plan of Climate Action* and the *Environmental-Technical Feasibility Study for Social Housing*. On output 1.2, although the IMS was developed and is in a test phase, it occurred with significant delays, decreasing the time availability for the project to receive feedback from key users (i.e. the local government) and consequently improve it to respond to the needs of these stakeholders.

Component 2

In general, the progress of this component is MU (Moderately Unsatisfactory).

For Brasilia, output 2.1B was rated S because, despite difficulties with the pandemic, the project's landscape regeneration is being implemented at a steady rate. Output 2.2B was rated MS because the photovoltaic project has faced delays in execution. This will impact the time needed for testing and developing evidence of viability, affecting the possibility of scale-up of such interventions through-out the Federal District.

For Recife, output 2.1B related to the implementation of two solar boats was rated as HU, due to an initial lack of partner capacity to develop the technical specifications, a long period of local community consultation (an important step), challenges in procuring the technology in Brazil, and, ultimately, serious questions as to the solar boats's long-term economic viability both at the pilot location and through-out the city, leading to questions as to its potential scalability. This was compounded by a lack of clarity as to the interest of the local government regarding the pilot (both the previous and new administrations). MCTI and UNEP took the decision to suspend further advances in elaborating this output, to allow time for consultations with the local government and a redefinition of a socially, environmentally and economically sound sustainable solution. Both output 2.2 and 2.3 (urbanization of the riverbanks and implementation of filtering gardens) were rated MU. Despite important progresses related to the finalizing executive and complementary projects, together with key convergences with the local government, which is fully supportive, the final legal and environmental licences have not yet been issued by the authorities. This has meant that construction of these works has not yet been able to commence.

Component 3

On PCS, outputs 3.1 and 3.2, related to the operational national platform and modules online, were rated HS and S, respectively, because the platform of PCS is fully operational, and the integrated urban planning module was launched. Minor adjustments are to be completed and the connections with the OICS are in an advanced stage. Output 3.3 (skills development trainings developed) was rated as MS, as the implementation was impacted by COVID-19 restrictions and could not be fully carried out in the period. Nevertheless, several training sessions, studies and online events were performed. Output 3.4 (Mayors and politicians mobilized to join the sustainable cities platform) was rated as MS because PCS have undertaken a significant effort during and after the election period to reach politicians to join the platform, in spite of COVID restrictions hampering efforts. For instance, PCS was unable to travel and hold city and regional mobilizing events and bilateral meetings with candidates, key activities for achieving adhesion to the platform. While they transferred to an online medium, this did not have the desired effect in obtaining the attention and commitment of the busy political candidates. Though the number of cities that joined the program decreased compared with the last election term, more state capitals and major cities have joined, actually resulting in a higher number of citizens impacted and larger political support. Cities that joined include Sao Paulo, Rio de Janeiro, Recife, Salvador, Curitiba and Belém.

On CGEE/OICS, Output 3.5 (sustainable solutions delivered by the OICS) was rated as S. The OICS now has a substantial number of solutions presented on its portal and actions to validate and endorse those solutions are starting to take place. Output 3.6 (promotions of solutions to other cities) was rated as MU because, despite the improvements in the operability of the Observatory and several actions and webinars to promote it, the lack of a comprehensive plan for the dissemination and promotion of the OICS is currently impairing its optimal usage by the primary audience – local city governments.

Risk rating:

The overall risk rating of the project was identified as M. Over the reporting period, significant effort was placed to address ongoing issues and potential risks to project execution. Most important was the acceptance by all partners of a project strengthening plan led by MCTI. This led to all partners committing funds to address identified weaknesses in their execution. Consequently, risks related to the technical capacity of the partners has decreased after the implementation of the strengthening plan. Risks related to delays and slowness in processes have been reduced.

Management and political risks

The lack of ongoing consideration of project risks and development of risk mitigation plans leads to a reduced project impact. Project risk will be monthly considered by UGP to support MCTI and partners in ongoing risk identification and management. An implementation plan based on MTRs recommendations is to be developed. Also, the lack of coordination with other key ministries leads to duplication of efforts or less effective results of the projects. To mitigate this risk, sessions of MCTI-MDR Cities 4.0 Chamber will dedicated to CITinova.

Project risk has been assessed by different ways with each partner.

Brasilia risks

The project implementation in Brasilia faces a risk related to the utilization of the SISDIA by other government agencies and departments beyond SEMA. Formal agreements are under development to mitigate this risk. Moreover, a large, shared database was built with data from several public agencies, reinforcing its role as a comprehensive system for the Federal District.

The implementation of solar energy pilots by the end of the project also represents a risk. An action plan is to be prepared, by SEMA, to address this.

Recife risks

In Recife the execution of the project was delayed due to the slow process of approval and licensing. Also, there was uncertainty of the viability of the implementation of the solar boats. Actions have been taken towards bringing government agencies closer to the process and speeding up the licencing processes. Actions related to the solar boat have been suspended for further viability analysis by the MCTI.

Another risk for Recife is the lack of involvement of the City Government in the development of the IMS, leading to a system not useful or sustainable. In this regard, actions to increase the participation of government bodies and the formalization of this connexion have begun to take place.

PCS risks

The platform of PCS faces the risk of not reaching the awareness of municipalities, leading to little usage of the system. The dynamics of the political process in Brazil brought setbacks to established relationships with municipalities; nevertheless, a mobilization campaign is on-going. The straightening of institutional partnerships and a strong communication campaign are actions to be implemented.

OICS risks

Cities not aware of OICS platform represents a risk to the project, leading to little usage by these key stakeholders. Outreach strategies and combined actions between PCS and CGEE, along with monthly monitoring reports about the usage of platforms are to be implemented.

Cross-cutting risks

Risks due to the COVID-19 pandemic are persisting. Alternative strategies for the implementation of actions had to be created and many of them are still being tested, such as the effectiveness of online training

programs.

2.4. Co-financing

Planned Co-finance Total: $195,400,657 **Actual to date:** $213,360,649 110% of total As of 30 June 2020	Brasília, Recife and PCS applied more than the planned co-finance amount with actions regarding the construction of an integrated recycling complex at the landfill in Brasilia, sanitation infrastructure at the Capibaribe River in Recife and continuous improvements of PCS. MCTI has invested on cutting edge research through its partner agencies.

