



## Tracking Tool for GEF Biodiversity Focal Area Strategic Priority Two: “Mainstreaming Biodiversity in Production Landscapes and Sectors”

**Objective:** This tracking tool will measure progress in achieving the coverage and impact targets established at the portfolio level under Strategic Priority Two of the biodiversity focal area and as agreed in the business plan for GEF Phase-3 (please see Annex A). The expected impacts of this strategic priority are to: (a) produce biodiversity gains in production systems; (b) improve livelihoods based on sustainable harvesting of natural resources; (c) replicate approaches applying positive incentive measures and instruments; and (d) mainstream biodiversity into the development and technical assistance, sector, and/or lending programs of the Implementing Agencies.

**Structure of Tracking Tool:** This tracking tool reflects a review of the types of projects that have been supported under Strategic Priority Two. In addition, the content and structure of the tracking tool have been informed by feedback from the GEF biodiversity task force, input from a workshop held in Cambridge in 2003, and pre-testing of the tool.<sup>1</sup>

**Guidance in Applying the Tracking Tool:** This tracking tool will be applied three times: at work program inclusion<sup>2</sup>, at project mid-term during project implementation, and at project completion. The completed forms from projects will be aggregated for analysis of directional trends and patterns at a portfolio wide level.

Projects which fall clearly within Strategic Priority (SP) #2 will only apply the tracking tool for SP#2. Projects that also contribute to SP#1, however, should also apply the tracking tool for SP#1. It is important to keep in mind that the objective is to capture the full range of a project's contributions to delivering on the targets of the strategic priorities. The Implementing Agency will guide the project teams in the choice of the tracking tools. Please submit all information on a single project as one package (even where more than one tracking tool is applied).

Multi-country projects may face unique circumstances in applying the tracking tools. The GEF requests that multi-country projects complete one tracking tool per country involved in the project, based on the project circumstances and activities in each respective country. The completed forms for each country should then be submitted as one package to the GEF. Global

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<sup>1</sup> “GEF workshop to develop a “tracking tool” to evaluate the impacts of sustainable use activities in GEF Mainstreaming Projects”. Cambridge, October 2003.

<sup>2</sup> For Medium Sized Projects when they are submitted for CEO approval.

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projects which do not have a country focus, but for which the tracking tool is applicable, should complete the tracking tool as comprehensively as possible.

The tracking tool is designed to be “user-friendly”, while attempting to ensure objective assessment of the progress of the project situation. Project proponents and managers will likely be the most appropriate individuals to complete the form, in collaboration with the project team, since they would be most knowledgeable about the project. Staff and consultants already working in the field could also provide assistance in filling out the form.

The tracking tool will be used for the remainder of the third phase of the GEF (GEF-3) until June 30, 2006 at which time feedback will be sought from the users of the tracking tool in order to improve and refine it for application during the fourth phase of the GEF. The tracking tools are best thought of as a work in progress that will require refinement through an iterative process of application, reflection and analysis throughout GEF-3. Please keep track of your experiences in applying the tool so that the tool can be improved based on your practical experience in its application.

**Submission:** The finalized form will be cleared by the Implementing Agencies and Executing Agencies under expanded opportunities before submission to GEF Secretariat for aggregation and analysis at the portfolio level. This tracking tool does not substitute or replace project level M&E processes, or Implementing Agencies’ own monitoring processes. As mentioned above, the tracking tool is to be submitted to the GEF Secretariat at three points:

- 1.) With the project document for work program inclusion<sup>3</sup>;
- 2.) Within 3 months of completion of the project’s mid-term evaluation or report; and
- 3.) With the project’s terminal evaluation or final completion report, and no later than 6 months after project closure.

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<sup>3</sup> For Medium Sized Projects when they are submitted for CEO approval.

