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United Nations Development Programme

Project Document

Project title: Taking Deforestation out of the Soy Supply Chain		
Country: Brazil	Implementing Partner: Conservation International	Management Arrangements: CSO <i>Implementation</i>
UNDAF/Outcome: Strengthened institutional capacity to promote public policies for the sustainable management of natural resources and ecosystem services, and combating climate change and its adverse effects, and ensure the consistency and implementation of these policies.		
UNDP Strategic Plan Output: 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.		
UNDP Social and Environmental Screening Category: <i>Moderate Risk</i>		UNDP Gender Marker: GEN 2
Atlas Project ID/Award ID number: 00097304		Atlas Output ID/Project ID number: 00101093
UNDP-GEF PIMS ID number: 5896		GEF ID number: 9617
Planned start date: January 2017		Planned end date: December 2020
LPAC date: July 2016 (<i>exact date to be confirmed</i>)		
Brief project description: Rapid expansion of agriculture in the MATOPIBA region of Brazil is threatening habitats of globally significant biodiversity. Sustainable production is prevented by: suboptimal capacity to implement the new Forest Code; insufficient technical assistance and extension services to support farmers to adopt sustainable agriculture practices; a lack of transparency regarding land titles; and insufficient awareness within the supply chain as to the compliance of producers with relevant legislation. The project objective is to reduce deforestation in the agricultural frontier and to promote sustainable soy production in 6,000,000 ha of the MATOPIBA region. This is a child project under the UNDP-GEF 6 Integrated Approach Pilot (IAP) program, which takes a “supply chain” approach to tackling the root causes of deforestation from agriculture commodities. In five components, the project will achieve several outcomes: <ul style="list-style-type: none">• A shared vision on expansion of the production of agricultural commodities in the Matopiba region in combination with the conservation of biodiversity and ecosystem services through sustainable land management and the creation of sustainable productive landscapes.• Improved environmental management.• A system of support in the four focal areas prepared and implemented that will help farmers to adopt		

sustainable management of their properties and sustainable agricultural practices.

- Improved planning for expansion of production and conservation.
- Increased market demand for responsibly sourced soy.
- Financial sector engaged in the promotion of sustainable soy.

The project contributes to the following GEF focal area objectives: **BD-4**, Programme 9: Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors; **CCM-2**, Programme 4: Promote conservation and enhancement of carbon stocks in forests, and other land use, and support climate smart agriculture; and **SFM-1**, Programme 1: Integrated landuse planning; Programme 2: Identification and maintenance of high conservation value forests; Programme 3: Identifying and monitoring forest loss.

FINANCING PLAN

GEF Trust Fund <i>or</i> LDCF <i>or</i> SCCF <i>or</i> other vertical fund	USD 6,600,000
UNDP TRAC resources	USD
Cash co-financing to be administered by UNDP	USD
(1) Total Budget administered by UNDP	USD6,600,000

PARALLEL CO-FINANCING (*all other co-financing that is not cash co-financing administered by UNDP*)

<i>Fundação Brasileira de Desenvolvimento Sustent. – in-kind</i>	USD556,476
Conservation International – in cash	USD413,202
UNDP Brazil – in-kind	USD100,000
Sociedade Rural Brasileira-SRB in -kind	USD 235,000
Sociedade Rural Brasileira- SRB (Farmer Investments) in-kind	USD 10,000,000
Ministerio do Meio Ambiente (Ministry of Environment) (MMA)	USD 16,900,000
(2) Total co-financing	USD 28,204,678
(3) Grand-Total Project Financing (1)+(2)	USD 34,804,678

SIGNATURES

Signature: print name below	Agreed by Government	Date/Month/Year:

Signature: print name below	Agreed by UNDP	Date/Month/Year:

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List of Acronyms and Abbreviations

ABC	Agricultura de Baixo Carbono – Low Carbon Agriculture
ABC	Agência Brasileira de Cooperação – Brazilian Cooperation Agency
ABIOVE	Associação Brasileira das Indústrias de Óleos Vegetais Brazilian Association of Vegetable Oils Industries
AIBA	Associação de Agricultores e Irrigantes da Bahia
ANA	Agência Nacional de Água – National Water Agency
ANEC	Associação Nacional dos Exportadores de Cereais National Association of Cereal Exporters
APP	Área de Preservação Permanente – Permanent Preservation Area
ATER	Assistência Técnica e Extensão Rural Technical Assistance and Rural Extension
BAHIATER	Superintendência Baiana de Assistência Técnica e Extensão Rural Technical assistance and rural extension agency of the State of Bahia
BNDES	Banco Nacional para o Desenvolvimento – National Development Bank
CAR	Cadastro Ambiental Rural – Rural Environmental Registry
CBH GURGUEIA	Comitê da Bacia Hidrográfica Gurgueia – Gurgueia River Basin Committee
CBH PARNAIBA	Comitê da Bacia Hidrográfica Parnaíba – Parnaíba River Basin Committee
CBHSF	Comitê da Bacia Hidrográfica São Francisco - São Francisco River Basin Committee
CNRPPN	Confederação Nacional de Reservas Particulares do Patrimônio Natural National Confederation of Conservation areas on private lands
CODEVASF	Companhia de Desenvolvimento dos Vales de São Francisco e do Parnaíba Development Agency of the São Francisco and Parnaíba river basins
CONTAG	Confederação Nacional dos Trabalhadores na Agricultura National Confederation of Agriculture Workers
CPT	Comissão Pastoral da Terra
ECODATA	Agência Brasileira de Meio Ambiente e Tecnologia da Informação Brazilian Environment and Information Technology Agency
EMBRAPA	Empresa Brasileira de Pesquisa Agropecuária – Brazilian Agriculture and Cattle Ranching Research Agency
FAET	Federação da Agricultura e da Pecuária do Estado do Tocantins
FAPCEN	Fundação de Apoio à Pesquisa do Corredor de Exportação Norte
FBDS	Fundação Brasileira para o Desenvolvimento Sustentável
FETRAF	Federação dos Trabalhadores na Agricultura Familiar Federation of Laborers in Smallholder Agriculture
FSP	Full Sized Project
FUNAI	Fundação Nacional do Índio – National Foundation for Indigenous People
FUNATURA	Fundação Pro-Natura
IBAMA	Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis Brazilian Institute of the Environment and Renewable Natural Resources
ICMBio	Instituto Chico Mendes de Conservação da Biodiversidade Brazilian Institute of Biodiversity Conservation
INEMA	Instituto do Meio Ambiente e Recursos Hídricos/Bahia Institute of the Environment and Water Resources (Bahia)
INPE	Instituto Nacional de Pesquisa Espacial – National Space Research Institute
ISPN	Instituto Sociedade, População e Natureza Institute for Society, Population and Nature
MAPA	Ministério da Agricultura, Pecuária e Abastecimento – Ministry of Agriculture, Cattle Ranching and Supply
MATOPIBA	Maranhão-Tocantins-Piauí-Bahia
MI	Ministério de Integração – Ministry of Integration

MMA	Ministério do Meio Ambiente – Ministry of Environment
MPA	Ministério da Pesca e Aquicultura – Ministry of Fisheries and Aquaculture
MST	Movimento dos Trabalhadores Rurais dos sem-terra Movement of landless laborers
MPF	Ministério Público Federal – Federal Public Attorney’s Office
MCT	Ministério da Ciencia, Tecnologia e Inovação - Ministry of Science, Technology and Innovation
OEMAs	Órgãos Estaduais de Meio Ambiente – State Environment Agencies
PIR	Project Implementation Report
PMDBBS	Projeto de Monitoramento do Desmatamento dos Biomas Brasileiros por Satélite Monitoring Project of Deforestation in Brazilian Biomes
POPP	Programme and Operations Policies and Procedures
PPCDAM	Plano de Prevenção e Controle do Desmatamento na Amazônia Plan for the Prevention and Control of Deforestation in the Amazon
PPG	Project Preparation Grant
PRA	Programa de Regularização Ambiental Environmental Regularization Program
RPPN	Reserva Particular do Patrimônio Natural Conservation Area on Private Lands
RURALTINS	Instituto de Desenvolvimento Rural, Tocantins Rural Development Institute, Tocantins
SAGRIMA- MA	Secretaria de Agricultura, Pecuária e Pesca, Maranhão Agriculture, Cattle Ranching and Fisheries Secretariat, Maranhão
SDR-PI	Secretaria de Desenvolvimento Rural, Piauí Rural Development Secretariat, Piauí
SEAGRI-BA	Secretaria de Agricultura, Pecuária, Irrigação, Pesca e Aquicultura/Bahia Agriculture, Cattle Ranching, Irrigation, Fisheries and Aquaculture Secretariat of Bahia
SEAGRO-TO	Secretaria da Agricultura e Pecuário/Tocantins Agriculture and Cattle Ranching Secretariat of Tocantins
SEDR	Secretaria de Extrativismo e Desenvolvimento Rural Sustentável/MMA Extractivism and Sustainable Rural Development Secretariat/Ministry of Environment
SEMA-BA	Secretaria do Meio Ambiente-Bahia Environment Secretariat-Bahia
SEMA-MA	Secretaria do Meio Ambiente-Maranhão Environment Secretariat-Maranhão
SEMAR-PI	Secretaria Estadual do Meio Ambiente e Recursos Hídricos-Piauí State Environment and Water Resources Secretariat - Piauí
SEMARH-TO	Secretaria Estadual do Meio Ambiente e Recursos Hídricos-Tocantins State Environment and Water Resources Secretariat - Piauí
SENAR	Serviço Nacional de Aprendizagem Rural National Service for Rural Learning
SEPLAN-BA	Secretaria do Planejamento –Bahia – Planning Secretariat
SEPLAN-MA	Secretaria do Planejamento e do Orçamento – Maranhão – Planning Secretariat
SEPLAN-PI	Secretaria do Planejamento e do Orçamento – Piauí – Planning Secretariat
SEPLAN-TO	Secretaria do Planejamento e do Orçamento-Tocantins – Planning Secretariat
SFB	Serviço Florestal Brasileiro – Forestry Service
SICAR	Sistema de Cadastro Ambiental Rural – Environmental Rural Registry System
SRB	Sociedade Rural Brasileira (Brazilian Rural Society)
STAP	GEF Scientific Technical Advisory Panel
UNDP-GEF	UNDP-Global Environment Facility

II. DEVELOPMENT CHALLENGE

The global environmental problem

1. The projected growth of global population and the expected rise in per capita income are likely to increase, over the next decades, global demand for agricultural commodities. Brazil is one of the few countries in the world with the capacity to increase its production and satisfy this demand. It is among the largest producers of sugar cane, coffee, meat, orange and soybeans, due in part, to a significant expansion in recent years of the area under cultivation. For example, the area of soy under cultivation increased between 1990 and 2014 from 11.6 to 33 million hectares ¹. It is unlikely, however, that future demand for commodities can be absorbed through increased productivity, as productivity rates in Brazil are already among the world's highest. Based on recent trends, it is more likely that growing demand will be absorbed through expansion of the area under production. As the processing sector² committed itself, in 2006, to a moratorium on expansion of soy through conversion of native vegetation in the Amazon, expansion in recent years largely concentrated in the south of the country (Paraná and Rio Grande do Sul), Mato Grosso state and the region known as MATOPIBA (the abbreviation of the states of Maranhão, Tocantins, Piauí and Bahia).
2. Particularly, uncontrolled expansion of agricultural commodity in this region may pose a serious threat to the remaining vegetation of the Cerrado biome - the second largest one in South America³ - also extending into Bolivia and Paraguay, and the largest hotspot⁴ in the Western Hemisphere, which originally covered more than 2 million km² of the national territory (Figure 1). About half of the Cerrado has already been converted, and ongoing expansion of soy, beef, sugarcane, eucalyptus and cotton threatens the remaining native vegetation. In the MATOPIBA, where Cerrado's largest remnants are still preserved, deforestation occurred mainly in native areas instead of abandoned and degraded pastures. During the periods between 2000 to 2007 and 2007 to 2014, respectively, total agricultural expansion in the states of the MATOPIBA increased 61%, from 1114 km²/year to 1800km²/year.