2.5. Stakeholder engagement

Stakeholder engagement	After the local elections at the end of 2020, new mayors and councillors started their mandate in 2021. Considering that elected municipal public managers can benefit from the initiatives of the CITinova project, PCS and ARIES sought to establish new partnerships during the electoral period with the candidates. In Recife, ARIES presented CITinova to mayor and councillor candidates, who signed commitment letters expressing their interest to support CITinova's initiatives. As a result of this approach, after the elections the Secretariats of Planning and Management, Environment and Sustainability, Housing, and Instituto da Cidade Pelópidas Silveira, among others, have now designated technicians to oversee CITinova deliveries. PCS has launched new partnerships with municipal associations reaching more than 190 municipalities to join the platform; and announced, at the United Nations High-level Political Forum on Sustainable Development (HLPF), an agreement between the Government of the State of Paraná, PCS and other relevant state organizations to support the acceleration of the implementation of the 2030 Agenda and the SDGs (Sustainable Development Goals) in the 399 municipalities of that state, through its platform. OICS, with the objective of promoting and disseminating the platform to municipalities and potential partners, have made important partnerships, including one with the Ministry of Regional Development (MDR) and signed technical cooperation agreements with the National Association of Ceramic Tile Manufacturers (ANFACER); Fundação Grupo Boticário (FGB) and ICLEI (Local Governments for Sustainability), in addition to expanding the partnership with the National Confederation of Municipalities (CNM), the Carbon Disclosure Project (CDP), the Federal University of Paraná (UFPR), the National Institute Technology (INT) and the Brazilian Textile and Apparel Industry Association (ABIT). Many meetings were held by CITinova co-executors, aiming at establishing strategic partnerships and engagement across institutions and project beneficiaries. The highlight for SEMA is a meeting with the Good Practices Governance Committee; two meetings with local leaders and beneficiaries of CITinova initiatives in the Descoberto and Paranoá Basins; and five meetings of the Local Project Committee held in the period. The District Environmental Information System (SISDIA) has, in its structure, information from the databases of several state agencies of the Federal District. CITinova is taking part in the Cities 4.0 Chamber, specifically in the Working Group on Low Carbon Solutions and Technologies for Smart Cities, led by the department responsible for the implementation of the CITInova project. The Cities 4.0 Chamber is a technical forum headed by the Ministry of Science, Technology and Innovations that discusses priorities, articulates, and proposes initiatives with the participation of public authorities, the private and academic sectors, and represents an important opportunity to disseminate and align the tools and

	solutions developed by the project.

2.6. Gender

Gender mainstreaming	The gender issue is observed in both platforms supported by CITinova. OICS works with the theme through the selection of specific indicators to compose comparative gender panels. It also disseminates solutions and case studies focusing on the theme, such as safe mobility for women and female prison space for socio-educational purposes. In the PCS platform there are Gender Indicators and the topic is also highlighted in the SDG 5 Indicators that make up the Sustainable Development Index of Cities-Brazil (IDSC-BR). In the Integrated Planning Introduction Guide, there is a specific box on “Urban Planning and women's empowerment.” Some actions carried out by the co-executing partners in the context of gender issues are also noteworthy, such as the meetings held by the PCS with women candidates from Pernambuco State during the electoral period, and the meetings with PSDB Mayors and Vice Presidents, to present the Platform and address issues related to SDG 5. In Brasília, SEMA-DF trained 95 people at the “Labyrinth of Water” on-line workshop, focused on women’s empowerment and their belonging to the region's hydrographic basins. In Recife, every contract with ARIES’ suppliers has added a specific clause ensuring gender parity. Gender is also incorporated as one of the variables to be prioritized in the technical-economic-environmental feasibility study for social housing, since, together with race, it composes socio-territorial dynamics linked to inequality indexes of the city.

2.7. Environmental and social safeguards management

Environmental and social safeguards management	The virtual spaces supported by CITinova – the OICS, the PCS’ platform and SISDIA – provide public managers with environmental databases to support urban planning. Social participation is another relevant theme to the project. An example is the PCS commitment letter, signed by Mayors, which ensures the creation of a joint consultative Municipal Commission, with the participation of representatives of public authorities and civil society with gender equality, for the dissemination of information on public policies and monitoring of the SDGs linked to the program's goals. It also proposes, in the Citizens Participation Guide, the creation of a Policy and a System of Municipal Citizens Participation, addressing relevant social issues. In Brasilia, the project promotes food security for families through the implementation of mechanized agroforestry systems and has implemented actions to recover degraded areas and the rehabilitation of the Estrutural Landfill, also bringing improvements to waste pickers through sorting sheds. In Recife, a participatory diagnosis and environmental education actions were carried out with communities on the banks of the Capibaribe River, where the pilot projects will be implemented. This year, there were also important advances for the environmental licensing of the urbanization of Capibaribe riverbanks and the filtering gardens. Moreover, there were an evolution in the design concept of the urbanization pilot, with an increased focus on reducing paved areas and increasing integration with the natural environment.

2.8. Knowledge management

Knowledge activities and products	In November 2020, after the release of the OICS platform and its latest version of the Geographic Information System, the Observatory made available a methodological document for the construction of indicators and typologies and a guide for using the typology map. Additionally, 112 solutions and 237 case studies were incorporated into the OICS database. A form for sharing the lessons learned from the solutions implemented by the partners’ pilot projects in Brasília and Recife was also implemented. Both SEMA-GDF and ARIES teams have undergone trainings to fill in the form and the teams are receiving consultancy for the systematization of the pilot projects, and lessons learned. It

	is important to highlight the promotion of this action, considering that the pilot projects can serve as a model to be replicated in other cities. ARIES has developed its project indicators and their impacts on a monitoring and evaluation system through a data intelligence tool. The PCS held several webinars to publicize its actions, including the release of the Survey “Impacts of covid-19 on municipalities”. It has also launched the Guides for Introduction to Integrated Urban Planning, for Citizen Participation and for the Sustainable Development Index of Cities - Brazil, the latter in partnership with the SDSN (Sustainable Development Solutions Network).

2.9. Stories to be shared

Stories to be shared	One of the project's noteworthy impacting actions was the intense participatory process with communities located along the banks of the Capibaribe river in Recife. This occurred as part of a diagnosis carried out by ARIES. Adults, especially community leaders, children, and passers-by, whom will be impacted by the pilot projects on both stretches of the river, participated in various interventions, such as ludic activities, interactive panels, and answered questionnaires to collect information focusing on their habits of using the public space, their relationship with the river, experience with public transportation and urban mobility, and expectations for the project. An example is the “Window to the future,” in which the participants were encouraged to draw their relationship with the river, aiming to express their memories, perceptions, desires, and intentions for the project’s space. In Brasilia, a medal was awarded to the Federal District Government by the Global Covenant of Mayors for Climate and Energy for Latin America, with the contribution of CITinova's actions to structuring the Climate Agenda of the GDF being fundamental. The PCS has released the Sustainable Development Index of Cities - IDSC - Brazil, a tool developed in partnership with the SDSN, with a comprehensive assessment of the advances needed to achieve the SDGs in 770 Brazilian municipalities, using 88 indicators. The intention is to guide municipal action, to define references and the goals based on management indicators and facilitate the monitoring of the SDGs at the local level. The OICS carried out a series of webinars and online events to communicate, publicize and articulate the Platform with partners and potential users. 13 events were held aiming to sensitize the public on themes related to Urban Sustainability, Water, Nature Based Solutions, Integrated Urban Planning, among others, enabling access and exchange of information even during the pandemic period.