**ANNEX A**

**Strategic Priority Two: Mainstreaming Biodiversity in Production Landscapes and Sectors**

- 1. Rationale:** To integrate biodiversity conservation into production systems/sectors (e.g. agriculture, forestry, fisheries, tourism, and/or others).
- 2. Expected impact:** (i) Produce biodiversity gains in production systems and buffer zones of protected areas and (ii) Biodiversity mainstreamed into sector programs of the IAs.
- 3. Targets (coverage)**
  - a) At least 5 projects in each of the targeted sectors (agriculture, forestry, fisheries, and tourism) focused on mainstreaming biodiversity into the sector.
  - b) At least 20 million ha in production landscapes and seascapes that contribute to biodiversity conservation or the sustainable use of its components.
  - c) At least 5 countries promote conservation and sustainable use of wild species and landraces, taking into consideration their real and potential contribution to food security.
- 4. Performance indicators (impact)**
  - a) X (Y %) projects supported in each sector have included incorporated biodiversity aspects into sector policies and plans at national and sub-national levels, adapted appropriate regulations and implement plans accordingly.
  - b) X ha of production systems that contribute to biodiversity conservation or the sustainable use of its components against the baseline scenarios.
  - c) X people (Y % of total beneficiaries) show improved livelihoods (especially local and indigenous communities) based on more sustainable harvesting.
  - d) X number of replications (reported & verified through the project) applying incentive measures & instruments (e.g. trust funds, payments for environmental services, certification) within and beyond project boundaries.
  - e) X% of projects mainstream biodiversity into IA loan and/or sector work.
- 5. Modality to track “targets” (coverage) and “performance indicators” (impact)**
  - This tracking tool will be applied to all relevant projects approved under GEF-3 at work program inclusion, project mid-term and at project completion.
  - The information from each project will be aggregated for portfolio-level analysis.
  - The progress towards meeting the targets and performance indicators will be published annually.

**I. Project General Information**

1. Project name: Integrated Management of Aquatic Resources in the Amazon Region (AquaBio)

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2. Country: Brazil

National Project:  X  Regional Project: \_\_\_\_\_ Global Project: \_\_\_\_\_

3. Name of reviewers completing tracking tool and completion dates:

	<b>Name</b>	<b>Title</b>	<b>Agency</b>
<b>Work Program Inclusion</b>	Maria Isabel Braga	Environmental Specialist, TTL	World Bank
	João Paulo Viana	Project Coordinator	Ministry of Environment, Brazil
<b>Project Mid-term</b>			
<b>Final Evaluation/project completion</b>			

4. Funding information:

GEF support: 7.39 million (of which 0.213 million refers to Block B resources)  
Co-financing: 9.95 million  
Total Funding: 17.34 million

5. Project duration: **Planned** 6 years **Actual** \_\_\_\_\_ years

6. a. GEF Agency:  UNDP  UNEP  **World Bank**  ADB  AfDB  
 IADB  EBRD  FAO  IFAD  UNIDO

6. b. Lead Project Executing Agency (ies): Ministry of Environment of Brazil (MMA)

7. GEF Operational Program:

- drylands (OP 1)
- coastal, marine, freshwater (OP 2)**
- forests (OP 3)
- mountains (OP 4)
- agro-biodiversity (OP 13)
- integrated ecosystem management (OP 12)
- sustainable land management (OP 15)

Other Operational Program not listed above:

8. Project Summary (one paragraph):

The proposed AquaBio Project aims at testing the development and implementation of an innovative approach to the conservation and sustainable use of aquatic ecosystems in three sub-basins that, together with the Floodplain Natural Resources Management Project (ProVárzea), will provide a representative sample of Amazonian aquatic ecosystems and problems that affect them. The lessons and results generated by the project will facilitate the mainstreaming of aquatic biodiversity concerns into production landscapes and sectors, and ensure that conservation and sustainable use of biodiversity is properly included in decision-making processes associated with the future establishment and operation of local watershed or sub-basin committees. The project will be implemented through the following four components: (1) Planning and Public Policy - objective is to ensure the institutional and financial sustainability of Action Programs integrated management of aquatic resources (APs) in three sub-basins of the Brazilian Amazon; (2) Demonstration Activities – objective is to develop demonstration activities targeting various productive sectors, providing inputs for the development of the APs; (3) Building Capacity – objective is to prepare stakeholders, especially local ones, to be able to actively participate in the formulation, implementation, and monitoring of strategies and action plans aimed at the conservation and sustainable use of aquatic resources in the Amazon Basin; and (4) Project Management, Monitoring and Evaluation (M&E), and Information Dissemination – objectives are to coordinate, manage, and monitor actions developed under the scope of the project, and to foster integration among the various components, as well as with other related projects and programs, to indicate the possible need for changes in project development, and to disseminate results at local, state, regional (Brazilian Amazon), national and international levels.

9. Project Development Objective:

The project's development objective is to support the mainstreaming of a multi-stakeholder, integrated management approach to the conservation and sustainable use of freshwater biodiversity in public policies and programs in the Brazilian Amazon River Basin. This would in part be achieved through the generation and dissemination of sub-regional experiences that promote and facilitate the implementation of conservation and sustainable use of freshwater biodiversity and water resources in the whole Amazon Basin.

10. Project Purpose/Immediate Objective:

To reduce threats to the integrity of freshwater ecosystems in three pilot sub-basins of the Brazilian Amazon, and assure the conservation and sustainable use of its freshwater biodiversity of global importance.

11. Expected Outcomes (GEF-related):

- Institutional arrangements and processes established in three sub-basins of the Brazilian Amazon, to support the adoption of an integrated approach to address priority issues and problems that affect the long-term conservation and sustainability of freshwater biodiversity, water resources, and the welfare of local communities;
- Demonstration activities to learn from and implement technologies and methodologies that support the mainstreaming of freshwater biodiversity concerns into relevant production sectors, developed in three sub-basins of the Brazilian Amazon;

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- Greater operational and decision-making capacity by institutions and civil society at local, state, and federal levels, to adopt and implement integrated management of aquatic resources; and
- Strengthened institutional capacity to manage and coordinate actions in the three sub-basins, monitor impacts, and disseminate the experiences generated by the project.

12. Production sectors and/or ecosystem services directly targeted by project:

12. a. Please identify the main production sectors involved in the project. Please put “P” for sectors that are primarily and directly targeted by the project, and “S” for those that are secondary or incidentally affected by the project.

Agriculture  
 Fisheries **P**  
 Forestry  
 Tourism  
 Mining  
 Oil  
 Transportation  
 Other (please specify): Water Resources

12. b. For projects that are targeting the conservation or sustainable use of ecosystems goods and services, please specify the goods or services that are being targeted, for example, water, genetic resources, recreational, etc:

1. Fish and other aquatic species (plants and animals)
2. Freshwater

**II. Project Landscape/Seascape Coverage**

13. a. What is the extent (in hectares) of the landscape or seascape where the project will directly or indirectly contribute to biodiversity conservation or sustainable use of its components?

<b>Targets and Timeframe</b>	<b>Foreseen at project start</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
<b>Project Coverage</b>			
<b>Landscape/seascape<sup>4</sup> area <u>directly</u><sup>5</sup> covered by the project (ha)</b>	3,994,100 ha		
<b>Landscape/seascape area <u>indirectly</u><sup>6</sup> covered by the project (ha)</b>	29,084,500 ha		

<sup>4</sup> For projects working in seascapes (large marine ecosystems, fisheries etc.) please provide coverage figures and include explanatory text as necessary if reporting in hectares is not applicable or feasible.

<sup>5</sup> Direct coverage refers to the area that is targeted by the project’s site intervention. For example, a project may be mainstreaming biodiversity into floodplain management in a pilot area of 1,000 hectares that is part of a much larger floodplain of 10,000 hectares.