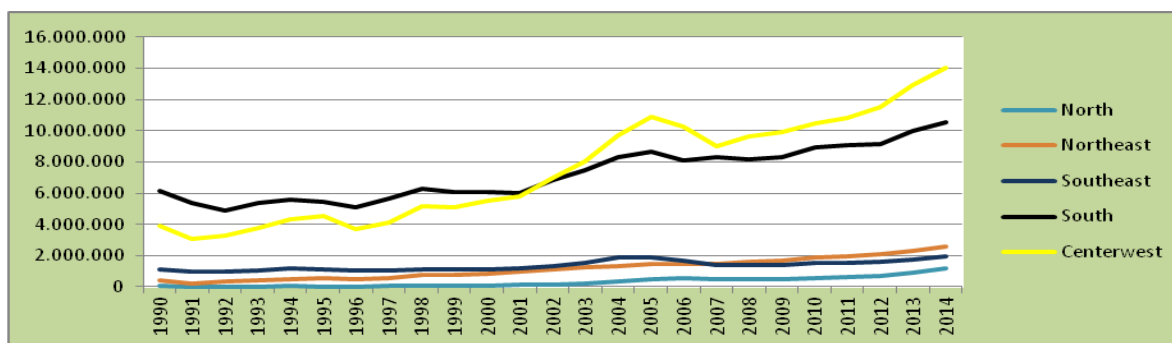


Figure 1. Area under cultivation of soy in the main geographical region in Brazil 1990 – 2014 (IBGE)

¹ <http://www.sidra.ibge.gov.br>

² Members of the Associação Brasileira das Indústrias de Óleos Vegetais - ABIOVE and the Associação Brasileira dos Exportadores de Cereais - ANEC

³ Brazilian official sources differ about this figure. Both the Brazilian Institute of Geography and Statistics (IBGE) and the Brazilian Institute of Environment and Renewable Natural Resources (IBAMA) use the figure presented in this document.

⁴ A **biodiversity hotspot** is a biogeographic region with significant levels of [biodiversity](#) that is under threat from humans. To qualify as a biodiversity hotspot a region must meet two strict criteria: it must contain at least 0.5% or 1,500 species of [vascular plants](#) as [endemics](#), and it has to have lost at least 70% of its primary vegetation.

3. The Cerrado is the largest biodiversity hotspot⁽⁵⁾ in the Western Hemisphere (Mittermeier *et al.* 2004). This hotspot also includes the headwaters of three of South America's major river basins (Amazon/Tocantins, São Francisco and Plata). It is home to an abundance of endemic species. It has 12,070 catalogued native plants species, 251 species of mammals and a rich avifauna comprising 856 species. Fish (800 species), reptile (262 species) and amphibian (204 species) diversities are also high.
4. In addition to its unique environmental aspects, the Cerrado has great social importance. Over 20% of the region consists of public lands, including indigenous lands, conservation areas, land reform settlements and lands of former slaves' communities. Many people depend on its natural resources for their subsistence. More than 220 species have known medicinal use, and a wide variety of native fruits are regularly consumed by local people and sold in urban centres. At the same time, the socioeconomic situation in the Cerrado is far from equitable, inclusive or respectful of nature. For instance, the Cerrado (including the MATOPIBA region as well) currently produces 30% of Brazil's Gross Domestic Product (GDP), but its Human Development Index (HDI) is lower than the national average.
5. However, largely due to the rapid expansion of agriculture and associated increase in deforestation rates, numerous species of plants and animals are threatened or at risk of extinction; only a small percentage of the Cerrado area is under legal protection (8.3% of its territory is legally protected). A considerable part of the remaining vegetation is fragmented, often in remnants that are unsustainable in terms of biodiversity conservation. Reliable data about deforestation and degradation are sparse. This region thus needs urgent action to ensure environmental sustainability and the well-being of its population. Please see Annex Q for more background information on soy.

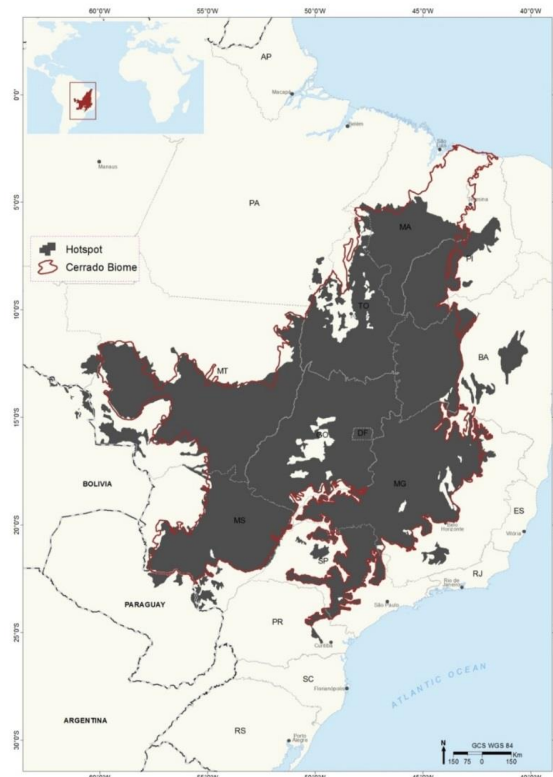


Figure 2. The Cerrado biome.

⁵ A **biodiversity hotspot** is a biogeographic region with significant levels of [biodiversity](#) that is under threat from humans. To qualify as a biodiversity hotspot a region must meet two strict criteria: it must contain at least 0.5% or 1,500 species of [vascular plants](#) as [endemics](#), and it has to have lost at least 70% of its primary vegetation

6. The **root causes** of the advancing frontier challenge can be divided into four main clusters: market; production; planning; and environmental management. The market, for many years, did not consider the rest of the supply chain on how commodities were produced and what kind social and environmental impacts were in place. For the production side, farmers did not have appropriated incentives for sustainable production and legal enforcement to some extent has failed. Planning and environmental management, as well, until now proved to be insufficient to avoid uncontrolled expansion and did not put into practice (i.e.) measures to determine in the landscape go and no-go areas for soy expansion. The sparse vegetation in the region is easily cleared for agricultural production in cheap and available land, making the MATOPIBA a favoured place for expansion for farmers moving from southern to northern Brazil. Local governments have very little experience and institutional capacity with the planning of landscapes.
7. Unsustainable practices are common in many places where soy and beef are produced and sourced. The volatility inherent in commodity sectors, coupled with low barriers to entry and low start up investments, often results in expansion in locations where governance and technical capacity may already be limited and cannot match the demands arising from the rapid increase in commodity production. Impacts on natural resources and ecosystem services are therefore often overlooked or left unaddressed. As commodity expansion often outpaces clear analysis and careful planning, the lack of environmental, social, and food safety protections pose significant environmental, development, and business risks, the need for sustainability improvements along and across supply chains is therefore clear.
8. In 2012, Brazil approved a new Forest Code ⁽⁶⁾, which created the Environmental Compliance Program (PRA) ⁷. This Program rescinds fines for illegal deforestation up to 22 July 2008 on the condition that the rural property is registered in the rural environmental registry (Cadastro Ambiental Rural – CAR), and the responsible farmer commits to restoration of illegally deforested areas. The CAR is an electronic registry of rural properties and information with respect to permanent preservation areas (Áreas de Preservação Permanente – APP) ⁽⁸⁾, so-called “Legal Reserves” ⁽⁹⁾ and forms the basis for monitoring and control and, hence, for combating illegal deforestation of native vegetation, as well as for the environmental and economic planning of rural properties ⁽¹⁰⁾.
9. In addition, in 2015, the Ministry of Agriculture (MAPA), launched the outline for a Plan for the Development of Matopiba, ⁽¹¹⁾ which consists of three objectives: (i) improve efficiency of logistics and infrastructure related to agriculture and cattle ranching; (ii) support innovation and technological development, and; (iii) strengthen and increase a rural middle class through the implementation of policies that promote social mobility and improve income, employment and professional capacity of farmers. Implementation of the Plan is managed by an inter-ministerial committee and representatives of the states of Maranhão, Tocantins, Piauí, Bahia, and representatives of four municipal governments and representatives of the private sector and civil society. Recent environmental policies and programmes now also offer the opportunity to address in this development plan sustainability concerns.

⁶ Law 12.651 of 25 May 2012

⁷ The Forest Code of 2012 rescinds fines for illegal deforestation until June 2008 on the condition that farmers register their farms in a rural environmental registry – Cadastro Ambiental Rural – CAR. The Forest Code establishes that each farm needs to keep a part of its area under natural vegetation, the so-called “Legal Reserve”: 50 to 80 percent of each farm in the Amazon, 35 percent of each farm in the Cerrado located in the Legal Amazon (the States of Acre, Amapá, Amazonas, part of Maranhão, Mato Grosso, Pará, Rondônia, Roraima and Tocantins) and 20 percent in all other regions and biomes. Farms also need to keep areas along streams and springs, as well as hill tops and steep hillsides under natural vegetation cover, so-called permanent protection areas or “Áreas de Proteção Permanente – APP”. Illegally converted APPs need to be restored, while illegally converted Legal Reserves may be restored or offset in areas outside the farm. These areas need to be identified in the registration in the CAR

⁸ riparian areas, springs, hilltops, mountain slopes, and mangroves

⁹ Legal Reserve (RLs) is parts of a rural property that must be set aside, depending on property size and location.

¹⁰ <http://www.car.gov.br/#/sobre>

¹¹ Decree n°. 8.447 of 6 May, 2015

The long term solution and barriers to its achievement

10. Brazil is a major agricultural commodities supplier, and is likely to play a significant role in fulfilling future global demands for commodities. In turn, this means that the agribusiness sector is likely to become increasingly important for national GDP. Therefore, the long term solution is to align the expansion of production with the conservation of native vegetation of the Cerrado biome and ensure minimum impact on the livelihoods of indigenous people and local communities, through sustainable production, defined here as production that is not only in compliance with social and environmental legislation but that also conserves soil and critical ecosystem services, supported by the new Forest Code. However, in order to take full advantage of the opportunities offered by the Forest Code and achieve the long term solution, there are several critical barriers which need to be overcome:

- **suboptimal capacity to implement the Forest Code.** As data for registration in the environmental registry is provided by property owners themselves, reliability of the data has been questioned (e.g. in Maranhão, more than 100% of private lands had been included in the SICAR, implying overlaps in properties registered). In addition, current capacity of state environment agencies to evaluate and approve deforestation-offsetting proposals and monitor their implementation is limited. Furthermore, compared to the monitoring of deforestation in the Amazon, the monitoring of deforestation in the Cerrado is less well developed and is therefore more difficult to regulate;
- **insufficient technical assistance and extension services to support farmers in the adoption of better management and sustainable production practices.** Farmers do not currently have the knowledge, skills or resources required to implement sustainable production practices;
- **lack of transparency about land titles and land grabbing of public or communal lands,** leading to unregulated expansion of agriculture and land-grabbing of public or communal lands, which also leads to conflict with local communities and prevents sustainable socioeconomic development. Although the difficult land tenure situation in Brazil will not be resolved by this initiative, transparency about where conflicts exist may be a first step in resolving them and in helping agribusiness to avoid associated risks;
- **insufficient information about the conditions under which production is taking place** means that packers, traders and retailers have difficulty knowing whether their suppliers are in compliance. Increased awareness from the market is putting pressure, in particular on meat packers, soy traders and retailers in general, to guarantee that production occurs, at least, in compliance with existing legislation. In the case of soy, one particular challenge in raising awareness regarding the impact of soy production on deforestation is that, although soy is present in many products, it is relatively invisible to consumers, unlike, for example, coffee or bananas. In addition, the animal feed sector, which is one of the main soy processing industries, is highly fragmented, which makes it difficult to come to agreement on minimum production requirements or price incentives for sustainably sourced soy.

Baseline scenario

11. Project target area:

12. The present initiative will focus on four so-called priority regions with a total size of almost 17 million hectares or 23% of the total Matopiba area, consisting of 29 municipalities with a total population of almost 1 million or 15% of the total Matopiba population. The selection of priority regions was based on concentration of production in the States of Maranhão, Bahia and Piauí. In Tocantins, the selection of the priority region was based on the level of production, as well as on potential for future growth in the Porto Nacional-region and because of the presence of a large trans-shipment complex in the municipality of Porto Nacional from where soy is loaded on trains to São Luis for export.