3. PROJECT PERFORMANCE AND RISK

3.1 Rating of progress towards achieving the project outcomes

Project objective and Outcomes	Indicator	Baseline level	Mid-term target	End-of-project target	Summary by the EA of attainment of the indicator & target as of 30 June 2021	Progress rating
Objective: To promote sustainability in Brazilian Cities through integrated urban planning and innovative technologies	# of cities that join the Sustainable Cities Programme and adopt an enhanced goal plan with SDG indicators	0	N/A	EPT:300	PCS has been establishing partnerships with inducing agents to expand the number of signatory cities. The actions in progress have the potential to increase to 465 municipalities. The number of signatory cities is counted following elections. Currently PCS has: - 75 signatory cities - *including Sao Paulo, Rio de Janeiro, Belem, Campinas, Curitiba, Maceió, Recife, Salvador, Santos, São Luis, Teresina, Timon* - 14 new cities that approved laws of SDG targets, including the capital of Paraná, Curitiba, totaling 76 cities with such laws approved.	MS
Outcome 1B: A comprehensive evidence-based integrated and sustainable planning approach is adopted by Brasilia	# of secretaries out of the 10 that use SISDIA for at least 50% of their planning or zoning decisions	0	N/A	EPT:5	- The SISDIA Portal was launched on 29/04/2021, with 468 people participating. The portal's data infrastructure is composed of data based on direct linking between databases of 18 agencies. - 186 people were trained to use the portal with participants from civil society, the Federal, State and District Executive Branches and the Judiciary Branch. - To make SISDIA's data available and support the decisions of government agencies, Technical Cooperation Agreements (ACT) and Ordinances were and are being formalized: There are 2 formalized ACTs (DF Legal and University of Brasilia), 7 under analysis (Adasa, Caesb, Federal District Highways Department - DER, Brasilia Environmental Institute - Ibram, Secretary of Economic Development - SDE, Secretary of Urban Development and Housing - SEDUH, Under Secretary of Information Technology and Communication – SUTIC) and 5 under construction (Codeplan, Emater, Seagri, SLU e Terracap).	*HS*
	Mitigation and adaptation plans and regulation of Climate Bill elaborated and approved with the incorporation of a revised target reduction of emissions.	0	N/A	EPT:1	The Adaptation and Mitigation Plans were completed and finished including an emission reduction goal. SEMA is implementing a strategy to involve other FDG Secretariats for the adoption of recommendations of the plans. The FDG already has a set of climate laws for confronting climate change. SEMA evaluates that the existing legislation is sufficient for the implementation of targets set for the DF at the plans.	*S*

Project objective and Outcomes	Indicator	Baseline level	Mid-term target	End-of-project target	Summary by the EA of attainment of the indicator & target as of 30 June 2021	Progress rating
	% of the 2020-2024 Pluri-Annual Plan - PPA (in R$) impacted by the adaptation and mitigation plans	0	N/A	EPT: 30%	The PPA that it foreseen at this indicator has already been finished. Sectoral strategies will now be developed through the project based on the guidelines of the adaptation and mitigation plans recently completed.	*MU*
Outcome 1R: A comprehensive evidence-based integrated and sustainable planning approach is adopted by Recife	% of decisions taken by the urban planning agency using the Integrated Management System (IMS)	0	MPT: 5%	EPT: 30%	The system was presented in a minimum viable product format in May 2021. Currently it is continuing to be developed, and in parallel is being tested by government officials. The IMS, indicator framework and microclimate station systems is being integrated to develop an integrated system, which will also include data related to the housing policy.	*MU*
	The city development plan uses the results of the Housing Policy and Resilience Strategy	0	N/A	EPT: 100%	The housing policy (developed as Technical and Environmental Feasibility Study for Social Housing) and the resilience strategy (Sector Plans of Climate Action) have initiated and are being developed. To ensure alignment with the municipality's guidelines and needs, representatives of the local government are involved on the development of the studies.	*MU*
Outcome 2B: Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Brasilia	% of the 179,660 hectares of the Descoberto and Paranoá watershed under the Sustainability Pact	0	N/A	EPT: 80%	1.305 hectares (205 landowners) under sustainability pact or commitments signed: - Plantations to recover Permanent Protection Areas (PPA) and water aquifer areas in 70 hectares in rural areas. Commitments signed by 71 landowners (approximately 635 hectares) - Implementation of Best Practices on 2 additional hectares, totaling 20 hectares (AFS). Commitments signed by 37 landowners (approximately 185 hectares) - 12 workshops Cultivating Good Water. Commitments signed by 97 landowners (approximately 485 hectares) In addition, the following sustainability actions have been taken in Descoberto and Paranoá watershed: - Environmental Diagnosis of 91 thousand hectares in the Paranoá and Descoberto basins. - Carrying out of the Study on the Sustainability Indexes in the Basins in an area covered by the two Basins, totaling 179 thousand hectares. This indicator is under review.	*MS*

Project objective and Outcomes	Indicator	Baseline level	Mid-term target	End-of-project target	Summary by the EA of attainment of the indicator & target as of 30 June 2021	Progress rating
	% of decrease in dumpsite activities	6,200 – 8,700 ton/day (2010 and includes residential, commercial, construction waste)	n/a	EPT:75%	The landfill was partially closed and no longer receives domestic and commercial waste. It is operating as a debris collection unit - DCU, for the construction industry, with an average reception of 4,500/ton of construction waste. So far, there has been a 48% reduction in the entry of waste into the landfill since 2018. - from 2018 to 2019, reduction from 8,700 to 6,200 ton/day (reduction of 29%). - from 2019 to 2020, reduction from 6,200 ton/day to 4,545 (overall reduction of 27%) - from 2020 to 2021, reduction from 4,545 ton/day to 4,352 ton/day (general reduction of 5%). The environmental diagnosis conducted by the project identified less water impact than expected. Heavy metal pollution was not identified. An Integrated Recycling Complex (CIR in Portuguese) was built and started to operate in December 2020 with co-finance resources. In 2021 plastic and glass processing units will start to operate at CIR.	*MS*
	# a legal framework to promote PV distributed power generation in public buildings ready for adoption	0	n/a	EPT: 1	Indicator's goal accomplished. The Law 6.274/19 DF was elaborated and published in Jan/2019. It has guidelines for the District's Incentive Policy for the Generation of Solar, Wind and Biomass Energy and Cogeneration, with provisions for the installation of photovoltaic systems in public buildings (art. 4º).	*HS*
Outcome 2R: Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Recife	If the pilots prove successful, the city agrees to replicate them	0	n/a	Letter of intent covering any or all of the successful pilots (in addition to the ones funded by the project): 2 solar boats; 1 filtering garden; 4.38 ha of re-urbanization; 2 docking stations; 5 resting areas, 2 bikes stations 2 electric car park stations; 0.3 km of bike lanes and walking	The new Recife Municipal Government is becoming involved in the delivery and monitoring of project activities. In December 2021, the incoming administration signed a letter of commitment to support and advance the project, and it is now fulfilling this promise, demonstrating interest in the execution and quality of the pilot projects. The projects align with the new government's political priorities, including the recently published local climate action plan. However, to date none of the pilots have been completed, which means that the local government is unable to provide a letter of intent that would signal intent to scale-up such interventions. The urbanization is part of the Parque Capibaribe project (thus is already contained in a document of intent to scale up). The filtering gardens are mentioned regularly by the local government in speeches and seminars online. The solar boat is currently suspended.	*MU*

