



**Project Implementation Report (PIR)**

**FY 2022**

**GEF - IDB**

PIR # 4



**IMPORTANT:** The reporting period is GEF Fiscal Year (July 1st, 2021, to June 30th, 2022)

**PROJECT GENERAL INFORMATION**

<b>Project Name</b>	Capacity Building and Institutional Strengthening on the National Framework for Access and Benefit Sharing under the Nagoya Protocol				
<b>Project's GEF ID</b>	5760	<b>Project's IDB ID:</b>	BR-T1304	<b>Overall Stage:</b>	Disbursing (from eligibility until all operations are closed)
<b>Country/ies</b>	Brazil				
<b>GEF Focal Area</b>	Biodiversity				
<b>Executing Agency</b>	UNITED NATIONS DEVELOPMENT PROGRAM (UNDP)				
<b>Project Finance</b>	GEF Trust Fund	\$4,401,931			
	Co-finance at CEO Endors./Approv.	\$4,401,931			
	TOTAL Project Cost (GEF Grant + co-finance)	\$8,803,862			
<b>Disbursements</b>	GEF Grant disbursed as of end of previous fiscal year	\$1,340,403			
	GEF Grant disbursed as of end of this fiscal year	\$1,967,614			
<b>Project Dates</b>	Agency Approval Date	05/18/2017			
	Effectiveness (Start) Date	11/8/2017			
	First Disbursement Date	8/15/2018			
	Expected Completion Date (in Convergence: OED)	3/8/2022			
	Current Closing Date (in Convergence: CED)	3/8/2023			
	Expected Financial Closure Date (in Convergence: EOC)	6/6/2023			
	Actual Date of Closure (in Convergence: CO)				

<b>Project Evaluation</b>	Mid-term Date (Planned)	4/23/2021
	Mid-term Date (Actual)	8/10/2021
	Terminal evaluation Date (Planned)	6/8/2023
	Terminal evaluation Date (Actual)	

**Development Objective**

Support Brazil implement a clear, robust and transparent national legal and regulatory framework, the governance and institutional capacity necessary to manage the access and benefit sharing of genetic resources (ABS) and associated traditional knowledge (ATK), and improve knowledge of providers and users of such resources, enabling Brazil to fulfill the ABS provisions of the Convention on Biological Diversity and the Nagoya Protocol

<b>Development Objective Rating (DO) &amp; Assessment</b>	<b>PREVIOUS RATING</b>	<b>NEW RATING</b>
<p>Overall performance rating by the Project for this fiscal year has improved and is now considered Moderately Satisfactory (MS), due to the new work plan approved, which allowed several ongoing processes, new contracts, and product analysis to be resumed.</p> <p>In general, the new plan details all project activities and presents a significant improvement in its structure compared with earlier versions discussed with the MMA and the executing agency. It includes an improved sequence of activities as well as most of the Mid-Term Review (MTR) and IDB's recommendations geared towards achieving the project's goals.</p> <p>In order to guarantee the effectiveness of the activities and to contribute to concrete actions in the Access and Benefit-sharing chain (ABS), especially those that will benefit traditional and indigenous communities, both IDB and the Executing Agency (UNDP) are working with the Ministry to ensure alignment of activities with the expected results. The new work plan allowed for fundamental activities for the dissemination of knowledge in ABS to be resumed, such as the construction of new community protocols, the hiring of specific consultancies to systematize the content of capacity building and training activities tailored for each specific target audiences.</p> <p>In addition, the project team focused on improving the Community Engagement Plan and the Pedagogical Political Plan, which are critical to the achievement of project goals and to effectively engage important stakeholders, as the representatives of holders of traditional knowledge. Also, this process is reflected in significant improvements in the fluidity of project communications with the Ministry of the Environment.</p> <p>Also, as reported for the last reporting cycle, components 1 and 2 have already presented good progress with the development of the National System for the Management of Genetic Heritage and Associated Traditional Knowledge (SisGen), under component 2, which was crucial</p>	MU	MS

in creating the enabling conditions for Congress' ratification of the Nagoya Protocol in July 2020.		
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**Project Status Update**

As reported during the last period, during 2020-21, the MMA underwent a series of changes in the teams involved in the project (at the level of Minister and Vice-Ministers, as well as another personal key), which, alongside the impacts of COVID-19 pandemic, caused additional delays and led to the project being practically paralyzed for some time. After conversations between the IDB, PNUD (the Executing Agency) and the Ministry of the Environment (MMA) oriented towards finding a viable implementation plan, on June 25th, 2021, the MMA sent a first proposal (letter 2837/MMA/2021) for with a revised work plan for 2021-2022 that would allow for the project to retake its implementation path. Therefore, during the second half of 2021, PNUD and the IDB team focused their efforts, along with the Ministry of the Environment (MMA), on reviewing the proposal, aiming at guaranteeing that the changes would not modify the expected project results and outcomes (and consider comments and recommendations from the Mid-term Review Report, completed in August 2021).