Table 1. Project target areas and municipalities

	REGION/MUNICIPALITY	AREA (in hectares)	POPULATION (2015)	SOY AREA (in hectares - 2014)
	MATOPIBA	73,173,972	6,285,170	3,361,133
MARANHÃO – BALSAS				
1	Alto Parnaíba	1,113,217.6	10,956	41,948
2	Balsas	1,314,173.3	92,144	168,274
3	Riachão	637,301.7	19,846	43,540
4	Tasso Fragoso	438,297.5	8,303	146,132
5	Loreto	35,684.0	11,871	31,404
6	Sambaíba	247,869.6	5,554	51,604
7	São Raimundo das Mangabeiras	352,152.5	18,406	15,162
TOCANTINS – PORTO NACIONAL				
8	Aparecida do Rio Negro	116,036.8	4,618	18,000
9	Chapada da Natividade	164,647.2	3,363	12,000
10	Monte do Carmo	361,667.4	7,535	27,000
11	Palmas	221,894.3	272,726	8,190
12	Porto Nacional	444,991.7	52,182	37,000
13	Santa Rosa do Tocantins	179,625.7	4,794	26,500
14	Silvanópolis	125,883.1	5,345	15,500
PIAUI – BOM JESUS				
15	Baixa Grande do Ribeiro	780,890.7	11,218	157,091
16	Ribeiro Gonçalves	397,896.2	7,151	65,820
17	Santa Filomena	528,543.8	6,153	48,485
18	Uruçui	841,190.8	21,011	111,407
19	Bom Jesus	546,918.1	24,327	66,401
20	Currais	315,665.8	4,845	44,770
21	Gilbués	349,495.8	10,514	37,131
22	Palmeira do Piauí	202,351.2	4,980	18,122
BAHIA – BARREIRAS				
23	Barreiras	753,815.2	153,918	143,743
24	Formosa do Rio Preto	1,590,175.0	25,372	372,020
25	Luis eduardo magalheas	424,504.6	79,162	167,322
26	Riachão das Neves	597,900.3	23,264	80,466
27	São desidério	1,511,639.7	32,640	279,158
28	Correntina	1,149,217.1	33,183	131,314
29	Jaborandi	999,459.3	9,225	59,092
	TOTAL	16,743,106	964,6006	2,424,596

13. The four priority areas still have 12 million hectares of native vegetation cover or 70% of the total area. However, over 70% of the area of soy production in the region is concentrated in these four areas. The whole MATOPIBA region has 77 conservation units, 32 of which (11 private reserves, 10 sustainable use areas and 11 full protection areas) are located in the focal areas with a total size of 2.2 million hectares. (see Annex M).
14. The rapid expansion of agriculture is causing several conflicts over land in the region. Of the more than 11,000 rural conflicts that occurred in Brazil between 2005 and 2014, almost 40% were in the Cerrado ⁽¹²⁾. In 2014, there were 121 conflicts in the Matopiba region over land tenure (757 at the national level), involving over 9000 families ⁽¹³⁾.
15. The region is supported by a number of projects with goals similar to the present initiative. These include national and international projects to encourage registration of properties in the environmental registry and

¹² Gonçalves, Paulo Rogerio (). O Matopiba e o desenvolvimento “destrutivista do Cerrado. un-published paper, Associação Alternativa para Pequena Agricultura

¹³ <http://www.cptnacional.org.br/index.php/component/jdownloads/send/4-areas-em-conflito/2390-areas-em-conflito-2014>

compliance with the forest code, as well as national and international initiatives to promote sustainable development in the region.

16. Several initiatives are under preparation or being implemented to improve monitoring of deforestation; for example, satellite-based monitoring of deforestation of Brazilian biomes (Projeto de Monitoramento do Desmatamento dos Biomas Brasileiros por Satélite -PMDBBS), an initiative of the government with support from UNDP, supports the strengthening of the government's capacity to monitor conversion of native vegetation in the Caatinga, Cerrado, Atlantic Forest, Pampa and Pantanal biomes.
17. Three of the four states receive support from the Amazon Fund financed until now by the Norwegian and German Governments and the national oil company Petrobrás and administered by the national development bank (BNDES). This fund supports actions to prevent and combat deforestation and to promote conservation and sustainable use, including the management of public forests and protected areas; command and control actions; zoning and land use planning; sustainable forestry.
18. In addition to these projects supported by the Fundo Amazônia, there are a number of World Bank loans with relevance to the present initiative, including The Brazil Cerrado Climate Change Mitigation Trust Fund, supported by the Department for Environment Food and Rural Affairs of the British Government. Of great relevance is also *the Reduction of Greenhouse Gases Emission in Agriculture- Program* – the ABC Program. This program administered by the national development bank (BNDES) seeks –among others objectives- to reduce greenhouse gas emissions from agriculture and cattle ranching and deforestation. Please see Annex M for more details on the protected land zones; and Annex P for additional background on each target area.

Consistency with national priorities

19. This project will contribute to several CBD Aichi Targets; the following targets in particular:
 - **4:** By 2020, at the latest, Governments, business and stakeholders at all levels have taken steps to achieve or have implemented plans for sustainable production and consumption and have kept the impacts of use of natural resources well within safe ecological limits.
 - **5:** By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced.
 - **7:** By 2020, areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity.
 - **11:** By 2020, at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes.
 - **14:** By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable.
 - **15:** By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification.
20. In line with the above, the project will support Brazil with the successful implementation of their National Biodiversity Strategy and Action Plans, in particular with targets:

- 4. By 2020, at the latest, governments, private sector and stakeholders at all levels have taken steps to achieve or have implemented plans for sustainable production and consumption to mitigate or prevent negative impacts from the use of natural resources
- 5. By 2020, the rate of loss of native habitats is reduced by at least 50% (in comparison with the 2009 rate) and, as much as possible, brought close to zero, and degradation and fragmentation is significantly reduced in all biomes.
- 7. By 2020, the incorporation of sustainable management practices is disseminated and promoted in agriculture, livestock production, aquaculture, silviculture, extractive activities, and forest and fauna management, ensuring conservation of biodiversity
- 11. By 2020, at least 30% of the Amazon, 17% of each of the other terrestrial biomes, and 10% of the marine and coastal areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through protected areas foreseen under the SNUC Law and other categories of officially protected areas such as Permanent Protection Areas, legal reserves, and indigenous lands with native vegetation, ensuring and respecting the demarcation, regularization, and effective and equitable management, so as to ensure ecological interconnection, integration and representation in broader landscapes and seascapes.
- 14. By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, traditional peoples and communities, indigenous peoples and local communities, and the poor and vulnerable.
- 15. By 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced through conservation and restoration actions, including restoration of at least 15% of degraded ecosystems, prioritizing the most degraded biomes, hydrographic regions and ecoregions, thereby contributing to climate change mitigation and adaptation and to combatting desertification.

21. The project will also support the achievement of several Sustainable Development Goals, such as the following:

- **2.3:** By 2030, double the agricultural productivity and incomes of small-scale food producers, in particular women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets and opportunities for value addition and non-farm employment
- **2.4:** By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality
- **5.a:** Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws
- **12.2:** By 2030, achieve the sustainable management and efficient use of natural resources
- **12.6:** Encourage companies, especially large and transnational companies, to adopt sustainable practices and to integrate sustainability information into their reporting cycle
- **12.a:** Support developing countries to strengthen their scientific and technological capacity to move towards more sustainable patterns of consumption and production

- **15.2:** By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally
 - **15.9:** By 2020, integrate ecosystem and biodiversity values into national and local planning, development processes, poverty reduction strategies and accounts.
22. The Project is also consistent with the national climate change policy (law 12.187 of 29 December 2009) and the National Climate Change Plan (1 December 2008), in particular with the objectives to: Seek sustained reduction of deforestation rates in all biomes, including a reduction of 80% in the deforestation rates in the Amazon; and the elimination of net loss of the forest cover;
 23. The present initiative is well aligned with the national REDD+ strategy (act MMA, no. 370 of 2 December 2015) which seeks to contribute to climate change mitigation through the elimination of illegal deforestation, conservation and the restoration of forest ecosystems and the development of a sustainable low-carbon forest economy capable of generating economic, social and environmental benefits.
 24. The current initiative is furthermore in line with the Sustainable Cerrado Initiative which is supported by GEF and implemented by the World Bank. Its objective is to promote the conservation of the biome's biodiversity and improve the management of its environmental resources, through: (i) the creation of 2 million hectares in conservation areas; (ii) support for the sustainable use of its natural resources through training of farmers and the implementation of 12 initiatives based on traditional knowledge; (iii) institutional strengthening and the formulation of new policies.
 25. It is also in line with the earlier mentioned Plan of aCtion for the Prevention and Control of Deforestation and Forest Fires in the Cerrado (PPCerrado) and with the proposed amendment in the national Constitution to include the Cerrado and Caatinga biomes as national patrimony.

III. STRATEGY

Proposed alternative scenario

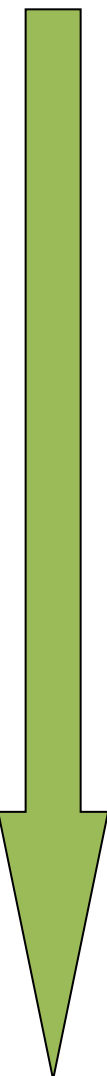
26. If the baseline scenario continues, expansion of soy production is likely to threaten existing remnants of forest in the MATOPIBA region, including remnants that are priority areas in terms of biodiversity conservation or the continuation of ecosystem services. In addition, undirected expansion may also cause conflicts with traditional communities whose livelihoods depend on access to land and natural resources in the region. An alternative scenario is proposed, whereby the region could continuously be an important place for soy production in the country without damaging local biodiversity and populations.
27. The present project is seeking to reduce deforestation in the agricultural frontier and to promote sustainable soy production in the MATOPIBA region located in the Southeast of Maranhão, the southwest of Piauí, the west of Bahia and central Tocantins. To vastly reduce or take deforestation out of commodity agriculture supply chains, production has to come from areas that do not contribute to deforestation. The Integrated Approach Program's Theory of Change (of which this project forms a key part) builds on the notion that if the right lands (agriculture lands, degraded lands, etc.) are available and accessible for production, and if forestlands are not accessible, agriculture expansion and growth can be achieved without contributing to deforestation.

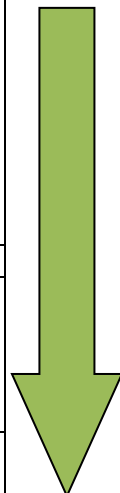
Project outcomes, components and Theory of Change

28. The objective of the proposed project is as follows: **To reduce the threat to biodiversity that the advancing agricultural frontier is posing in the Matopiba region, through a supply chain approach that solves the underlying root causes of deforestation from soy.**
29. The project is in line with the following GEF-6 focal area objectives:
- Biodiversity Objective 4, Programme 9, Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors: specifically, Outcome 9.1, by increasing the area of productive landscapes that integrate sustainability criteria into their management, and Outcome 9.2, by incorporating biodiversity and forest cover considerations into national and subnational agriculture commodity policies.
 - Climate Change Mitigation Objective 2, Programme 4, Promote conservation and enhancement of carbon stocks in forests, and other land use, and support climate smart agriculture: contributing to both Outcome A and Outcome B by accelerating the adoption of management practices that reduce GHG emissions from land use change and deforestation, and supporting the development and implementation of model policy, planning and regulatory frameworks that foster low GHG development from agriculture commodities
 - Sustainable Forest Management Objective 1, Programme 1, Integrated landuse planning; Programme 2, Identification and maintenance of high conservation value forests; Programme 3, Identifying and monitoring forest loss: contributing to both Outcomes 1 and 2 on cross-sector policy and planning approaches at appropriate governance scales and innovative mechanisms to avoid the loss of high conservation value forest.
30. The project is in line with the overall IAP, whose program goal is to implement a supply chain approach to solve underlying root causes of deforestation from agriculture commodities. Focusing on a specific component of sustainability – deforestation – strengthens the effectiveness of the Program and allows for the Program's partners to find clear coordination points.

31. The project will be composed of five complementary components to address the above barriers.
32. The successful completion of the project should lead to the following outcomes in contribution to the overall project outcome:
- A shared vision on expansion of the production of agricultural commodities in the Matopiba region in combination with the conservation of biodiversity and ecosystem services through sustainable land management and the creation of sustainable productive landscapes.
 - Improved environmental management.
 - A system of support in the four focal areas prepared and implemented that will help farmers to adopt sustainable management of their properties and sustainable agricultural practices.
 - Improved planning for expansion of production and conservation.
 - Increased market demand for responsibly sourced soy.
 - Financial sector engaged in the promotion of sustainable soy.
 - Project coordinated and lessons learned and disseminated.