Project objective and Outcomes	Indicator	Baseline level	Mid-term target	End-of-project target	Summary by the EA of attainment of the indicator & target as of 30 June 2021	Progress rating
Outcome 3: The tested integrated and sustainable planning solutions are promoted by the National Platform for Sustainable Cities to up to 300 Brazilian cities as the reference for integrated urban planning.	# of city policy recommendations found relevant by Federal Ministries	0	NA	EPT:5	The following activities have been undertaken to advance Federal Ministry consideration of policy recommendations: Ministry of Economy: Three meetings held to present the Integrated Urban Planning study**.** Ministry of Regional Development (MDR/ANDUS): - A partnership between OICS and MDR was established to execute virtual missions to cities to showcase solutions of OICS and the cities and support them in addressing local challenges. - A proposal was submitted to the MDR for the integration of common typologies based on a comparative study of typologies developed by OICS and MDR. - Participation of CITinova in the MCTI-MDR City 4.0 Chamber	*MS*
	# of solutions identified by Sustainable City Innovation Observatory (SCIO), applied by Brasilia and Recife	0	NA	EPT:4	The OICS presents solutions and case studies in thematic related to the pilot projects implemented by Recife and Brasilia. Similar cases are being displayed, but both cities has not identified specific solutions from OICS. Moreover, OICS team developed and shared with the partners a “Lessons Learned” form. Brasilia and Recife partners have started to complete it.	*MU*
	# of cities looking in SCIO and National Platform for solutions to their planning and investment related problems	0	N/A	EPT: 100 cities find and apply solutions to their planning or investment problems	During this period, managers, and technicians from the 75 signatory cities used the platform's methodologies and tools to define integrated actions at the local level. This was undertaken to support the development of and investments in public policies for sustainability, the implementation of the Agenda 2030 and the SDGs. CGEE initiatives to disseminate OICS to Brazilian municipalities: Participation of 23 municipal governments representatives, and 6 state level representatives, in webinars organized by OICS.	*MS*

3.2 Rating of progress implementation towards delivery of outputs

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
COMPONENT 1: Integrated Planning Pilots					
Output 1.1B: *Environmental Information System (SISDIA) including EEZ guidelines and data is completed, online and available for FDG sustainable planning and public access*	31/12/2021	45%	60%	The SISDIA Portal (1.1.1) was launched in April, 2021 (https://sisdia.df.gov.br/home) and has already had 13,697 visitors since then. The data infrastructure is made up with incoming data from direct communication between databases of 18 Agencies. Phase 2 of SISDIA (specialized modules) is under development. ArcGIS licenses updated (1.1.2). 186 people, among participants from civil society, Federal, States and District Executive Branches and Judiciary, were trained to use the SISDIA portal (1.1.3).	*S*
Output 1.2B: *New data and studies to populate SISDIA are collected, developed, and included in SISDIA.*	*30/11/2021*	*55%*	60%	Climate scenarios finalized and inserted in SISDIA and SEMA's website (1.2.1). Mitigation and Adaptation Plans completed and in process of diagramming for insertion in SISDIA. Available on the SEMA website (1.2.1). GDD Climate Inventory from DF finalized and made available on SISDIA and SEMA's website (1.2.2). Landfill contamination diagnosis completed and discussed with society in a public workshop and inserted into SISDIA (1.2.4). NOTE: This output is delayed by some actions, as they depended on the completion of the Mitigation and Adaptation Plans.	*S*

[1] Outputs and activities (or deliverables) as described in the project logframe (and workplan) or in any updated project revision.
[2] The completion dates should be as per latest workplan (latest project revision).
[3] As much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.
[4] To be provided by the UNEP Task Manager

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 1.3B: *Climate risk assessment and scenarios are completed and 'climate bill' is drafted.*	*31/12/2020*	*40%*	60%	Generation of inputs for the implementation of the Climate Policy in the DF elaborated in the Mitigation and Adaptation Plans, with the proposition of goals defined in the District Determined Contribution – DDC (1.3.1). Plans for Mitigation and Adaptation to Climate Changes prepared (1.3.2); the Vegetation Cover and Land Use Map for the DF completed; First step of identifying areas for carbon sinks completed; the Term of Reference to establish the methodological procedure for the periodic updating and improvement of the map, prepared. NOTE: The Federal District's Mitigation Plan aims to reduce 4.8 million tons of CO2 by 2030 with 23 actions from studies and reports about Climate Change.	*MS*
Output 1.4B: *Citizens' are engaged in FDG public policy making*	*31/12/2021*	*20%*	40%	6 meetings of the Technical Chamber for Climate Change in 2021, with an average participation of 30-40 people (1.4.1). The public launch of the vegetation cover and land use map took place in June 2021, with the participation of 134 people. - 2 public consultations on the Mitigation and Adaptation Plans and 5 bilateral and multilateral thematic meetings. Inputs were received from public entities, citizens, academia, the business sector, social movements, and cooperatives. - The launch of SISDIA had more than 468 participants and a related capacity building trained 186 people.	*S*
Output 1.5B: *Lessons learned are collected and structured to feed the local and national platforms*	*31/12/2021*	*20%*	30%	- Monitoring plan for the project's indicators developed. - Term of Reference to assist SEMA teams in the Project's knowledge management prepared, with a focus on systematizing pilot projects and lessons learned within the scope of the three Deliveries provided for this Output.	*MU*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 1.1R: *Integrated and resilient plans for Recife through enhanced popular participation, more evidence and live and open data*	*30/04/2022*	*33%*	63%	The Recife 500-year Plan review (1.1.1.R) was impacted by COVID-19 because of the impossibility of face-to-face meetings, and activities with citizens participation. Achievements: - Participation in the electoral cycle and signing of letters (4 candidates) of commitment by ARIES / PORTO DIGITAL. 11 candidates in total; - Dissemination of a practical guide for civil society and municipal managers; - Expansion of communication, with greater participation of social networks, newspapers, and media. - Development of ARIES website and Recife 500 years website. The Indicators Framework (1.1.2.R) was developed and team trained to feed the platform. - The Minimum Value Product test phase was completed and another 105 indicators were added to the system, completing 126 indicators. In the first half of 2021, the ARIES team was trained to update the platform. The development of the air/ water quality micro station solution (1.1.3.R) faced some delays as part of the team contracted COVID 19 and ARIES needed more time between meetings due to mental or physical health. Alignment of expectations between Agencia Pernambucana de Agua and Instituto Senai also delayed the activity. Advances achieved: - Back-end (database, platform API) and front-end (dashboard, alert generation) development in progress. - Hardware development (communication protocol, sensor integration) started. - Minimum viable product prepared and in testing phase - Definition of the location for the micro stations - Web platform development started.	*MS*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 1.1R: *Integrated and resilient plans for Recife through enhanced popular participation, more evidence and live and open data*	*30/04/2022*	*33%*	63%	(1.1.4.R) Resilience Strategy For the Resilience Strategy (1.1.4.R) the development of sectoral action plans started, despite some delays due to hiring process. - Sectors defined: Urban Transformation; Sanitation; Mobility; and Economy. - Work plan being finalized - Sectoral risk report for the adaptation plan under preparation. Note: alignment with the Recife Local Climate Action Plan (PLAC) is being ensured. 1.1.5.R Social Housing Policy Technical difficulties and data complexity for the elaboration of the Term of Reference were faced. In 2019, ARIES perceived the need to deepen its knowledge on diagnose and tools for housing policies. Together with difficulties in the alignment with the local government, the ToR had delays that affected the project implementation timeline. Current state of actions: - Work plan delivered; - Demand and supply report under development; - Inventory of existing conditions in the city prepared; - App to facilitate the participation and listening process under development; Note: the data collection process is being carried out in close cooperation with the local government	*MU*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 1.2R: *Geo-referenced Integrated Management System (IMS) is tested*	*31/03/2022*	*10%*	60%	The project development strategy of the Integrated Management System - IMS (1.2.1.R) changed due to COVID-19. Porto Digital and ARIES decided to develop the system "in house". The development of the system was initially planned to be developed with 3 government departments, namely: - Urban Planning - Environment and Sustainability; - Planning and management. Once the beta version of IMS is presented to the Secretariat they can submit new projects that can be incorporated into the IMS and together with IMS staff, demonstrate the best way for those projects to be displayed. Other departments are to be involved. Some delay was faced due to Covid-19 cases among the project team. - Workshops with local government secretariats to define the scope of the IMS (demand analysis) conducted. The IMS team identified the main users based on the government structure. It was identified the positions and secretariats involved in urban planning that would benefit of IMS. - Urban planning data from multi-sector projects identified. The database will mostly come from open sources and will be updated via API. A Project Cooperation Agreement between the local government, ARIES and Porto Digital is being established and includes the responsibilities for the development, the maintenance, and updates after project completion. - Minimum viable product (MVP) developed - Training on General Data Protection Law carried out for the appropriateness of the tool. - Data from housing policy instruments are being analyzed so that scenario maps as well as housing policy solutions are part of the IMS through a geo-referenced system - ToR for integration of Framework, IMS and micro station systems in progress	*MU*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 1.3R: *Lessons learned collected and structured to serve as input to the national platform*	*31/04/2022*	*5%*	71%	Deloitte was hired to define a monitoring and validation system for the project indicators. Indicators referring to the results of the component 1 project have been developed and were also expanded to social impact indicators. Lessons learned were posted on the OICS database and will be updated as the project progresses. Ernst Young was hired to assist in the identification of lessons learned, among other activities. All lessons learned will feed the knowledge platforms.	*MS*
COMPONENT 2: Integrated Investment Pilots					