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Explanation for indirect coverage numbers:

3,994,100 ha (direct coverage) represent the productive freshwater landscapes, including associated floodplains and riparian areas, under improved management in 3 sub-basins, with positive impacts on freshwater biodiversity. 29,084,500 ha (indirect coverage) represent the three project impact areas equivalent to portions of three sub-basins targeted by the Project.

13. b. Are there Protected Areas within the landscape/seascape covered by the project? If so, names these PAs, their IUCN or national PA category, and their extent in hectares.

	<b>Name of Protected Areas</b>	<b>IUCN and/or national category of PA</b>	<b>Extent in hectares of PA</b>
1.	Jau National Park	National Park	2,000,000
2.	Pico da Neblina National Park	National Park	1,200,000
2.	Amanã Sustainable Development Reserve	Sustainable Development Reserve	1,150,000
3.	Anavilhanas Ecological Reserve	Ecological Reserve	175,000
4.	Amazonas National Forest	National Forest	1,573,000
5.	Rio Negro Left Bank Environmental Protection Area	Environmental Protection Area	185,000
6.	Rio Negro Right Bank Environmental Protection Area	Environmental Protection Area	294,000
7.	Serra do Araça State Park	State Park	1,819,000
8.	Rio Negro South Sector State Park	State Park	20,000
9.	Rio Negro North Sector State Park	State Park	179,000

### **III. Management Practices Applied**

14.a. Within the scope and objectives of the project, please identify in the table below the management practices employed by project beneficiaries that integrate biodiversity considerations and the area of coverage of these management practices? Note: this could range from farmers applying organic agricultural practices, forest management agencies managing forests per Forest Stewardship Council (FSC) guidelines or other forest certification schemes, artisanal fisherfolk practicing sustainable fisheries management, or

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<sup>6</sup> Using the example in footnote 5 above, the same project may, for example, “indirectly” cover or influence the remaining 9,000 hectares of the floodplain through promoting learning exchanges and training at the project site as part of an awareness raising and capacity building strategy for the rest of the floodplain. Please explain the basis for extrapolation of indirect coverage when completing this part of the table.

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industries satisfying other similar agreed international standards, etc. An example is provided in the table below.

<b>Targets and Timeframe</b>	<b>Area of coverage foreseen at start of project</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
<b>Specific management practices that integrate BD</b>			
1. Co-management of aquatic resources (fisheries, turtles and other aquatic species) – Negro and Tocantins river sub-basin	To be determined in a participatory manner by end of PY01		
2. Management of aquatic resources associated with support to improved sustainable management of lands for agriculture (e.g. conservation agriculture through zero tillage) and ranching (Xingu and Tocantins)	To be determined in a participatory manner by end of PY01		
3. Conservation and restoration of riparian forests (Xingu)	To be determined in a participatory manner by end of PY01		
4. Management of access and sustainable use of ornamental fisheries resources (Negro river)	To be determined in a participatory manner by end of PY01		

14. b. Is the project promoting the conservation and sustainable use of wild species or landraces?

X Yes    \_\_\_ No

If yes, please list the wild species (WS) or landraces (L):

Species ( <i>Genus sp.</i> , and common name)	Wild Species (please check if this is a wild species)	Landrace (please check if this is a landrace)
1. Bony tongue ( <i>Arapaima gigas</i> , Pirarucu)	X	
2. Red-headed Amazon River Turtle ( <i>Podocnemis erythrocephala</i> , Irapuca)	X	
3. Six-Tubercled Amazon River Turtle ( <i>Podocnemis sextuberculata</i> , Iaçá)	X	
4. Tambaqui ( <i>Colossoma macropomum</i> , Tambaqui)	X	