Table 2. Theory of Change and assumptions

<p>If all properties are registered in the CAR, then they are, in principle, in compliance with the Forest Code on the condition that farmers submit a proposal for the restoration of illegally deforested riparian conservation areas or for the restoration or offset of illegally deforested legal reserves.</p> <p>(Forest Code, Law 12.651 of 25 May 2012) and subject to monitoring E.g.: Assunção, Juliano; Gandour, Clarissa; Rocha, Rudi, (2015). Deforestation slowdown in the Brazilian Amazon: prices or policies. In: Environment and Development Economics Volume 20 / Issue 06 / December 2015, pp 697-722. Cambridge University Press 2015</p>	
<p>If supply of seeds and seedlings is secured and if better and cheaper restoration techniques are available, then farmers are more likely to invest in ecologically responsible restoration of illegally deforested areas.</p> <p>E.g.: IPEA (2015). Diagnóstico da Produção de Mudanças Florestais Nativas no Brasil. Relatório de Pesquisa</p>	
<p>If all properties –and native vegetation on them- are duly registered and mapped, then it is possible to plan restoration of illegally deforested areas or offset of legal reserves in such a way that remnants are connected and ecological corridors are created, thus increasing ecological sustainability, the protection of critical ecosystem services and resilience of the productive landscape against climate changes.</p> <p>E.g.: Silva, J.A.A.; Nobre, A.D.; Manzatto, C.V.; Joly, C.A.; Rodrigues, R.R. Skorupa, L.A.; Nobre, C.A.; Ahrens, S.; May, P.H.; Sá, T.D.A.; CUNHA, M.C.; RECH FILHO, E.L. (2011). O Código Florestal e a Ciência: Contribuições para o Diálogo. Sociedade Brasileira para o Progresso da Ciência / Academia Brasileira de Ciências – São Paulo SBPC;</p> <p>Beier, Paul & Noss, Reed F. (1998). Do Habitat Corridors provide connectivity? In: Conservation Biology, Volume 12, Issue 6, pp1241-1252</p>	
<p>If public and private financial and credit institutions would create mechanisms that would provide better loan conditions for sustainable production, then farmers would have a tangible incentive to comply with sustainable production conditions</p> <p>E.g.: Tanentzap AJ, Lamb A, Walker S, Farmer A (2015) Resolving Conflicts between Agriculture and the Natural Environment. PLoS Biol 13(9): e1002242. doi:10.1371/journal.pbio.1002242</p>	
<p>If farmers know about and are trained in better farm management and low-carbon techniques that will reduce costs and impacts, then they will apply them and reduce the impact of their production on the environment</p> <p>E.g.: Mônica S. S. de M. Costa; Laércio A. Pivetta; Luiz A. de M. Costa; Laerte G. Pivetta; Gustavo Castoldi; Fábio Steiner. (2011). Atributos físicos do solo e produtividade do milho sob sistemas de manejo e adubações/ Soil physical attributes and corn yield as affected by soil managements and fertilization. In Revista brasileira de Engenharia Agrícola e Ambiental</p>	
<p>Land conflicts, especially conflicts between soy farmers and communities or traditional peoples, are a potential corporate risk for traders. If those conflicts are identified and made transparent, then the private sector together with the local public sector, have an increased interest in resolving those conflicts</p> <p>E.g.: Swiss Peace (2015). Agribusinesses: Risks and Impacts in Conflict-Affected Areas. Background Paper: on:</p>	

http://www.swisspeace.ch/fileadmin/user_upload/Media/Publications/Journals_Articles/Economy	
<p>If degraded areas that are suitable for the production of agricultural production are properly identified, then expansion of production could be directed towards these areas and expansion could occur without additional deforestation or conversion of native vegetation</p> <p>E.g.: Lima, Rodrigo C.A.; Nasser, André; Harfuch, Leila; Chiodi, Luciane; Antoniassi, Laura; Moreirea, Marcelo. (2012). Agricultura de Baixo Impacto: Construindo a Economia Verde Brasileira.</p> <p>An example is the zoning and planning of sugar cane production. See</p> <p>https://www.embrapa.br/busca-de-produtos-processos-e-servicos/-/produto-servico/1249/zoneamento-agroecologico-da-cana-de-acucar</p>	
<p>If public and private financial and credit institutions would create mechanisms (financial transactions) that would provide better loan conditions for sustainable production, then farmers would have a tangible incentive to comply with sustainable production conditions</p> <p>Assunção JC, Gandour C, Rocha R (2013). Does credit affect deforestation? Evidence from rural credit policy in the Brazilian Amazon. Climate Policy Initiative (CPI). PUC-Rio. 50p.</p>	
<p>If sustainability of production in the Matopiba region would be recognized by the market (demand), then farmers in the region or in other regions have an incentive to apply low-impact sustainable production practices.</p>	
<p>If these conditions are in place then we will be able to considerably reduce deforestation in the supply chains.</p>	

33. The main hypothesis for this initiative is that expansion of soy production can be obtained with minimum negative impact on the native vegetation of the Cerrado biome or on the livelihoods of traditional peoples and communities. It is assumed that putting into practice an integrated approach along soy supply chain, by taking advantage of increasing responsible demand, commitment of traders and awareness of the market and end-consumers, it will provoke behavioural changes towards the production side.
34. To achieve that, an important first step will be the implementation of the existing environmental legislation, i.e. the Forest Code, which guarantees conservation of at least 20% of native vegetation on private properties in the States of Bahia and Piauí and until 35% in the States of Maranhão and Tocantins.
35. A second step is the creation of a local private-public vision about how the region should absorb better land-use planning, enabling local governments to direct production to areas where the impact is relatively small in ecological and/or social terms. For example, if the production of commodities were directed to degraded areas, expansion of production could occur without additional deforestation. In addition, restoration of illegally cleared lands could be planned in such a way that it would connect existing remnants, thus increasing overall connectivity and ecological sustainability, or in order to protect strategic ecosystem services. Finally, better management and production practices will reduce the impact of production itself on existing biodiversity and, hence, increase opportunities for the creation of sustainable production areas.

36. The diagram below describes the Theory of Change proposed in Table 1.

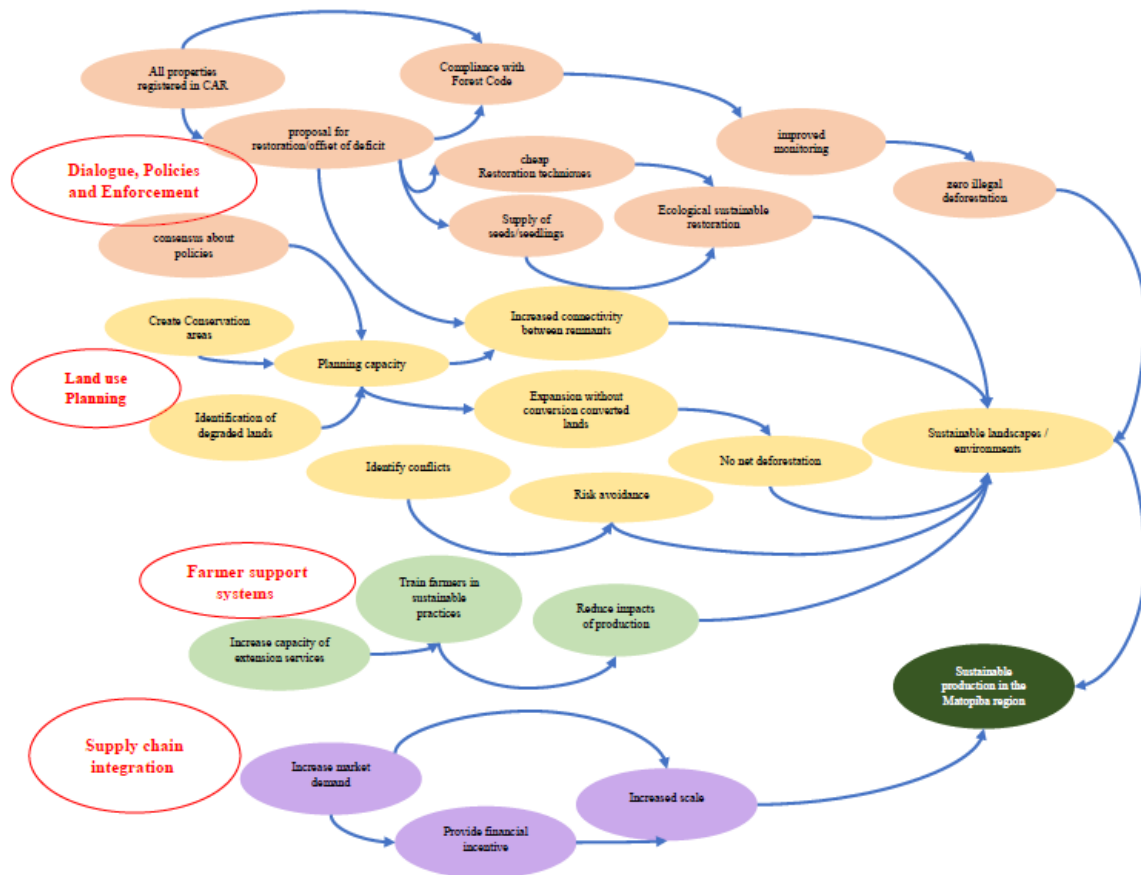


Figure 3. The Theory of Change for the project

Incremental cost reasoning and expected baseline contributions

37. Without the proposed intervention, expansion of soy production is likely to threaten existing remnants, including remnants that are priority areas in terms of biodiversity conservation or the continuation of ecosystem services. In addition, undirected expansion may also cause conflicts with traditional communities whose livelihoods depend on access to land and natural resources in the region.
38. The investment from GEF will support interventions that ensure that commodities production does not lead to deforestation and that it encourages conservation activities, in two focal landscapes ('areas') in the agricultural frontier in Brazil's Cerrado. Compared to the many isolated initiatives to promote more sustainable production, the present initiative will encourage sustainable production at landscape level, including the restoration of degraded lands, agricultural intensification and the creation of conservation corridors. In addition, this initiative will involve all parties in the soy supply chain and, hence link farmers, traders, processing industries and ultimately consumers in efforts to promote sustainable production and reduce conflict, with significant reduction of deforestation of native vegetation in the Cerrado.

39. There are a number of relevant projects implemented in the MATOPIBA region which have similar goals to this project. These include national and international projects to encourage registration of properties in the environmental registry and compliance with the forest code, as well as national and international initiatives to promote sustainable development in the region. A summarized list of these initiatives are presented in Table 3.

Table 3. List of initiatives with goals and development challenge issues similar to the present project

Identification	Total budget and source of funding	Description	Incremental reasoning for the proposed project
<i>CAR Tocantins Legal</i> SEMARH/NATURATINS	BRL 43.6 M Amazon Fund BNDES	Implementation of the Rural Environmental Registry (CAR), decentralization of environmental management system of municipalities, and development of a sustainable forestry production pole.	This will be additional to obtain compliance with the Forest Code in the whole Tocantins state, beyond those targeted municipalities of the current project.
<i>CAR Bahia</i> SEMA/ INEMA.	BRL 31.7 M Amazon Fund BNDES	Implementation of the CAR (focus on small-scale farmers, reform settlements and traditional communities), and trainings to municipal governments.	This will be additional to obtain compliance with the Forest Code in the whole Bahia state, beyond those targeted municipalities of the current project.
<i>Maranhão Sustentável</i> SEMA	BRL 20.9 M Amazon Fund BNDES	Environmental regularization, mobilization of farmers and awareness on CAR, support to restoration plans, enhancement of the environmental management, and monitoring capacity of SEMA.	Although focused in the Amazon portion of The Maranhão state, this initiative will increment awareness on CAR along the whole state.
<i>Sustainable Growth and Social Inclusion Development Policy Loan in Piauí</i>	USD 200 M World Bank	Land tenure security, employment, income growth for subsistence and small-scale agriculture, sustainable agriculture, water resources management and rural fire prevention, control and combat, education and employment opportunities for vulnerable youth, health attention to the poorest and most vulnerable groups, increased efficiency in public expenditure management, and results-based monitoring.	This initiative meets the project expected outcome in developing safeguards for traditional lands in the MATOPIBA.
Cerrado Climate Change Mitigation Trust Fund: 1) ProCerrado Federal, 2 nd phase 2) Rural Environmental Registry and Fire prevention in Bahia 3) Rural Environmental Registry and Fire prevention in Piauí 4) Development of Systems to Prevent Forest Fires and Monitor Vegetation	£10 M Supported by DEFRA/UK Administered by the World Bank	Divided into the five subprojects below: 1) Ministry of Environment's capacity (integrated management of forest fires and registration of rural properties), action plan for the prevention and control of deforestation and forest fires in the Cerrado, legal compliance of small holders in Tocantins and Maranhão, prevention and combat to forest fires in conservation units.	This initiative has synergies with one of the project global benefits to reduce GHG emission from Cerrado deforestation, specifically through legal compliance with the Forest Code in Bahia and Piauí.