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 2.1B: *Springs preservation completed, best practices implemented and open dumpsite monitored towards decommissioning*	*31/12/2021*	*40%*	*65%*	(2.1.1) Two pilot projects (phytoremediation) have been implemented in the landfill site, and an economic feasibility study is being carried out for the stabilization of metals in the soil. The effluent treatment pilot is being finalized. (2.1.2) On the process of restoration of native vegetation in Permanent Preservation Areas (APPs) of springs, water courses and recharge areas in the Descoberto and Paranoá Basins, the following actions were carried out in the period: - Diagnosis on 91,000 hectares. - Direct planting on 70 hectares, additional to the 10 hectares previously implemented. - Signing of Adhesion Terms with 67 rural producers. There are 46.27 hectares in the Descoberto Basin with 39 rural producers involved; (ii) 22.98 hectares in the Paranoá Basin, involving 28 rural producers. (2.1.3) During the period, sustainable practices were implemented in 4 properties, which are in the process of monitoring and final systematization. The study of the sustainability index of the basins has been completed and the publication (e-book) is in the production phase. The research on the best practice of structured water (also known as magnetized or hexagonal water, it is water with its molecular structure altered to improve its quality). in an open system was implemented and completed. The greenhouse research was implemented, it is estimated that its conclusion will take place in August/2021; (2.1.4) The Workshops on Water, Gender and Belonging to the Descoberto and Paranoá Hydrographic Basins were held in June/2021, online, with the participation of 95 people. Virtual events were held to publicize the following actions to society: (i) Landfill Diagnosis, (ii) Basin Sustainability Index and (iii) Good Practices (Restoration of Mechanized Springs and SAFs), with the participation of 300 people.	*S*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 2.2B: *Solar energy pilots and promotion are completed*	*30/06/2021*	*10%*	*20%*	(2.2.1) Solar energy pilots are under development. The diagnosis and the feasibility assessment of the use of solar energy in public buildings was completed, with the basic project of the system under preparation. Implementation of the photovoltaic system is behind schedule, to be started in November 2021 and end in September 2022. An extension will be needed to finish this activity. (2.2.2) The study to define the strategy for promoting solar PV energy in the Federal District has been completed by the consultancy and will be discussed and validated within the government. (2.2.3) The development of videos on solar energy in the Federal District is in progress, to subsidize the discussion with society. The strategy of producing videos to raise awareness in society overcomes the difficulty of carrying out actions to mobilize society in person due to the pandemic.	*MU*
Output 2.3B: *Lessons learned are collected and structured to feed the local and national platforms*	*31/12/2021*	*25%*	30%	- Monitoring plan for the project's indicators developed. - Term of Reference to assist the SEMA team in the Project's knowledge management prepared, with a focus on systematizing pilot projects and lessons learned within the scope of the three Deliveries provided for this Output. - Approval of the methodology for systematizing the pilots for dissemination. - Training for the insertion of data from the project's pilots in the OICS platform. Data from the Agro Forestry System (SAF) pilot systematized and inserted in the developed form.	*MU*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 2.1R: *The financial and technical viability of operating 2 solar boats across the Capibaribe river is assessed*	*29/04/2022*	*25%*	47%.	Deliverable Interrupted since April 2021 - Development of the boat's service design, earned the company ORBE DESIGN a bronze medal award in the "Positive Impact Design" category at the 8th edition of the Brasil Design Award. - Business model considering supply, demand and financial feasibility studies prepared; - Exploratory navigation performed - After surveys and diagnoses, the first proposal for an executive project was developed, which proved to be technologically and operationally unfeasible (motor powered exclusively by solar energy). - New preliminary study started using mixed technology (photovoltaic and biodiesel) The suspension of the Solar Boat project requested by the MCTI was due to the need for additional analysis.	*HU*
Output 2.2R: *Banks of the Capibaribe River urbanized in two sections*	*29/04/2022*	*25%*	45%.	There were some delays in the hiring process of the company due to bureaucratic reasons. After contract signed, the city was under lockdown, imposing delays to visits to the construction site and participatory processes. During this period actions involved: - Initial studies completed (Legal, technical and environmental analysis) - Participatory diagnosis. - Executive, legal and complementary Projects developed. - Budget and physical-financial schedule. *Legal project in the environmental licensing phase..* The kick off between ARIES and the Environment Company will be on Aug. 16 and the environmental licensing will be concluded by November/21. Construction will start on December/21 and the project is estimated to be completed in 8 months.	*MU*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 2.3R: *Filtering Garden cleaning the water through the use of vegetation*	*30/12/2021*	*25%*	45%	Phytorestore had to change the staff during the project this action resulted in delays in the progress of the contract. Until June 2021: - Executive and complementary projects developed. - Preliminary license (LP) authorized and its conditions under progress (environmental study and construction solid waste management program) Construction will start on December/21 and the project is estimated to be completed in 8 months.	*MU*
Output 2.4R: *The city tracks and generates information and lessons on the experiences with the pilots for the national platform*	*29/04/2022*	*25%*	78%	Information about the pilot projects was loaded into the OICS platform database. - Proposition of social impact indicators to monitor and share actions and their respective impacts with other cities. - Development of a platform for monitoring indicators. - Team trained to load the platform	*MS*
COMPONENT 3: Knowledge Platform					
Output 3.1: *An operational Knowledge Platform online*	*30/04/2022*	*85%*	98%	Functional platform (3.1.1) - System developed. - What has not been released is available on the test server for bug reporting and bug fixing as well as content supplementation. Integrated platform (3.1.2) - Integration via API of solutions with best practices (under test) developed. - Integration via API of GIS layers of PCS with OICS (under test) developed. - Completed the PCS APIs page to be made available to OICS as part of the integration.	*HS*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 3.2: *Operational modules for the Knowledge Platform portal online.*	*30/04/2022*	*50%*	97%	Modules and sessions delivered and available online: - Integrated Urban Planning (3.2.2) The Integrated Urban Planning module (3.2.2) and the PCS Geographic Information System (GIS) have been operational since October 2020. Together, they comprise a set of contents, guidelines and tools for public managers and technicians from PCS signatory municipalities to execute a series of activities related to the management and sustainable planning of cities. - Citizen Participation (3.2.6) Modules and sessions completed and undergoing testing: - Library (for multiple deliverables) - Private Collaborations (3.2.7) - Training (3.2.8) - Plans, Laws and Regulations (3.2.9) - Events (3.2.10) Finished modules waiting for content completion: - Financing (3.2.3) - Academic Collaborations (3.2.5) Study developed in the period: - Guide to Indicators for Public Management (3.2.1) - Launch of the Sustainable Development Index of Cities – IDSC-BR (3.2.1)	*S*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 3.3: *Skills development training designed and delivered*	*30/04/2022*	*67%*	*81%*	Research carried out and disseminated with Ibope on the impact of Covid-19 in 302 Brazilian municipalities (3.3.1) Guidance guide for the construction of Maps of Inequality (3.3.1) late, awaiting the formalization of a partnership to start the production of the guide, considering, among several updates, the contributions of the teams from Oxfam Mexico and Brazil. Studies developed in the period: - Introduction to Integrated Urban Planning Guide launched in a virtual public event (3.3.2) - Training Guide for Integrated Urban Planning and Lesson Plan (3.3.2) - Guide for preparing the Target Plan available on the platform (3.3.3) - Citizen Participation Guide launched in a virtual public event (3.3.6) - Private Sector Partnerships Guide for Integrated Urban Planning (3.3.7) Training carried out in the period: - 1 Workshop with technicians and public managers from the signatory cities on the use of the Platform and indicators (3.3.4 and 3.3.6) - 14 training sessions on the preparation of the Targets and Citizen Participation Plan (3.3.3 and 3.3.6) - 8 training sessions on the Platform and Citizen Participation for civil society (3.3.6) Events held during the election period (September-November/21) - 20 events with candidates for the Executive in cities such as Campinas (SP), São Paulo (SP), Barueri (SP), São Luís (MA), Belém (PA), municipalities in the State of Pernambuco, Bagé (RS) performed (3.3.5)	*MS*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 3.4: *Mayors and politicians mobilized to join the sustainable cities platform*	*31/12/2021*	*85%*	*85%*	Campaigns were carried out to mobilize mayors to join the Sustainable Cities Program. (3.4.1 and 3.4.2) - Letters of commitment for candidates to the Executive, Legislative and Political Parties developed - National mobilization campaign developed and disseminated to the public of interest. Adhesions received during the electoral period: 142 adhesions to the Executive, 217 to the Legislative and 18 political parties signed the PCS commitment letter. Of the total number of Executive members, 46 Mayors were elected, among them, from nine capitals, such as São Paulo (SP), Recife (PE), Rio de Janeiro (RJ), Belém (PA) and São Luis (MA), Boa Vista (RR). - Partnerships with municipal entities signed during the electoral (with actions to be taken in the post-electoral period) period and that (3.4.1 and 3.4.2) Pernambuco Municipal Association, Association of Municipalities of the Southwest Region of the State of Rio Grande do Sul - Partnership with *Fundação Primeiro de Maio* - Solidarity party (3.4.1 and 3.4.2) to mobilize candidates and elected mayors of the party to join PCS PCS started the production of an awareness and mobilization campaign together with the elected Mayors, to improve the project's indicators. A new group of strategic cities was defined (prospecting list) to mobilize for adhesion, considering criteria such as cities that approved the Law of Goals, cities that integrate the IDSC (metropolitan regions and biomes) and cities with more than two hundred thousand voters, totaling 718 new municipalities.	*S*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 3.5 (SCP): *GEF Brazil project communication*	*30/04/2022*	*60%*	*75%*	- Integrated Communication Plan, under development, to be implemented by September 2021. - The CITinova website is regularly updated with news about the activities and deliveries of co-executing partners. - Instagram page created in November 2020 with regular posts (currently with 112 publications and 708 followers). - Regular meetings of the Communication Working Group for exchange of information and communication actions alignment. - Several thematic webinars were held with CITinova partners. - Three institutional newsletters and a CITinova poster were also produced	*S*
Output 3.5 (CGEE): *Sustainable solutions to eight urban planning and investment challenges identified and delivered to MCTIC, Brasilia, Recife and SCP*	*30/04/2022*	*60%*	85%	- 112 solutions and 237 case studies mapped and added considering the following themes: Urban Mobility (3.5.1); Energy (3.5.2); Constructed Environment (3.5.3); Water (3.5.4); Solid Waste (3.5.5); NBS (3.5.6) - An executive summary for each theme was published (3.5.1 to 3.5.6)- The following documents were prepared: Analysis of the evolution of RIS3; Adaptation requirements for RIS3 in Brazil; Policy brief on potential adaptation of RIS3 in Brazil; Guide with proposed RIS3 Program in Brazil. A workshop will be held to discuss the proposal for the socio-technical transformation program resulting from the RIS3 discussions. (3.5.7) - Integrated Urban Planning workshops (3.5.8) were organized as well as their implementation methodology. However, delays in carrying out the workshops occurred due to the pandemic.	*S*