After that, a reviewed plan of activities was presented by the MMA to the Bank on November 2021 (letter 5421/2021/MMA) and then an initial 12-month extension to the period of execution and disbursement of the operation, which was aligned with the reviewed work plan, was requested and approved by the IDB. The current execution period ends on March 8, 2023. If adequate progress is observed in executing project activities, a new extension will be discussed at the end of 2022. In this sense, er to guarantee the effectiveness of the activities and contribute to structuring actions in the Access and Benefit-sharing chain (ABS), in particular traditional and indigenous communities, both IDB and the Executing Agency (UNDP) are closely working with the Ministry to ensure the expected results.

During the first half of 2022, PNUD has been implementing the revised work plan, showing some progress in both, resuming activities that had been previously stopped, as well as in starting some new activities proposed. In summary, this review allowed fundamental activities for the dissemination of knowledge in ABS to be resumed, such as the construction of new community protocols, the hiring of specific consultancies to systematize the content of capacity building and training activities tailored for each specific target audiences. In addition, the project team focused on improving the elaboration of the Community Engagement Plan and the Pedagogical Political Plan, which are critical to the achievement of project goals and to effectively engage important stakeholders, as the representatives of holders of traditional knowledge within the process.

<b>Implementation Progress</b>		
<b>Implementation Progress Rating (IP) &amp; Assessment</b>	<b>PREVIOUS RATING</b>	<b>NEW RATING</b>
Progress performance rating for the project has improved and is now considered Marginally Satisfactory (MS) due to due to the new work plan approved which allowed several ongoing processes, new contracts, and product analysis to be resumed. This review allowed fundamental activities for the dissemination of knowledge in ABS to be resumed, such	U	MS

<p>as the elaboration of the Community Protocol, the Community Engagement Plan and the Pedagogical Political Plan, which are critical to the achievement of project goals to effectively engage important stakeholders, as the representatives of holders of traditional knowledge. As reported for the last period, during 2020-21, the MMA underwent a series of changes in the teams involved in the project (at the level of Minister and Vice-Ministers, as well as another personal key), which, alongside the impacts of COVID-19 pandemic, caused additional delays and led to the project being practically paralyzed for some time. After conversations between the IDB, PNUD and the Ministry of the Environment (MMA) oriented towards to find a viable implementation plan, on June 25, 2021, the MMA sent a first proposal (letter 2837/MMA/2021) for a revised work plan that would allow for the project to retake its implementation path.</p> <p>During the second half of 2021, the Executing Agency (PNUD) and the IDB team focused their efforts, along with the Ministry of the Environment (MMA) to review the new proposal aiming at guaranteeing that the changes would not modify the expected project results and outcomes (and consider comments and recommendations from the Mid-term Review Report, completed in June). A new plan of activities was presented by the MMA to the Bank on November (letter 5421/2021/MMA) and then an initial 12-month extension to the period of execution and disbursement of the operation, which was aligned with the new work plan, was requested and approved by the IDB. The current execution period ends on March 8th, 2023. If adequate progress is observed in executing project activities, a new extension will be discussed at the end of 2022. During the first half of 2022, the executing agency (PNUD) has been implementing the new work plan, showing some progress in both, resuming activities that had been stopped, as well as in starting some of the revised activities proposed.</p>		
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<b>Project Risks</b>		
<b>Risk Rating (RISK) &amp; Assessment</b>	<b>Previous Rating</b>	<b>New Rating</b>
<p>Although communications and engagement with the Ministry of the Environment (MMA) have improved and the review of the plan of activities allowed important progress to the implementation, risks to the project achieving its results are still considered Substantial (S).</p> <p>As also mentioned by the mid-term review, a major challenge to the project, that the project will continue to face, is the required cooperation from some key actors to implement activities directly with traditional communities and indigenous peoples. In this sense, the project team have been focusing efforts for the elaboration of protocols and other documents to guide the engagement of each specific target publics, such as the Community Protocol, the Community Engagement</p>	S	S

<p>Plan and the Pedagogical Political Plan, which are critical to the achievement of project goals to effectively engage important stakeholders, as the representatives of holders of traditional knowledge.</p> <p>In addition to that, a new risk can be envisioned, as 2022 is an election year for State Governors and the Presidency of the Republic. Hence, some limitations or even temporarily suspension of the planning and execution of activities are expected and could cause further delays. Also, changes in management in the Ministry, especially during election periods, may further impact the secretariats and departments directly involved in the project.</p> <p>In order to mitigate risks, considering the difficulty of initiating new activities close to the elections period (like new contracts or taking key decisions), UNDP tried to move forward with as many activities as possible, so that project enters the elections period with contracts and actions already under implementation.</p>		
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**Stakeholder Engagement**