Identification	Total budget and source of funding	Description	Incremental reasoning for the proposed project
<p>Cover in the Brazilian Cerrado</p> <p>5) Support for technical assistance for the World Bank</p>		<p>2) Rural landholder's compliance with the Forest Code/CAR; promotion of sustainable productive activities; strengthening of municipal governments' capacity to prevent and control forest fires.</p> <p>3) Rural landholder's compliance with the Forest Code/CAR; promotion of sustainable productive activities; strengthening of municipal governments' capacity to prevent and control forest fires.</p> <p>4) Capacity of Brazil's institutional to monitor deforestation, provide information on fire risks and estimate related GHG emissions in the Cerrado.</p> <p>5) Analytical work, technical assistance and training necessary for the Ministry of Environment and its partners to achieve the goal of mitigating Climate Change in the Cerrado.</p>	
FIP. Environmental Regularization of Rural Lands in the Cerrado of Brazil	USD 49.98 M Strategic Climate Fund	Ministry of Environment and nine state environment agencies' capacities to receive, analyze and approve rural environmental registry entries in the Cerrado, and links to National Environmental Registry System (SICAR).	This initiative is in line with one of the project's main instruments to scale up the number of rural properties registered in the SICAR in the Matopiba region.
<p>Sustainable Production in Areas Previously Converted to Agricultural Use Project for Brazil</p> <p>SENAR (<i>Serviço Nacional de Aprendizagem Rural</i>)</p>	USD 11.3 M World Bank	Low carbon emissions agricultural technologies, training courses, and field technical assistance in Cerrado states.	This initiative will collaborate with the dissemination of low-carbon techniques in agriculture and other associated technologies.
Reduction of Greenhouse Gases Emission in Agriculture (ABC Program)	c.\$130,000,000 (variable) BNDES	Loans to reduction of GHG emissions from agriculture, restoration of degraded lands, zero-tillage methodologies, integration between agriculture, forestry and cattle ranching, environmental compliance of rural properties.	This initiative will collaborate with the dissemination of low-carbon techniques in agriculture and how to access credit to do it.

Innovativeness, sustainability and potential for scaling up

40. The innovative approach of the “Brazil child” project comes from linking the implementation of Brazil’s Forest Code in targeted landscapes with a “whole supply chain approach” for soy production. This integration of the different stages will ensure that the success of the Forest Code interventions leads to impact further along the supply chain. Furthermore, rather than being an isolated project, the coordination and alignment of the Brazil project activities with the broader IAP (linking project-based production-related activities with the activities in the Production project, for example), is an innovative way to ensure real, longlasting and largescale impact on the sustainability of the soy supply chain. Specific actions within the project are also considered innovative, including the development of long-term financial products such as risk management tools and mechanisms for sustainable production.
41. The project’s approach is considered highly sustainable. First, the project will generate greater awareness within the market about the impact that agricultural production in Brazil has had and may still have, combined with a commitment of traders to ensure that their suppliers are in compliance with existing legislation, which will incentivise more environmentally responsible practice in the long term; second, the registry of several thousand additional properties on the CAR will facilitate the control and prevention of illegal deforestation of native forest long into the future, under government policy and regulations, rather than just within the project. The project’s investment to improve policy, develop and implement land use management plans, develop and institutionalise support systems and communications platforms, and establish conservation areas, will also help to ensure continued improved practices and conservation of priority forest beyond the project.
42. Testing and demonstrating sustainable agriculture production in two focal landscapes will provide the examples required for replication and scaling up of this project’s interventions, both to other regions and within other agricultural commodity supply chains. Lessons learned will be disseminated to other relevant initiatives, including the other projects within the IAP, through the Adaptive Management and Learning child project.

IV. RESULTS AND PARTNERSHIPS

Project strategy and expected results

43. The present project is seeking to reduce the threat to biodiversity, pressures on high conservation value forests, and GHG emissions via restoration, that the advancing agricultural frontier is posing in the MATOPIBA region, located in the Southeast of Maranhão, the southwest of Piauí, the west of Bahia and central Tocantins. This is in line with the overall IAP, whose program goal is to implement a supply chain approach to solve underlying root causes of deforestation from agriculture commodities. Focusing on a specific component of sustainability – deforestation – strengthens the effectiveness of the Program and allows for the Program's partners to find clear coordination points. To vastly reduce or take deforestation out of commodity agriculture supply chains, production has to come from areas that do not contribute to deforestation. The Program's Theory of Change builds on the notion that if the right lands (agriculture lands, degraded lands, etc.) are available and accessible for production, and if forestlands are not accessible, agriculture expansion and growth can be achieved without contributing to deforestation.
44. In order to reduce the threat to biodiversity pressures on high conservation value forests, and GHG emissions via restoration, the project will work with local governments and soy producers to implement existing environmental legislation, in particular the Forest Code, and planning tools to ensure that expansion of soy production is directed towards already converted areas and that high value biodiversity areas are conserved. In addition, the project will engage other sectors of the supply chain, in particular of soy, but where relevant also of beef, to increase demand from processing industries, retailers and end-consumers for sustainably sourced agricultural commodities and to influence the financial and banking sectors in supporting sustainable production.
45. Some activities will cover all four focal areas (for example the identification of areas for expansion), others will, due to budget constraints, only involve approximately 10 municipalities in two of the focal areas. Final selection of the two regions and the municipalities will be done during the inception phase. Selection criteria are expected to include: native vegetation cover; soy production; environmental management capacity existent; extent of degraded lands that may be converted into arable land for the production of commodities; threats to critical ecosystem services or others. Based on an initial assessment, the most likely selection includes five municipalities in the Tocantins region and five municipalities in the Bahia region.
46. To achieve the project's objective, the project is divided into five components: (i) Dialogue, policies and enforcement; (ii) Farmer support systems; (iii) Land use planning; (iv) Supply chain integration; and (v) Knowledge management and M&E. While the Commodities Integrated Approach Pilot in the other three participating countries (Indonesia, Liberia and Paraguay) is divided along the three sectors of the supply chains (production, demand and commercial and financial transactions), it was decided that for soy in Brazil, the project would include all sectors in one proposal.
47. **Component 1 (Dialogue, Policies and Enforcement).** This component will provide support for the mobilization and engagement of public and private partners in defining a vision for the development of the region and for the implementation of existing environmental legislation, in particular the Forest Code of 2012.
48. **Outcome 1.1. A shared vision on expansion of the production of agricultural commodities in the Matopiba region in combination with the conservation of biodiversity and ecosystem services through sustainable land management and the creation of sustainable productive landscapes.**
49. *Output 1.1.1.* A forum (participation of women and men) created for dialogue and discussion about expansion of the production of agricultural commodities, conflicts over land, socioeconomic impacts, deforestation and environmental impacts. The purpose of this forum is not to compete with the inter-ministerial committee of the Plan for the Development of MATOPIBA. Instead, this forum is expected to provide complementary views

from government, the private sector and civil society and focus on the four focal areas around Balsas, Bom Jesus, Barreiras and Porto Nacional/Palmas and on avoiding potential negative impacts of expansion of production. Activities will include a consultancy to identify main stakeholders and to identify the objectives and agenda for this forum.

50. *Output 1.1.2. Proposals for public policies and actions prepared to avoid potential negative impacts of expansion of the production of agricultural commodities on livelihoods of local communities and/or native vegetation, biodiversity and ecosystem services.* Under this output, proposals from the above forum will be detailed and submitted to local, state and federal governments and the inter-ministerial committee of the Plan for the Development of Matopiba.

51. Outcome 1.2. Improved environmental management.

52. *Output 1.2.1. The rural Environmental Registry (CAR) in 10 focal municipalities implemented.* In order to support the implementation of the environmental registry in 10 municipalities, located in Tocantins (Palmas, Porto Nacional, Monte do Carmo, Silvanópolis and Santa Rosa do Tocantins) and Bahia (Formosa do Rio Preto, Riachão das Neves, Barreiras, Luis Eduardo Magalhães, São Desidério), the project will support the preparation of a reference base of permanent protection areas in private lands and land use (1:20:000) in the MATOPIBA region as a basis for assessment by environment agencies of compliance proposals and Barreiras and Palmas to assist farmers and in particular smallholders interested in the registration of their property. These “service points” will need to be established in centers known to and trusted by all farmers. The project will, therefore, collaborate with AIBA in Barreiras and FAET in Tocantins. In addition to the establishment of the “service points”, the project will support the organization of field campaigns to reach remote farms and smallholders in order to inform them about the environmental legislation and help them to comply with the Forest Code.

53. *Output 1.2.2. The restoration-supply chain is strengthened and structured in two of the four focal areas in MATOPIBA.* Farmers who need to restore permanent protection areas or the few farmers who might opt for restoration of their legal reserve - instead of seeking opportunities to offset their legal reserve deficit - will have difficulty to find native seeds and seedlings and technical assistance to help them to prepare and implement restoration plans. The project will, therefore, provide support and assistance to structure the supply chain, assist tree nurseries with the collection of seeds and the production and commercialization of seedlings. Support will be in compliance with national policies for the recovery of native vegetation, such as the proposed Plano Nacional de Recuperação da Vegetação Nativa (PLANAVEG)) and with the norms and regulations of the environmental compliance programme (PRA) and the rural environmental registry.

54. *Output 1.2.3. Safeguards for critical socio-cultural lands in the MATOPIBA region developed and implemented.* Brazil has robust legislation to protect communal lands. This includes indigenous lands, extractive reserves and lands for communities of *quilombolas*. In the entire MATOPIBA region there are four extractive reserves; 28 indigenous lands (none of them located in the project focal areas), with a total area of 4.2 million hectares and 35 areas of *quilombolas* with a total area of 231,000 hectares¹⁴. In general, the rights of indigenous peoples in indigenous lands are well protected. That cannot always be said of former slaves’ communities or other traditional peoples. There are reports about people who lost their lands as a result of land grabbing practices, intimidation and threats (see also under risks).

55. *Conflicts over land are not limited to the Matopiba region or the agricultural frontier.* Land conflicts –often violent- exist in the entire country. The project will not have the capacity to resolve this issue. It may, however, contribute to the management and even solution of some of the most critical conflicts in the region. To that end, the project will first identify areas where the rights or livelihoods of traditional communities are threatened. The identification of critical areas should consider the entire Matopiba region and not be limited to the focal areas. Based on the identification and assessment of critical areas, the project should provide and discuss

¹⁴ The 35 former slaves’ communities refer to the communities that have their land rights recognized or that are in the process of having their rights recognized. A more detailed assessment of former slaves’ communities (at: http://www.palmares.gov.br/?page_id=88) identifies 178 communities, 5 of which in the focal areas (two in Chapada da Natividade; 1 in São Raimundo Nonato; 1 in Redenção do Gurguéia; 1 in Barreiras).

recommendations for safeguards and their implementation. Where possible and if conflicts are identified in the focal municipalities, the project should actively provide support to broker agreements about land use rights for traditional communities or long-term occupants whose livelihoods depend on working the land. Besides the identification of most critical areas, the project includes support to discuss with all stakeholders safeguards and technical assistance for the development of procedures to implement those safeguards. An important partner in this activity is likely to be the public attorney office (Ministério Público Federal – MPF).

56. Component 2 (Farmer Support Systems and Agri-inputs). This component will provide awareness and support for sustainable management and the use of sustainable agricultural practices.

57. Outcome 2.1. A system of support in the four focal areas prepared and implemented that will help farmers to adopt sustainable management of their properties and sustainable agricultural practices.

58. To achieve this outcome, the component is divided in three outputs: (i) Innovative techniques and practices for the restoration of degraded and deforested land developed and tested; (ii) Best agricultural and sustainable management practices disseminated; (iii) Farmers trained in low carbon agricultural practices. Prior to the implementation of activities to support farmers in the adoption of sustainable management of their properties, the project will organize meetings with local farmer organizations in order to assess the needs of farmers with respect to the technical support needed. Based on this assessment support will be tailor-made to their specific needs.