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5. Amazon Manatee ( <i>Trichechus inunguis</i> , Peixe-boi)	X	
6. Giant South American River Turtle ( <i>Podocnemis expansa</i> , Tartaruga-da- amazônia)	X	
7. Cardinal tetra ( <i>Paracheirodon axelrodi</i> , Cardinal)	X	
8. Peacock bass ( <i>Cichla temensis</i> , Tucunaré)	X	
9. Black caiman ( <i>Melanosuchus niger</i> , Jacaré-açu)	X	
10. Brazil nut ( <i>Bertholletia excelsa</i> , Castanheira do Brasil)	X	
11. Sucupira ( <i>Bowdickia nitida</i> , Sucupira)	X	
12. Pau-cravo ( <i>Dicypellium caryophyllum</i> , Pau- cravo)	X	
13. Ingarana ( <i>Pithecellobium recemosum</i> , Ingarana)	X	
14. Mahogany ( <i>Swietenia macrophylla</i> , Mogno)	X	
15. Ucuuba ( <i>Virola surinamensis</i> , Ucuuba)	X	

Observation: this list includes only a sample of animal and plant species known to occur in the three target areas. The project will certainly promote the conservation and sustainable use of several more wild species, to be determined by end of PY01.

14. c. For the species identified above, **or other target species of the project not included in the list above (E.g., domesticated species)**, please list the species, check the boxes as appropriate regarding the application of a certification system, and identify the certification system being used in the project, if any. An example is provided in the table below.

Not applicable.

14. d. Is carbon sequestration an objective of the project?

Yes                       No

If yes, the estimated amount of carbon sequestered is: \_\_\_\_\_

**IV. Market Transformation and Mainstreaming Biodiversity**

15. a. **For those projects that have identified market transformation as a project objective**, please describe the project's ability to integrate biodiversity considerations into the mainstream economy by measuring the market changes to which the project contributed. The sectors and subsectors and measures of impact in the table below **are illustrative examples, only**. Please complete per the objectives and specifics of the project.

Not applicable.

15. b. Please also note which (if any) market changes were directly caused by the project.

### **V. Improved Livelihoods**

16. **For those projects that have identified improving the livelihoods of a beneficiary population based on sustainable use /harvesting as a project objective**, please list the targets identified in the logframe and record progress at the mid-term and final evaluation. An example is provided in the table below:

<b>Improved Livelihood Measure</b>	<b>Number of targeted beneficiaries (if known)</b>	<b>Please identify local or indigenous communities project is working with</b>	<b>Improvement Foreseen at project start</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
1. Ensured access and sustainable use of ornamental fisheries resources	To be determined by PY01	Ornamental fishery communities (indigenous and non-indigenous communities)	To be determined by PY01		
2. Reduction in conflict over access to and the sustainable use of fisheries resources	To be determined by PY01	Artisanal fishery communities (indigenous and non-indigenous communities)	To be determined by PY01		
3. Increased farm productivity	To be determined by PY01	Small farmer and indigenous communities	To be determined by PY01		

### **VI. Project Replication Strategy**

17. a . Does the project specify budget, activities, and outputs for implementing the replication strategy?

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Yes  No

17. b. Is the replication strategy promoting incentive measures & instruments (e.g. trust funds, payments for environmental services, certification) within and beyond project boundaries?

Yes  No

If yes, please list the incentive measures or instruments being promoted:

The project will develop and implement a financial sustainability strategy which includes identification and/or design of viable financial mechanisms/models to support financial sustainability beyond project boundaries and implementation period (e.g., public investment programs and funds, environmentally friendly certification schemes, trust funds, etc.). It will also develop and implement an action plan to make the relevant financial mechanisms fully operational.

17. c. For all projects, please complete box below. Two examples are provided.