Outputs/Activities[1]	Expected completion date[2]	Implementation status as of 30 June 2020 (%)	Implementation status as of 30 June 2021 (%)	Progress rating justification[3], description of challenges faced and explanations for any delay	Progress rating[4]
Output 3.6: *Solutions for urban planning and investments promoted to other cities.*	*30/04/2022*	*60%*	67%	Data base available (3.6.1): - Launch of the second version of OICS platform (3.6.1); - Updated database with112 solutions and 237 case studies, adding up to 266 solutions, 464 case studies and 60 indicators published on the platform (3.6.1) - Two "Lessons Learned" workshops carried out to implement and test the template form (3.6.1). Search interface for solutions by typology and challenges (3.6.2): - Second round of selection of indicators completed (3.6.2) -Methodology for typologies of city-regions published on the platform (3.6.2) - Application of the typology methodology for the 6 horizontal themes of the Observatory and two more cross-cutting topics (Innovation' and 'Vision and Planning') published on the platform (3.6.2) - First version of the GIS tool released together with the 2nd version of the Observatory Platform in November/2020 (3.6.2); - Evolution of the SIG Web tool toward its 2nd version, including metadata, export tool, evolutionary adjustments and search filters for solutions by typologies (3.6.2) - Availability of MVT files and shape of the OICS's GIS Web tool for integration with PCS's GIS (3.6.2). Applicability tool for solutions by typologies (3.6.3): - Hiring of the company PHITEC to develop a tool for applicability of solutions based on typologies and elaboration of panels. Dissemination and promotion of solutions (3.6.4 and 3.6.5): - Second version of the OICS Platform launched in November/2020 and reaching 2,389 views since (3.6.4); - Participation in meetings and workshops with Ministries (ME, MDR, MCTI) in order to promote the interface between government programs and the Observatory (3.6.5). - Dissemination of OICS through Webinars together with organizations and other institutions, ministries, public and private universities and other initiatives for engagement with OICS (3.6.5): a) Webinar "SBN for the post-pandemic world" b) 2nd and 3rd Webinar "Group of SBN Actors in Brazil" d) Webinar "Cycle of Dialogs: CITinova - Integrated Planning and Technologies for Sustainable Cities" e) Launch of the new OICS platform and publications f) Participation in EXPO Revestir 2021 (over 4,500 views) g) Webinar "Resilient cities: the water challenge" h) Launch of Urban Bioconnection Alliance. i) Webinar "The ceramic sector and sustainable cities;" "Innovation and Sustainability in Urban Mobility;" and "Innovation and Industry 4.0 in the water resources sector" j) Participation in the Webinar "Adaptation: Vulnerability, Action, Plan and Report," promoted by CDP Cities.	*MU*