59. *Output 2.1.1. Innovative techniques and practices for the restoration of degraded and deforested land developed and tested.* To develop innovative restoration practices and techniques, the project will support the selection of pilot areas in each focal area, based on farmers' interest, importance with respect to connectivity or other criteria, and test in each area new low-cost restoration techniques. Restoration is the process of promoting or accelerating the recovering of ecological communities through direct and/or indirect actions: (i) reconstruction of species-rich functional communities capable of evolving; (ii) stimulating any potential for self-recovery still present in the area (resilience); and (iii) plan restoration actions in a landscape perspective. Within these principles, projects generally have the following site-level goals: remove or minimize human impact; create or protect a forest structure capable of providing permanent shade; keep or increase the number of woody species, and favor the invasion of other life forms; provide shelter and food to permanently retain the local fauna; and manage invasive exotic species¹⁵.

60. Depending on local conditions, 'restoration testing' may involve natural regeneration; the sowing of a carefully selected mix of seeds (known as 'muvuca'); transposition of patches of the top soil of native vegetation areas (soil seed banks); covering of degraded areas with organic material from native vegetation areas; planting of nuclei of pioneer species that prepare the soil for succession with other species; or the planting of seedlings. On the basis of the results of restoration testing, the project will support the preparation and dissemination of recommendations and training material on ecological restoration. Dissemination will be done through the organization of demonstration field days and through the development of folders and training material. The project will provide direct support for the restoration of 25 hectares. This is expected, however, to leverage additional inputs from farmers and lead to field-testing of restoration in a total area of at least twice that size.

61. *Output 2.1.2. Best agricultural and sustainable management practices disseminated.* To disseminate sustainable management practices, the project will support activities to raise awareness among farmers (women and men) about management models for their farms. As the demand for technical assistance is likely to depend on local conditions, the project will first engage with local farm organizations in order to identify specific technical co-operation needs. This is likely to include better soil management to reduce erosion and/or improve productivity through the use of more appropriate rotation models; resilience against rainfall oscillations; reduction of the use of agrochemicals; better management practices. Based on this demand, the project will support the

¹⁵ Ricardo R. Rodrigues, Renato A.F. Lima, Sérgio Gandolfi, André G. Nave (2009). On the restoration of high diversity forests: 30 years of experience in the Brazilian Atlantic Forest. Laboratório de Ecologia e Restauração Florestal (LERF), Departamento de Ciências Biológicas, ESALQ - Universidade de São Paulo. In: Biological Conservation 142: 1242-1251.

dissemination of existing practices and/or organize training courses together with farmer organizations, such as the national service for rural training (*Serviço Nacional de Aprendizagem Rural* - SENAR) to also build resilience to climate change. Although primary intended beneficiaries are soy producers relevant training courses may also include smallholders.

62. The project will also support farmers interested in obtaining certification of the Roundtable for Sustainable Soy through support for gap-analyses and the preparation of recommendations about how to comply with RTRS conditions.
63. *Output 2.1.3. Farmers trained in low carbon agricultural practices.* Low-carbon practices are an important element of sustainable practices overall. Low-carbon practices include: zero tillage; integration between agriculture, forestry and cattle ranching; nitrogen fixation and other soil improvement techniques. Some practices are already widely used by soy farmers (such as zero tillage), but there still is a demand for soil improvement and low carbon techniques. Dissemination of these techniques will take place via: workshops to inform farmers; training of extension service staff (women and men), to inform and train farmers (women and men), as well as provide training that will support the preparation of loan proposals for the Low Carbon Program of the National Development Bank (BNDES). This may also include the involvement of local bank staff in order to improve their capacity to assess loan proposals. Results from the field will also be discussed and/or disseminated to global levels through the traders working group and to the global community of practice workshop in the second year of implementation through the adaptive management and learning child project.
64. **Component 3 (Land Use Plans and Maps in Targeted Landscapes).** This component will provide the identification and definition of agreed sustainable landscapes in soy production areas in the MATOPIBA.
65. **Outcome 3.1. Improved planning for expansion of production and conservation.**
66. The expected outcome is the preparation and discussion of proposals for biodiversity conservation and for the expansion in appropriate areas of soy. To achieve this outcome, four outputs are foreseen: (i) Forum for landscape management created in four local areas; (ii) Priority Corridors for biodiversity and restoration of native vegetation identified; (iii) Zoning proposal for expansion of soy production developed and discussed; (iv) Conservation areas proposed and implemented.
67. *Output 3.1.1. Forums for landscape management created in two local areas.* In each of two regions (Tocantins and Bahia), the project will support the creation of a forum on landscape planning which will involve municipal governments, private sector and civil society representatives. Landscape planning is a planning tool operating between existing land use planning tools (such as the “Plano Diretor” that all municipalities are required to have) and the planning of individual properties. Its main objective is to ensure that the planning of individual properties is integrated in a way that minimizes the trade-off between production and conservation of biodiversity, native vegetation and ecosystem services. This may include better planning of dirt roads to minimize erosion; maximizing connectivity among conservation areas in private properties required by the Forest Code in order to ensure ecological sustainability, avoid silting of riverbeds or maximize infiltration of rainfall or other activities.¹⁶
68. *Output 3.1.2. Priority corridors for biodiversity conservation and restoration of native vegetation identified.* Under this output, the project will support efforts to identify corridors for biodiversity conservation and restoration of native vegetation. Depending on the focal areas selected, this may be limited to the selected municipalities or cover the larger area covering the four main soy production regions in Maranhão, Tocantins, Piauí and Bahia. It will include analysis of existing permanent protection areas, biodiversity priority conservation areas and the development of alternative scenarios for the establishment of priority corridors. Workshops will be organized to discuss the scenarios with key stakeholders, such as state environment

¹⁶ For example, in the Balsas region, the headwaters of the river Balsas are a concern for many producers and communities close to the river. Should Balsas be selected as one of the ten focal municipalities, this may become the main landscape planning issue in this region. In the Barreiras region, it could involve the planning of conservation areas in private properties and in existing sustainable use conservation areas in order to ensure maximum infiltration of run-off from rainfall in order to maintain existing levels of the Urucuia aquifer.

agencies, municipal governments, and potentially affected local communities. Recommendations for follow-up will be delivered to by state and federal environment agencies.

69. *Output 3.1.3. Zoning proposal for expansion of soy production developed and discussed (to be funded by IFC).* To recommend areas for the expansion of soy, the project will support the assessment of past tendencies of agricultural expansion in the region and the identification of characteristics such as soil fertility, sufficient rainfall, existing infrastructure; availability of already converted lands, including degraded pastures that may indicate opportunities for further expansion or characteristics that may impede expansion, such as existing conservation areas, priority biodiversity conservation areas, land conflicts with local communities, etc. The goal will be to find areas that are apt for the production of agricultural commodities, that are already converted but under-exploited and that do not have negative impacts on existing population. The project will support discussions with farmer organizations and municipal and state governments about possible scenarios for expansion. Furthermore, the project will provide assistance to municipalities and the four states to promote the implementation of land-use policies and planning procedures that are integrated with existing planning tools in support of expansion. Proposals for the expansion of the production of agricultural commodities will also be presented to and discussed with global or regional trader working groups.
70. *Output 3.1.4. Conservation areas proposed and implemented.* This output will consist of three different activities. The first will identify gaps and challenges in the management of existing conservation units. This may also include the identification of opportunities for land tenure regularization of existing conservation areas through the off-set of legal reserves. Few conservation units in Brazil and in the region have resolved all land tenure issues, to a large extent because of the lack of funds to indemnify private properties within their borders. The Forest Code allows for offset of a deficit in legal reserves¹⁷ through the acquisition of private properties in conservation areas and subsequently the donation of that area to the entity responsible for the management of the conservation unit in question, either ICMBIO, one of the state agencies or a municipal government. The proposed activity will consist of the preparation of a summary of the relevant conservation units and their land tenure situation and discussions with the responsible management entities procedures for the implementation of this mechanism. This will include recommendations on implementation of a mechanism for off-setting legal reserve deficits.
71. The second activity will involve the preparation and implementation of management plans for indigenous lands and for the creation and establishment of conservation areas on private lands (*Reserva Particular do Patrimônio Natural* - RPPN).
72. The third set of activities will consist of the gathering of lessons learned from the implementation of activities under this outcome and previous outcomes with respect to natural capital protection for sustainable agricultural landscapes and disseminating them to a wider public, including the productive sector and staff involved in planning and decision-making.
73. **Component 4 Supply Chain Integration.** This component aims to increase awareness of the market (processing industries, retailers and consumers) and banking sector regarding sustainable production of soy and ways to promote it. Although a considerable part of influencing market demand and financial support for production occurs at the global level, the size and diversity of the Brazilian soy supply chain requires that also the national processing industry and banking sector becomes part of this initiative. This component, therefore, seeks to integrate relevant actions at the global level into the Brazilian context.
74. The component consists of two outcomes: (i) Increased market demand for responsibly sourced soy; and (ii) Innovative long-term financial products developed and promoted, including risk management tools and mechanisms for sustainable production.

¹⁷ Legal reserve is the part of private properties that need to be kept under native vegetation. In accordance with the Forest Code, properties on the Cerrado biome need to conserve 20% of their property as legal reserve. In the Cerrado biome located in the Legal Amazon which is the case of Tocantins and a large part of the State of Maranhão the reserve should add up to 35% of the property.

75. **Outcome 4.1. Increased market demand for responsibly sourced soy.** This outcome with respect to demand will be led by WWF working in close coordination with the Brazil MATOPIBA Child Project. Activities will be largely implemented by WWF, with the exception of the assessment of the feasibility of a certification of origin for sustainable soy produced in the MATOPIBA region, which will be implemented by Conservation International of Brazil. The activities proposed here mirror some of the activities of the Demand child project.
76. *Output 4.1.1. Soy Traders Platform institutionalised.* The activities to achieve this output will include: (funded under the Demand child project led by WWF with CI's participation)
- i. Biannual meeting of key traders and other stakeholders representing 3 soy working groups;
 - ii. Bi-monthly meetings of traders in working group on roadmap to reduced deforestation soy;
 - iii. Vision and goal statement, timeline and implementation plan for sourcing reduced deforestation soy developed through Proforest-led working group in Soy Traders Platform.
77. GEF funds will be used to support the following activities, to be implemented by Proforest:
78. The Soy Traders Platform. The platform will be convened biannually. Participants to the biannual meeting include key traders - ADM, Bunge, Louis Dreyfus, Amaggi, Nidera, COFCO-Agri and Wilmar (with more participants able to join throughout the length of the project) - and a "steering committee" comprised of Proforest, WWF, IFC, CI and TNC.
79. Traders roadmap to reduced deforestation soy. In addition to a biannual meeting, the Responsible Demand Project will deliver a trader's roadmap on sourcing reduced deforestation soy in Latin America. Proforest will implement the process to developing the roadmap. CI will contribute key information on Brazil including: collection of lessons learned from IAP Brazil site in MATOPIBA, for incorporation into the roadmap, in particular developing recommendations for producer support. The project will also prepare information to explain the Forest Code and show that this policy – when correctly implemented – may become a solid base for sustainable production of agricultural commodities.
80. Finally, when the roadmap is complete there will be engagement with key partners from processing industries, the retail sector and consumer organizations to promote commitments for responsible soy; maintain connection with global and regional platforms to ensure awareness on development in the MATOPIBA region.
81. *Output 4.1.2. Platforms developed and introduced for enabling public access to information on supply chain actors and key territories (funded under the Demand child project led by WWF).* The activities under this output will include:
- i. The identification of Supply chain actors for pilot regions to link commodity purchases from geographical origin to destination;
 - ii. Development of publicly available commodity portal to create transparency along the supply chain and raise awareness of supply chain actors' risk exposure in different production geographies.
 - iii. Completion of pilot geographical mapping on Brazilian soy and Paraguayan beef to validate the model used in the commodity portal.
 - iv. Preparation of a Pilot Transformative Transparency Year Book to present aggregate measures of risk and performance for both key territories and commodity traders.