The project was designed to ensure the engagement and participation of all parties involved in the construction of the regulatory framework for benefit-sharing. With that in mind, the project provided training and capacity building on the tools, frameworks, and systems of the process. It also encouraged the collaborative participation of traditional knowledge providers and producers through the development of community protocols (output indicator 3.5) and of a pedagogical plan (output indicator 3.4) aimed at indigenous peoples and traditional communities, pointing out detailed strategies to address their peculiarities and specific demands of each different group.

For this, the Project provided a consultancy support for the elaboration of a Political Pedagogical Plan, which aims to define, through a participatory process, the guidelines for carrying out training to the public Providers of Traditional Knowledge Associated, in order to meet the peculiarities and specific needs of the different groups and communities represented.

With the arrival of a new director to the MMA, the involvement of the main stakeholders was effectively resumed in January 2022. MMA promoted the first meetings with representatives of the Sectorial Chamber of Holders (CSD) and the project team of the Executing Agency (UNDP). Many conflicts and disagreements existing previously about the project's approach and the communities were addressed and, in order to mediate in these conflicts, weekly update meetings are being held and, since June 2022 and a consultancy was hired to facilitate the process of designing/developing the Engagement Plan.

**Recommendation:**  
Continue to ensure that the new measures proposed by the Ministry are adequate and satisfactorily include and engage the most vulnerable stakeholders, especially representatives of different indigenous peoples, traditional communities, and other traditional knowledge providers.

## Gender

The project supports the access mechanisms, protection and sharing the benefits produced using genetic resources and associated traditional knowledge. Although the project's original design did not have gender-specific indicators, it incorporates the concern around promoting equal participation of men and women in the project activities, mainly the training processes. As such, institutional capacity-building and other training initiatives (outputs 1.1, 1.3, 3.1) have been monitored, recording gender of participants in meeting minutes and attendance list of participants.

Up until now, of a total of 464 representatives from Academy, Government and Private Sector trained, 51% were men and 49% women. For representatives of Traditional Communities and Indigenous People, out of 37 people trained, approximately 60% were men and 40% women. Additional activities such as distance education (EAD), training sections and production and systematization of contents of manuals on ABS Agreement negotiations aiming to reach at least 30% of the people trained to be women. These activities are ongoing with the execution of the services until October 2022.

The project will support and continue to monitor and promote equal participation of men and women for future training activities.

### Recommendations:

- Continue monitoring that gender initiatives reach equally men and women, especially women representatives from indigenous peoples, traditional communities, and small rural producers.
- Promote, encourage, and increase the adhesion of these groups to the project's initiatives.
- For the new initiatives, include gender indicators for monitoring results at the design phase of the project.

## Knowledge

Due to the nature of the project, components 1 and 3 are specifically focused on disseminating knowledge and information, as well as on training representatives of the various actors involved in the different stages of the benefit-sharing process arising from genetic heritage or associated traditional knowledge in Brazil.

As mentioned for the last reporting period, several training cycles were already carried out for the purpose of harmonizing and standardizing procedures for Project's target audiences, such as Academy, Productive Sector and Law Operators (Output indicators 1.1, 1.3, 3.1). A total of 464 people of this audiences were trained in training/events carried out by the Project so far, already exceeding the total target established.

Additional activities of capacity building and training modules are being developed, as well as in-person trainings, focused on different relevant groups and contemplating all regions in Brazil. These activities are planned for the second half of 2022. Also, a Bioeconomy Fair is planned for 2023 aiming to involve and further integrate interested parties in the Access and Benefit-sharing (ABS) agenda in Brazil, developing a favorable environment for the integration of actors and development of new businesses, contributing to the expansion of the bioeconomy in the country, as well as the dissemination of knowledge about the Brazilian legislation.

Specific manuals for each stakeholder group (Output indicator 3.,3) are going to be included in an ABS Brazil Booklet, as presented as a new action by the MMA included in the Work Plan for 2021/2022. As for the ABS/Biodiversity Portal planned (Output 2.1), the Ministry informed that all data and

information related to the ABS agenda in Brazil will be included on the Ministry of the Environment website, which is the Ministry's official channel for disseminating this information, planned for the second half of 2022.

Recommendation:

Continue to ensure that the new activities and work plan are adequate and satisfactorily meet the goals related to the dissemination of knowledge to the most vulnerable stakeholders, especially including representatives of different indigenous peoples and traditional communities.