<b>Replication Quantification Measure</b>	<b>Replication Target Foreseen at project start</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
1. Number of resource users adopting sustainable fisheries management practices	To be determined by PY1 (upon definition of demonstration activities replicable to other areas)		
2. Hectares of farm land under management practices that incorporate freshwater biodiversity considerations (e.g. with new areas set up for conservation and restoration of riparian forests or adopting conservation agriculture practices)	To be determined by PY1 (upon definition of demonstration activities replicable to other areas)		
3. Number of resource users adopting sustainable ornamental fisheries management practices	To be determined by PY1 (upon definition of demonstration activities replicable to other areas)		

**VII. Enabling Environment**

For those projects that have identified addressing policy, legislation, regulations, and their implementation as project objectives, please complete the following series of questions: 18a, 18b, 18c.

**An example for a project that focused on the agriculture sector is provided in 18 a, b, and c.**

18. a. Please complete this table at **work program inclusion for each sector** that is a primary or a secondary focus of the project. Please answer YES or NO to each statement under the sectors that are a focus of the project.

Sector	Fisheries	Other: Water Resources
<b>Statement: Please answer YES or NO for each sector that is a focus of the project.</b>		
Biodiversity considerations are mentioned in sector policy	YES	NO
Biodiversity considerations are mentioned in sector policy through specific legislation	YES	NO
Regulations are in place to implement the legislation	YES	NO
The regulations are under implementation	YES	NO
The implementation of regulations is enforced	Partially	NO
Enforcement of regulations is monitored	Partially	NO

18. b . Please complete this table at **the project mid-term for each sector** that is a primary or a secondary focus of the project. Please answer YES or NO to each statement under the sectors that are a focus of the project.

Sector	Fisheries	Other: Water Resources
<b>Statement: Please answer YES or NO for each sector that is a focus of the project.</b>		
Biodiversity considerations are mentioned in sector policy		
Biodiversity considerations are mentioned in sector policy		

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through specific legislation		
Regulations are in place to implement the legislation		
The regulations are under implementation		
The implementation of regulations is enforced		
Enforcement of regulations is monitored		

18. c. Please complete this table at **project closure for each sector** that is a primary or a secondary focus of the project. Please answer YES or NO to each statement under the sectors that are a focus of the project.

Sector	Fisheries	Other: Water Resources
<b>Statement: Please answer YES or NO for each sector that is a focus of the project.</b>		
Biodiversity considerations are mentioned in sector policy		
Biodiversity considerations are mentioned in sector policy through specific legislation		
Regulations are in place to implement the legislation		
The regulations are under implementation		
The implementation of regulations is enforced		
Enforcement of regulations is monitored		

**All projects please complete this question at the project mid-term evaluation and at the final evaluation, if relevant:**

18. d. Within the scope and objectives of the project, has the private sector undertaken **voluntary** measures to incorporate biodiversity considerations in production? If yes, please provide brief explanation and specifically mention the sectors involved.

An *example* of this could be a mining company minimizing the impacts on biodiversity by using low-impact exploration techniques and by developing plans for restoration of biodiversity after exploration as part of the site management plan.

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**VIII. Mainstreaming biodiversity into the GEF Implementing Agencies' Programs**

19. At each time juncture of the project (work program inclusion, mid-term evaluation, and final evaluation), please check the box that depicts the status of mainstreaming biodiversity through the implementation of this project with on-going GEF Implementing Agencies' development assistance, sector, lending, or other technical assistance programs.

	<b>Time Frame</b>	<b>Work Program Inclusion</b>	<b>Mid-Term Evaluation</b>	<b>Final Evaluation</b>
<b>Status of Mainstreaming</b>				
The project is not linked to IA development assistance, sector, lending programs, or other technical assistance programs.				
The project is indirectly linked to IAs development assistance, sector, lending programs or other technical assistance programs.		X		
The project has direct links to IAs development assistance, sector, lending programs or other technical assistance programs.				
The project is demonstrating strong and sustained complementarity with on-going planned programs.				

**IX. Other Impacts**

20. Please briefly summarize other impacts that the project has had on mainstreaming biodiversity that have not been recorded above.

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