82. Through output 4.1.2,¹⁸ the Responsible Demand project will build out an open-access public platform called “Transformative Transparency” to increase supply chain transparency. The goal of the platform is to increase transparency on the production of soy and beef and the destination of export flows.
83. Activities under this output will be implemented by the Stockholm Environmental Institute and the Global Canopy Programme (GCP). GEF funds will be used to support the following activities (as relevant to MATOPIBA Brazil project):
- i. Development of Transformative Transparency platform. This will include tracing soy flows from jurisdictions in MATOPIBA region in Brazil and assessing deforestation risk, linking these flows and risks to supply chain actors sourcing from these key areas. Mapping and risk assessment will be conducted for key IAP geographies, including MATOPIBA.
 - ii. Pilot mapping. SEI will conduct a comprehensive case-study on Brazilian soy (MATOPIBA) that includes in-depth mapping and identification of decision-relevant indicators of risk and performance for supply chain actors.
 - iii. There will be a kickoff workshop in Brazil with all relevant stakeholders from the MATOPIBA region to develop the methodology for incorporating supply chain information, maps, and risk analysis into the tool. The Transformative Transparency platform will be adjusted to the MATOPIBA conditions and will detail and improve the data available.
84. *Output 4.1.3 – Assessment conducted of the feasibility of certification of origin.* This output will require a consultant to evaluate existing certification of origin experiences and their potential for replication in MATOPIBA (*funded under this Brazil Child Project and executed by CI. This is reflected in the budget for component 4*).
85. **Outcome 4.2. Financial sector engaged in the promotion of sustainable soy.** This is in line with with the child project on Enabling Transactions, with specific aspects delivered by either CI or IFC. For the purpose of clarity at the end of each activity we have assigned either IFC (Enabling Transactions) or CI (Brazil-MATOPIBA) to indicate which team will take the lead on the work for resource allocation purposes although many of the activities will require close coordination between the two teams.
86. This work will support the development of innovative financial instruments for both banks and companies leading to the adoption of sustainable practices. Activities proposed here mirror activities in the Financial transactions child project, but are organized under one outcome that reflects the original outcomes in the Transaction child document. To achieve this outcome, the project is expected to achieve two main outputs:
87. *Output 4.2.1. Commercial/blended finance transaction mechanisms identified and promoted.* This thesis analysis will consist of analyzing several business cases and the screening of region and country opportunities, looking for potential opportunities for investment in MATOPIBA. The activities under this output will include:
- i. Review and or build upon business case analysis for the beef intensification model (inclusive 1-3 stages) and its applicability to the MATOPIBA region (*funded and implemented under the IFC Transactions Child Project*);
 - ii. Review and or build upon business case analysis degraded pasture to soy model and its applicability to the MATOPIBA region (*funded and implemented under the IFC Transactions Child Project*);
 - iii. Lay out agricultural economics using respected Brazilian researchers, mapping against biophysical constraints (with availability of labor, logistics costs), conservation hot spots etc. (*funded and implemented under the IFC Transactions Child Project*);

¹⁸ See output 4.1.3 and 4.1.4 of the IAP Demand Project ProDoc for complete output description.

- iv. A series of workshops in Matopiba will be undertaken to present findings of the various business case analysis. It is viewed that this would be done on a rolling basis when the business cases are available but it is assumed that 6 to 8 workshops will be organized through the course of the project. *(funded and implemented under this Brazil Child project and executed by CI. This activity is reflected in the budget under component 4);*
 - v. Engage experts (modelers + economists + mappers) to finalize business case proposals on available area (biophysical mapping for soy suitability) for Matopiba; *(funded and implemented under this Brazil Child project and executed by CI. This activity is reflected in the budget under component 4);*
 - vi. Engage with the banks and private sector to cross check on financing feasibility and to ascertain future financing interest *(funded and implemented under the IFC Transactions Child Project).*
88. Initial analysis was conducted in collaboration with the soy industry participants at a meeting held in January 2016 in Miami. The determination of commercial viability or whether blended finance would be required will be determined towards the end of this exercise. The team will continue to identify potential sources of blended finance during the first year of the program.
89. *Business case for Sustainability Standard Adoption*
90. IFC, IDH and WWF conducted the first business case analysis for soy standards adoption in 2011 using a framework developed by KPMG. At that time only a limited amount of farms (mainly larger farms) had certified and an update of that work incorporating other schemes (e.g. Proterra, ISCC) could be considered. Group certification was not assessed but has now been carried out by a number of groups (e.g. Alianca da Terra & CAT Sorriso) which should also be assessed *(funded and implemented under the IFC Transactions Child Project).*
91. On the beef standard adoption side, the GTPS standard (which links to the GRSB standard) will be finalized shortly. It is proposed to wait until this standard is adopted in a number of Brazilian farms and then conduct a business case analysis at a later stage. The purpose of both analyses would be to determine whether a potential financing product can be developed to support standards uptake. *(funded and implemented under the IFC Transactions Child Project).*
92. *Trade Finance*
93. Sustainable Shipment LC for the soy sector. The team would work on a complementary trade finance product for the soy sector similar to that already available for the palm oil sector. This would be done through the BEI and as a basis would use as a starting point the CGF's sustainable soy sourcing guidance as a starting point. The team could then promote such a product through established Sustainable Banking Network contacts with Febreban. This financial product would then be available for producers/traders participating in programs where eligibility criteria are met (e.g. verified/certified soy supply chains) some of which will be in the MATOPIBA area *(funded and implemented under the IFC Transactions Child Project).*
94. *Output 4.2.2 Introduction of tools to enhance capacity of financial markets and institutions*
95. *Bank/FI Training*
96. To enhance awareness and capacity amongst financial institutions, the project will support the preparation of technical briefs, the organization of targeted workshops and of training program for financial institutions and risk managers *(funded and implemented under the IFC Transactions Child Project).*
97. The majority of this work will be undertaken where local commercial banks have their environmental and social risk departments, more likely to be Sao Paulo than in the MATOPIBA regions.

98. *Specific Tools for ESG Screening*

99. Under this output, the project will support the development of value at risk models that introduce the necessary tools to identify and quantify risks associated with investments in the production of targeted commodities. In addition, the project will support the preparation of a business case report that will articulate the opportunities created by the risk mitigation options identified in the value at risk methodologies (*funded and implemented under the IFC Transactions Child Project*).
100. GMAP as a tool does not differentiate between the various regions in Brazil for either beef or soy. It is proposed for large countries such as Brazil that GMAP undergoes a regionalization process more aligned to the risks associated with the production areas.
101. There is interest from a number of major commercial banks in Brazil (both domestic and international) to develop a shared risk platform for due diligence at the farm level. Easily accessible data on a farm's legal compliance, deforestation, soil and water quality, labor practices, credit history, etc., can add significant value to the banking sector while simultaneously empowering FIs to help ensure implementation of the Forest Code and good E&S practices. WWF is currently in conversation with a leadership group of Brazilian FIs on development of this tool and if broad support amongst Brazilian banks can be agreed during the early stages of project execution the program will support this work stream.
102. GMAP, which at this stage does not differentiate between states/municipalities and the Agribusiness Technical Referential used by *Banco do Brasil* which has property based characteristics. Of these two tools the second offers more opportunity for deployment on a pilot base in the MATOPIBA regions and this will be explored during the course of the program (*funded and implemented under the IFC Transactions Child Project*).
103. To ensure that financial system rules and regulations promote investment in deforestation free production, the project will prepare a study on the conduciveness of financial system regulations for the production of deforestation free commodities and prepare recommendations for the adoption of procedures (*funded and implemented under the IFC Transactions Child Project*).
104. These will be undertaken in the context of Brazil in general rather than specifically for the MATOPIBA region per se.
105. *Feasibility Studies*
106. The project expects to produce two outputs:
- i. A feasibility study on market compensation for Legal Reserves – Activity 4.2.2.1 (*funded and implemented under this Brazil Child project and executed by CI. This activity is reflected in the budget under component 4*)
 - ii. A study on the feasibility of a payment for environmental services system in the region – Activity 4.2.2.2 (*funded and implemented under this Brazil Child project and executed by CI. This activity is reflected in the budget under component 4*).
107. These two studies will focus specifically on the MATOPIBA region as a potential pilot area for possible implementation if the feasibility studies for each study prove interesting.
108. **Component 5 (Knowledge Management and Monitoring and Evaluation).**
109. **Outcome 5.1. Project coordinated and lessons learned and disseminated.**
110. *Output 5.1.1. Coordination and execution arrangements structured.* Details under this outcome are provided under institutional and coordination arrangements.

111. *Output 5.1.2. Progress and impacts effectively monitored and lessons learned and disseminated.* Monitoring and lessons learned will be closely coordinated with the Adaptive Management and Learning child project. This child project will be responsible for overall Program coordination among the different child projects. It will ensure a clear identity for the IAP, through the development of an IAP branding; program-level monitoring and evaluation; and joint knowledge management. Joint knowledge management will include the establishment of a Global Community of Practice to facilitate learning on effective interventions to address deforestation in supply chains and to provide a learning framework to explore cross-cutting themes such as gender and resilience, also being an effective strategy to support the replication and scaling-up of project results. Knowledge management will include extensive learning from within the IAP, as well as learning from external partners through participation in events and fora. IAP publications will be produced, information disseminated through speaking events, and articles included through content sponsorship on the Guardian Sustainable Business website. Joint study tours funded by the production child project will also feed into this global-level knowledge management.
112. *Output 5.1.3. Progress in environmental regularization and impacts on selected ecosystem services monitored.* Monitoring of progress and impacts refers to monitoring of progress in environmental regularization; of gender roles and impact on women and reporting of progress and impacts to GEF, including mid-term and terminal evaluations. To monitor progress in environmental regularization, the present initiative will support the monitoring of compliance of farmers with the Forest Code. In addition, the project will support the development and implementation of a monitoring protocol of selected ecosystem services in the region. The decision on which ecosystem service will be monitored will be taken on the basis of consultation with local partners. However, access to water is likely to be a strong candidate. The project will also support the application of the landscape accounting framework to monitor specific elements of selected landscapes.
113. *Output 5.1.4. Gender roles and impact on women monitored.* Monitoring of gender roles will consist, first, of an assessment of the role and position of women in different areas of the agriculture sector: agro-business; smallholder-family-based agriculture and community-based agriculture and/or natural resources extraction. This assessment should not only provide a description and analysis of the role and position of women in these sectors but also recommendations for actions to improve the participation of women and of their position in general and with respect to indicators to monitor impacts of project interventions.
114. *Output 5.1.5. Project/GEF monitoring conducted.* This includes standard project monitoring and also participation in the Steering Committee, Global Community of Practice, and Study Tours facilitated by the AM&L project for the IAP as a whole.

National and local socioeconomic benefits and resulting global environmental benefits

115. The project will generate significant national and local socioeconomic benefits. Direct benefits include the provision of training and capacity building for 200 farmers to mainstream sustainable and climate resilient practices. This will support the sustainable income and socioeconomic development for many households and communities. In addition, the identification of existing conflicts over land between soy farmers and traditional communities or between soy farmers and smallholders is expected to expose those conflicts and potential risks for traders and markets and form a basis for their resolution. The project's broader investment into land-use planning and conservation area zoning, as well as the registering of properties on the SICAR will help to generate long-term environmentally-responsible practices, which will in turn benefit communities through yields that are sustainable and that can contribute to long-term nutrition as well as higher incomes and new employment opportunities in rural areas for approximately 3,000 agricultural households (which results in an assumed total number of beneficiaries of 6,000 females and 6,000 males (both adults and young people)).

116. This regional socioeconomic development will contribute towards the overall national economy. Also, the sustainable yet increased production of soy will provide national benefits in terms of both direct food supply as well as the national economy through soy exports.

117. The enabling of sustainable agricultural practices, and expansion of soy production onto degraded lands rather than native forest, further incentivised through the generation of local and national socioeconomic benefits, will help to reduce pressure on forests and restore the native vegetation of the Cerrado. This will increase connectivity between habitats, making all conservation efforts more effective. It will support a healthy hydrological system, a stable climate, prevention of soil erosion. The MATOPIBA region is spread across three of South America's major river basins, and the conservation of the target forest habitats, and sustainable management of currently degraded land, will support the conservation and stability of these watersheds and ensure continued ecosystem services for all communities affected, ensuring long-term resilience to climate change. The conservation of important forest habitats and ecosystems will also benefit indigenous people who subsist on these resources, such as for traditional medicine, and also rely upon a stable ecosystem for long-term survival. The region also overlaps with the Cerrado biome which is a global biodiversity hotspot; therefore, supporting forest conservation and ecosystem services in this region will help to contribute to global biodiversity priorities.