3.3. Risk Rating

Table A. Risk-log

Risk	Risk affecting:	Risk Rating							Variation respect to last rating	
	Outcome / outputs	CEO ED	PIR 1	PIR 2	MTR	PIR 3 (this PIR)	PIR 4	PIR 5	Δ	Justification
Social, cultural and economic factors The project bears the full exchange rate risk: • There are large exchange rate risks between the USD and Real because of political uncertainty in the country	All outcomes & outputs	H/H	L	L	-	L			=	There was no risk on this factor. The Dollar (USD) remains very favorable against the Real (BRL) which does not exempt the MCTI Management Team from monitoring the exchange rate.
Information products of the project are not perceived as being useful by the users. In particular: • SISDIA • IMS • The enhanced knowledge platform • SCIO	Outcomes 1 & 3	L/H	M	M	-	M			=	- The SISDIA Portal was launched in 2021 and supports direct communication between the database of 18 agencies. 2 Technical Cooperation Agreements were signed, other 11 are under formalization and 186 people were trained including Federal District government officials. (L) - The minimum viable product is already being presented for local government and having excellent feedback while a survey is being prepared for civil society and managers to contribute for the platform development. (H) - Technicians and managers from the signatory cities are giving feedbacks for adjustments and new implementations that can be developed by the end of the project. (L) - CGEE is articulating with various stakeholders to give visibility to the Observatory. A communication plan is also being drawn up by the CGEE to ensure that the platform reaches Brazilian cities. (H)
Less than 300 cities join the Sustainable Cities Programme.	All outcomes & outputs	L/M	L	M	-	M			=	Since the adherence of cities to the platform depends on the mayors, after 2020 elections the work get the newly elected authorities had to start over. Since January 2021, 76 mayors joint the PCS.

The investment pilots are not successful: • 1) Solar boats are not financially sustainable; • 2) Filtering gardens, and Phyto-remediation technologies do not work • 3) The PV business model cannot find a satisfactory formula for distribution companies and distributed generators • 4) Land users do not buy-into the land pacts in Descoberto and Paranoá watersheds	Outcome 2	M/M	S	S	-	S			=	(1) The business model study indicated that there is a need of addition resources for the solar boat operation be financially sustainable. (H) (2) Recife's deadline for testing and implementing the solution is short. The risk of the project not asses the results is high (H). Brasilia's project has already started and is in the testing phase. (3) The solar energy strategy for the DF was elaborated with the participation of several sectors involved in this agenda, such as: ABsolar, Abrasolar, funding agencies, Government sectors, and research with an open public. The strategy is being validated by government agencies before its publication. (M) (4) The rural owners of the Descoberto and Paranoá Basins, direct beneficiaries of the project's actions, participated in workshops and signed a pact for sustainability. Other initiatives such as: Basin Sustainability Studies, Diagnosis of areas for recovery and other mobilization actions during the Project, have contributed to the continued participation in Basin protection actions. (L)
The project will not gain the level of expected scale up because political leaders do not agree with legal recommendations or make recommended budgetary decisions to support scale up of proven activities.	Outcome 1 & 2 Output 1.1R, 1.3B & 1.4B	L/M	M	S	-	M			↓	The budget review of Brasilia reformulated the citizens participation for the Climate Policy. The National Coordination (MCTI) strongly recommended citizens participation to be incorporated to the activities regarding Climate Policy and will monitor so the recommendation is met. The local government and other relevant stakeholders got significantly involved on the development of Recife's actions on the last six months. The National Coordination is constantly monitoring ARIES' political articulation. MCTI is participating more actively in the decisive articulation processes.
Changes in political leadership weakens project support: • Mayoral elections 2016 • Governor elections 2018 • Unstable federal political situation	All outcomes	M/L	H	H	-	L			↓	At the National level of coordination of the project, a stronger team, improved its capacity to monitor this risk and propose actions to ensure better political articulations. Local election on local level has occurred and partners had articulated for the transition. SEMA - The objectives foreseen in the Brasilia Project have not changed. The institutional arrangement of the Project is favorable to the continuity of actions as well as the new management of the GDF, which took over in 2019 and is committed to the Project. Nevertheless, some Project actions are undergoing adjustments to accommodate new political strategies. ARIES - Before the elections ARIES approached the candidates and signed the letter of commitment with each one. After the electoral running, there was a decision of visiting each secretariat to present the CITinova project, contact the technicians who would be in charge of each deliverable.

										There was also the decision of the Mayor who would occupy the ARIES board chair (there are 2 chairs designated for Recife City Hall). PCS - Considering the 2020 electoral period, new Mayors were elected. In this sense, new approach, awareness and mobilization strategies were adopted by the PCS team so that new managers have access to information about the PCS and the Platform, and the importance of these tools for the integrated urban planning of municipalities. As of the 2020 election, the Mayor who is re-elected in the 2024 elections will have their membership automatically renewed.
As far as the project were designed in 2016 and started in 2018, the scenario in Brazil changed.	All outcomes			L	-	L			=	Some strategies of the project were redesigned in order to ensure the delivery of the agreed outcomes. They are outlined at the budget review.
Recife actions were affected by lack of partner capacity to develop key technical requirements (such as technical terms of reference).	Outcome 2 & 4			L	-	L			=	The Reinforcement Plan as well as national coordination technicians helped to mitigate this risk. ARIES has also reassigned its staff. Constant monitoring of the execution and increased technical support by the National Coordination
The gender actions are not created and implemented by partners and social impacts related to gender are not achieved.	All outcomes			L	-	L			=	Gender mainstreaming is integrating the project scope in all spheres, from implementation processes (such as hirings) to specific field actions as well as the identification of relevant indicators for monitoring.
Field actions in Brasília and Recife were hampered by the pandemic and may have the monitoring period compromised.	Outcome 3 & 4			M	-	L			↓	Monitoring systems are under development by the partners in order to better asses the results of the project, considering the pandemic.
The project arrangement was designed to speed up execution and implementation, however, the processes and criteria for contracting partners are slow and bureaucratic.	All outcomes			L	-	L			=	There are constant actions between partners with a view to solving bureaucratic obstacles. The Reinforcement Plan, with more staff members at the National Coordination and Partner's Coordination, has streamlined and allowed technical improvements in some activities. CGEE has been going through a digital transformation process to manage the process electronically, making hiring more agile and reducing bureaucracy that delays hiring.
Recife's execution schedule is very tight, especially the actions related to works and constructions.	Outcome 2 & 4			S	-	M			↓	Implementation of the Project Execution Reinforcement Plan with specific actions for Recife pari passu monitoring of the project execution. ARIES – The workplan was rearranged according to the new scenario according to technical orientations. Weekly monitoring of supplier activities is implemented.
Risks related to health crisis and the Covid-19 pandemics	All outcomes				-	S				The Project was impacted in its execution, mainly in field actions and in actions that depended on interaction with the public, such