**Lessons Learned / Best Practices**

**Lessons from the Mid-term Review**

The importance of project partners` actions, to deal with management changes.

Managerial changes in the government executing bodies are envisaged, with the impacts having been identified in the project documents. The new management-level officials that will enter the ministries and other government agencies with the new Administration might have difficulties in continuing previous established projects or plans for various reasons: new priorities and approaches/views regarding the project's objectives, an initial project-related learning curve, among others. In order to minimize these difficulties, and guarantee project continuity, early action by the execution and implementation teams is important, to show project coherence with new Administration plans and strategies, as well as the importance of its results.

Dissemination of project information.

Ownership of the project logic by the beneficiary groups is also a factor that defends its continuity and sustainability. The basic information, results, and lines of action should be disseminated among partners and beneficiaries, to clarify the role of the project and its impacts, increasing collaboration and engagement.

Prioritizing the execution of longer processes and/or of greater complexity.

The activities which require various products (as in the case of version 2.0 of SisGen) and processes that involve learning and training, which are complex and need to engage various beneficiaries (Component 3 activities), need to be prioritized and executed at the start of activities. Thus, the risk of not being able to actually implement them due to lack of adequate time to organize all of the related processes is reduced.

**Challenges**

- In order to proceed with the extension proposal, one main challenge has been to adequate the proposed Work Plan (which details activities) to the original Project results matrix and. It is important to note that no changes in budget or targets are expected due to this reviewed Work Plan. Also, constant changes in the Ministry guidelines, related to the review and approval of terms of reference and products process, delayed the schedules of some contracts.

- In July 2022, due to the election period in Brazil, the Ministry of Environment informed that all face-to-face events are suspended until the October elections, further delaying some training and capacity building activities planned for 2022.
- Recurring changes in the Ministry of the Environment related to project management causing delays to the analysis of terms of reference and products by the MMA. Also, as a directive of the Ministry, Directors and the Secretary of the Genetic Department were also included in the workflow process of document reviews and approvals, causing additional delays given the amount and detail of information required.
- Lack of trained professionals with solid knowledge about ABS within the Ministries and the country.
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**Project Results Framework Modifications**

Category	Fiscal Year	YES NO	APPROVED BY	DESCRIPTION OF CHANGE AND EXPLANATION
Outcome	2019	NO	IDB	NONE
	2020	NO	IDB	NONE
	2021	NO	IDB	NONE
	2022	NO	IDB	NONE
Output/Activities	2019	NO	IDB	NONE
	2020	NO	IDB	NONE
	2021	NO	IDB	NONE
	2022	NO	IDB	NONE

**Project Extension or Other Modifications**

The second half of 2021 translates into a period of rearrangement of activities, as UNDP, BID and MMA devoted time to a more detailed review of the plan of activities. On November 2021 (letter 5421/2021/MMA), the Ministry of the Environment (MMA) presented to the Bank an initial 12-month extension to the period of execution and disbursement of the operation, which upon final review was approved in December 2021. As such, the current execution period ends on March 8, 2023.

During the first half of 2022, PNUD has been implementing the revised work plan, showing some progress in both, resuming activities that had been previously stopped, as well as in starting some new activities proposed. It is important to note that no changes to the original budget or targets are expected by this reviewed work plan of activities. If adequate progress is observed in executing project activities, a new extension will be discussed by the end of 2022.

## **ANNEX 1. DEFINITION OF RATINGS**

### **Development Objective Ratings**

1. Highly Satisfactory (HS): Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
2. Satisfactory (S): Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
3. Marginally Satisfactory (MS): Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
4. Marginally Unsatisfactory (MU): Project is expected to achieve some of its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
5. Unsatisfactory (U): Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
6. Highly Unsatisfactory (HU): The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

### **Implementation Progress Ratings**

1. Highly Satisfactory (HS): Implementation of all components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be presented as “good practice”.
2. Satisfactory (S): Implementation of most components is in substantial compliance with the original/formally revised plan except for only a few that are subject to remedial action.
3. Marginally Satisfactory (MS): Implementation of some components is in substantial compliance with the original/formally revised plan with some components requiring remedial action.
4. Marginally Unsatisfactory (MU): Implementation of some components is not in substantial compliance with the original/formally revised plan with most components requiring remedial action.
5. Unsatisfactory (U): Implementation of most components is not in substantial compliance with the original/formally revised plan.
6. Highly Unsatisfactory (HU): Implementation of none of the components is in substantial compliance with the original/formally revised plan.

### **Risk ratings**

Risk ratings will assess the overall risk of factors internal or external to the project which may affect implementation or prospects for achieving project objectives. Risks of projects should be rated on the following scale:

1. 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.
2. Substantial 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.
3. Modest 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.
4. 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.