										as workshops, training and public consultations. Some actions are being revised to be done in a virtual format or postponed, and schedules need to be adjusted. In the Brasilia pilot, field actions, mainly for training farmers and planting, were compromised until the next rainy season. This delay can compromise the pilot's final monitoring. An extension of the Project's term was requested, in order to reduce these negative impacts. For ARIES, cope with Covid-19 impacts has been one of the biggest challenges since March 2020. Actions were implemented to adapt to remote work. The project was impacted due to the prohibition of going to the places where the constructions will take place. Popular participation was undermined. Most supplier teams at some point had to deal with the removal of one or more members due to Covid at this period. For OICS, pandemic generated difficulties in articulation with stakeholders, as well as delays in product deliveries and contracts. As for the PCS, the pandemic has significantly impacted the mobilization campaign in the 2020 electoral period. All actions, events with candidates and political parties, usually carried out in person, with the presence of civil society and the press, were directed to social networks. This change was quite detrimental to the campaign. The on-site training activities and training of managers and technicians of the signatory city halls present in the project were also impacted, as well as the production of some guides and studies that required selective processes for hiring consultants for the execution of services, which suffered delays.

Table B. Outstanding medium & high risks

Risk	**Actions decided during the previous reporting instance (PIR_{t-1}, MTR, etc.)**	**Actions effectively undertaken this reporting period**	**Additional mitigation measures for the next periods**		
			What	When	By whom
Management and Political 1. Lack of ongoing consideration of project risks and development of risk mitigation plans leads to a reduced project impact	Consolidation of management team at MCTI, Ministry co-financing of a National Project Coordinator	Project strengthening plan resulted in increased MCTI team, including technical coordinators on planning, platforms and mitigation.	1.a. Ensure a monthly consideration of project risk as part of the UGP to support MCTI and partners in ongoing risk identification and management (MTR recommendation #12) 1.b. Prepare and agree on an MTR recommendation implementation plan	October 2021 September 2021	National Director and Project Manager National Director, Project Manager, Technical Coordinator, UNEP Task Manager, All Partners
2. Lack of coordination with other key ministries leads to duplication of efforts or less effective results		Partnership established between MDR and CGEE on virtual city missions, meetings with Ministry of Economy	2. Strengthen the MCTI-MDR Cities 4.0 Chamber to also have dedicated sessions on CITinova (building upon MTR recommendation # 3)	October 2021	National Director
Workflow and COVID 3. Ongoing COVID issues affect local government priorities, leading to (i) delays in environmental and political approvals for pilot works, (ii) delays in adhering to the SDGs, (iii) reduced capacity (time, human, etc.) to consider sustainable urban development	Partners prepared COVID risk management strategies (April 2020) and revised budgets and workplans	Partners revised budgets and workplans, as well as adjusting activities to mitigate delays and changed operating conditions	3. Prepare a budget extension and request no-cost extension (MTR recommendation #13)	September 2021	National Director, Project Manager, Technical Coordinator, UNEP Task Manager, All Partners
Recife 4. Pilot project execution is delayed due to uncertainty over viability and slow local approval processes.	Undertake constant monitoring of the Recife situation and increase technical support from MCTI management team	Project reinforcement plan led to hiring of project management, procurement officers and technical officers to support ARIES execution. MCTI meeting with local government.	4. Establish informal monthly meetings between ARIES, Recife government, MCTI and UNEP to redefine the solar boat pilot, and facilitate execution of other pilots and other project activities, with monthly submission of meeting minutes to the National Director and Task Manager	September 2021, Decision made on the substitution of the solar boat pilot and approved by MCTI, UNEP and ABC by 30 September 2021 Monthly meetings from September	National Director, Project Manager, Technical Coordinator, UNEP Task Manager, ARIES Coordinator, Government of Recife
5. The IMS is not developed together with the City Government, leading to a system which is not useful or sustainable			5. Establish a governance system to consolidate IMS in Recife (MTR recommendation #2)	October 2021	National Director, Project Manager, Technical Coordinator, ARIES Coordinator, Government of

					Recife (Secretary of Urban Planning)
Brasilia 6. SISDIA is not used by governmental agencies beyond SEMA	Involve other government agencies in the development of SISDIA and give them access to the system	Two Technical Cooperation Agreements (ACT) were formalized	6. Set up a data using and sharing pact to support SISDIA in Brasilia (MTR recommendation #1), including preparing a list of agencies that would be benefit and holding meetings with each of them	List completed by September 2021, Minimum 8 meetings with agencies by December 2021	SEMA Coordinator, Technical Coordinator
7. A lack of awareness leads to few landowners committing to sustainability pacts and indicator 2B[5] not being achieved	Hold workshops to promote commitment to sustainability pacts	Workshops and pilots were held to promote landowners to commit.	7a. Proposal to modify indicator 2B sent to MCTI and UNEP for its consideration and approval, and development of action plan to achieve the revised indicator 2B 7b. Implement a communication and mobilization campaign to encourage landowners to commit to sustainability pacts	September 2021, implementation of action plan following approval Implemented by December 2021	SEMA Coordinator, MCTI, UNEP
8. Solar energy pilots are not implemented by the end of the project			8. Prepare action plan to implement the solar energy pilot within the project timeline, for the consideration of MCTI and UNEP	September 2021	SEMA Coordinator, MCTI, UNEP
OICS and PCS 8. Cities are not aware of OICS and the PCS platforms leading to little usage by these key stakeholders	Conduct surveys with cities on what their needs are with regards to the OICS	Participation of cities in events and webinars organized by OICS and PCS.	8.a. CGEE and PCS each prepare and implement outreach strategies for their knowledge platforms (MTR recommendation #5). Effort should be made for CGEE and PCS to combine forces where possible. For instance, PCS training activities should also promote OICS and vice-versa. Effort should also be made to use existing city networks through MDR/ReDUS, PCS, ABM, CNM, FNP and Chamber Cities 4.0.	Urgently, with campaign started by end of September 2021 at the latest	CGEE Coordinator, PCS Coordinator
			8.b. Request CGEE and PCS to report monthly to UNEP and MCTI on their platform usage, including breakdown by region and user-type and downloaded documents	Monthly from September 2021	CGEE Coordinator, PCS Coordinator
9. Cities don't adhere to PCS due to lack of awareness or interest	Develop institutional partnerships and execute mobilization campaigns	PCS executed mobilization activities, with 75 cities adhering.	9.a. Prepare and implement a communication campaign	Campaign starting immediately, from September 2021	PCS Coordinator
			9.b. Establish partnerships with key inducing agents (SDG Fiocruz Strategy, ABC Intermunicipal Consortium, the National Movement SDG Santa Catarina)	Starting immediately, from August 2021	PCS Coordinator

High Risk (H): There is a probability of greater than 75% that **assumptions** may fail to hold or materialize, and/or the project may face high risks.
Significant Risk (S): There is a probability of between 51% and 75% that **assumptions** may fail to hold and/or the project may face substantial risks.
Medium Risk (M): There is a probability of between 26% and 50% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.
Low Risk (L): There is a probability of up to 25% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.

[5] % of the 179,660 hectares of the Descoberto and Paranoá watershed under the Sustainability Pact.