Table 4 Project Targets Contribution to Global Environmental Benefits

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	6,000,000 ¹⁹ hectares
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	500,000 ²⁰ hectares
3. Support to transformational shifts towards a low-	750 million tons of CO _{2e} mitigated (include	22 million tCO _{2e} ²¹

¹⁹ **CO₂ Mitigated—Project target 22,000,000 tCO₂: Carbon Calculation:** This project will directly support the creation of 10,000 hectares of conservation units, support the restoration of 2,500 hectares, and support the inclusion of an estimated 500,000 hectares in the environmental registry, hence in compliance with the Forest Code. The total area that this project will target is in approximately 6 million hectares, which includes 10 municipalities. Deforestation rates in 2011 for the whole Matopiba region were 7,249km².¹⁹ Through reduction in commodity-driven deforestation due to policy changes, enforcement (the Forest Code- CAR Registry in Brazil) and spatial planning, we assume this will lead to a 15% reduction in deforestation rate or 1,000 km² per year in the Matopiba region. This roughly translates to 100,000 hectares per year. Above ground biomass in the cerrado is estimated at 8.6 tons per hectare and below ground root biomass 22 tons per hectares of carbon¹⁹). We also converted tons of carbon to tons of CO_{2e} in order to measure, in a common and internationally accepted unit for GHG emission, by using the conversion factor (44/12) or 3.6667. This would translate into roughly 11 million of tCO₂ per year for the whole Matopiba region. Considering the project will work in 10 municipalities covering approximately 6 million hectares or about 10% of the region, we estimate carbon avoided in this area being 1.1 million tCO₂ per year. It is estimated therefore that this project will have **11 million tCO_{2e} avoided** over a 10-year period. Since this project is also working to directly protect 10,000 hectares through the creation of conservation areas, we estimated CO₂ based on the study "[Carbon Stock in cerrado sens stricto in the Federal District](#)", by Paiva, Rezende and Pereira². Above ground biomass is 315,000 tCO_{2e} and below ground biomass is 820,000 tCO_{2e}. **The total CO₂ mitigated of this area is therefore approximately 1,135,000.** Since this area will be completely protected we can also include the soil compartment (2 meters depth), which corresponds to 90% of total carbon stock. This would in turn add **9.9 million of avoided tCO_{2e}**. This project will therefore directly and indirectly contribute towards mitigating **22 million of tCO₂**. This area will monitored through the creation of the protected area and subsequent monitoring it by working with organizations that can verify the CO₂ estimations are accurate.

During project implementation, the project will, in collaboration with the state environment agencies of Tocantins and Bahia, monitor progress with respect to the number of properties and the area registered and with respect to the restoration of converted permanent protection areas and legal reserves.

emission and resilient development path	both direct and indirect)	
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Partnerships and coordination with other initiatives

118. The project will closely work with a wide variety of partners to achieve its expected results. Focusing on the activities predicted in Component 1, core partners and key stakeholders will be engaged towards a shared vision about what is sustainable development of priority areas in the MATOPIBA region. There will be an identification and mapping of synergetic initiatives and main stakeholders' actions that have interface with the development challenge issue, through a consultancy session and meetings of the forum to be created.
119. Specifically, some partners from the agribusiness sector, farmers, members of the federal and state governments, civil society and communities, traders, the market sector, and financial institutions will be essential for the achievement of results and effectiveness of the Theory of Change. It is expected, for example, that group of farmers and/or associations comply with the Forest Code, invest in restoration of illegally deforested areas using cheaper and innovative techniques, collaborate with the resolution of ending conflicts of communities and traditional peoples, agree in land use planning, and adopt low-impact sustainable production practices. The public sector should dedicate efforts to land regularization, surveillance, law enforcement and land-use planning. The corporate (traders), financial and market sectors themselves should be more demanding and rigorous with sustainability of production and at the same time provide incentives in recognition of better production practices establishment.

Table 5. Incremental cost reasoning and baseline contributions

Partner	Expected collaboration	Assumptions and expected results
<i>Fundação Brasileira para o Desenvolvimento Sustentável (FBDS)</i>	FBDS will support the present initiative with the mapping of all permanent protection areas in the municipalities of the MATOPIBA region and, will furthermore be responsible for the identification of priority corridors for biodiversity conservation and restoration of native vegetation.	Due to FBDS expertise with vegetation covering monitoring they will be able to provide the mapping of all permanent protected areas in the focal areas of the project and to support the creation of priority corridors for biodiversity and conservation and restoration of native vegetation (output 3.1.2)
<i>Sociedade Rural Brasileira (SRB)</i>	SRB will be responsible for promoting the dialogue between the public and private sectors on a strategy for the sustainable development of the MATOPIBA region and for working with farmers and farmer organizations to disseminate best agricultural and low-carbon practices.	SRB is fundamental because of its knowledge of the agribusiness sector and its capacity to engage different key partners in this initiative. In this sense, they will be essential to (i) support the creation of a forum for dialogue and discussion about the sustainable development of the MATOPIBA region and (ii) engage main stakeholders and support the formulation and development of policy recommendations. (outputs 1.1.1 and 1.1.2)
<i>Associação de Agricultores e Irrigantes da Bahia (AIBA)</i>	AIBA is expected to advise farmers in West Bahia on the environmental regularization of rural properties including compliance of smallholders in the region. The organization is furthermore expected to be actively involved in efforts to promote and disseminate best agricultural and sustainable management and low carbon production practices.	AIBA has great influence among agriculture sector and congregates a large number of farmers in Bahia state. It is expected that they will contribute for the success of outputs 1.1.1, 1.1.2, 1.2.1, 1.2.1 and 2.1.2.
<i>Fundação de Apoio a Pesquisa</i>	FAPCEN is expected to advise farmers in Southeast of Maranhao on the environmental	FAPCEN was created with the objective to promote and support the export of grains from Maranhão,

<i>para o Corredor de exportação Norte (FAPCEN)</i>	regularization of rural properties including compliance of smallholders in the region. The organization is furthermore expected to be actively involved in efforts to promote and disseminate best agricultural and sustainable management and low carbon production practices.	Tocantins and Piauí, through agricultural research, liaison between farmers and their organizations and state and federal government. It is expected that they will contribute for the success of outputs 1.1.1, 1.1.2, 1.2.1, 1.2.1 and 2.1.2.
<i>Federação da Agricultura e Pecuária do Estado do Tocantins (FAET)</i>	FAET is expected to advise farmers in Tocantins on the environmental regularization of rural properties including compliance of smallholders in the region. The organization is furthermore expected to be actively involved in efforts to promote and disseminate best agricultural and sustainable management and low carbon production practices.	FAET was created with the objective to study, defend and coordinate professional and economic interest of all actors in agriculture and cattle ranching. This organization has great influence among farmers within the agriculture sector in Tocantins, then it is expected they will contribute for the success of outputs 1.1.1, 1.1.2, 1.2.1, 1.2.1 and 2.1.2.

Coordination with other GEF initiatives

120. This Child Project is fully in line with the goals of the overall IAP, and follows the same principles and theory of change. Components 1-3 are in line with the Production Child Project, while Component 4 is in line with both the Demand Child Project and the Enabling Transactions Child Project. In addition, Component 5 has been created to ensure adaptive management and learning through coordination, knowledge management, monitoring and sharing of lessons learned, which is in line with the Adaptive Management and Learning Child Project, which coordinates the lesson-learning of the entire IAP.
121. The proposed project is also relevant to the following GEF initiatives already under implementation in the region:
122. The Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value (BRA/14/G334) project. The objective of this project is to ensure that the biodiversity of Brazilian multiple-use forest landscapes of high conservation value is conserved through a strengthened sustainable use management framework for non-timber forest products (NTFP) and agro-forestry systems (AFS). The project will conserve biodiversity in key forest landscapes - Amazon, Caatinga and Cerrado - all renowned for their outstanding global biodiversity significance but currently under threat from increasing land use pressures across production landscapes. It will address one of the key land use threats to these forests, which is forest degradation driven by small-scale farmers that employ traditional subsistence farming and extraction practices in and around forested areas throughout the landscape, including land clearing, over-exploitation of resources, and poor fire management. GEF Resources: \$5,479,452 | Project Duration: 2014-2019.
123. The “Fifth Operational Phase of the GEF Small Grants Program in Brazil (4578) project. The objective of this project is to ensure that the conservation of the Cerrado and Caatinga biomes of Brazil through community initiatives on sustainable resource use, and actions that maintain or enhance carbon stocks and increase areas under sustainable land management. The project will enable a shift away from unsustainable practices by ensuring (i) Biodiversity conservation in the production landscape through community-based sustainable resource use and management of natural resources; (ii) Maintenance of carbon stocks through avoidance of land use change and improved agriculture and forest management at the community level; (iii) Implementation of sustainable land management techniques that prevent land degradation, restore agro-ecosystem services, and improve livelihoods of local communities; (iv) Capacity development and knowledge management to help communities deliver global environmental benefits. GEF Resources: \$5,000,000 | Project Duration: 2013-2016.

124. Coordination with other relevant GEF initiatives will occur through the UNDP and Board members (the Brazilian Cooperation Agency, the Ministry of Environment and State Environment agencies). In addition, ISPN, the execution agency for the GEF Small Grants is an active partner of Conservation International in several activities related to the conservation and sustainable use of the Cerrado biome.

Stakeholder engagement

125. As Executing Partner for the Child Project, Conservation International understands the importance of engaging with stakeholders, from the design phase through the implementation and closing out of a project. CI's robust Rights-based Approach policies will assure that gender is integrated, that indigenous peoples have a voice at the table, and that vulnerable populations are protected. Respecting indigenous peoples' rights is one piece of supporting CI's mission of empowering societies to responsibly and sustainably care for nature. CI will use its Free, Prior and Informed Consent (FPIC) guidelines to assure that the rights of indigenous peoples and communities are respected and taken into consideration as this project is implemented.
126. During the project preparation stage, we had discussions with the Ministry of Environment which, in turn shared, and discussed a preliminary proposal with the Ministry of Agriculture (MAPA). Project preparation also included field visits to discuss the proposal and potential for cooperation with FAPCEN in Balsas, AIBA in Barreiras, the Federation of Farmers in the State of Tocantins (FAET), the state environment agencies in Bahia and Tocantins and a fair number of farmers. It also included a meeting with community organizations, organized by UNDP, including the Institute for Society, People and Nature (ISPN); *10senvolvimento* Agency; Alternatives for Small-Scale Farming in Tocantins (APA - TO); State Coordination of *Quilombola* Communities from Tocantins (COEQTO); *Central do Cerrado* Cooperative/Cerrado Network; and International Institute of Education from Brazil (IIEB). The meeting presented the scope of the project and consulted with the representatives from the communities and CSOs that are affected by social and environmental issues in the MATOPIBA region. They were encouraged to present their views on the project, make contributions, discuss and review the pre-identified project risks and mitigation measures, and communicate the current problems, conflicts and key challenges in the region. In addition, the participants were engaged in a discussion with the aim to build social and environmental safeguards relevant to the project, including gender aspects. Lastly, participants were asked to indicate their willingness to be part of the Steering Committee of the project.
127. Project stakeholders will be engaged since the very start, and in parallel, be aware that they will have access to and an open channel with the UNDP Country Office (CO), in case of concerns raised about adverse social and environmental impacts. Considering that the project will be executed by Implementing Partners (see more details in section V), which will delegate operations to other executing agencies, the project developers will be cautious and make available a Stakeholder Response Mechanism (SRM) to assist any critical grievance or dispute that may appear.
128. Overall, stakeholders can be divided in government organizations, private sector and civil society representatives. At the level of the federal government, the main stakeholders are: the Ministry of Agriculture (Ministério de Agricultura, Pecuária e Abastecimento -MAPA); the Ministry of Environment (Ministério do Meio Ambiente -MMA); and the Ministry of National Integration (Ministério de Integração Nacional -MI). All stakeholders are summarized in the table below. Please see Annex O for more information on each stakeholder.

Table 6. Key stakeholders of the project

Stakeholder	Stakeholder type	Anticipated involvement in the project and potential benefits
MMA	Government	The Ministry of Environment is responsible for the implementation of environmental management policies, the conservation of biodiversity and the sustainable use of natural resources and ecosystem services.
SFB	Government	The Forestry Service is responsible for the coordination and implementation of the Forest Code, in particular the Rural Environmental Registry (CAR).

MAPA	Government	MAPA coordinates the preparation of a development plan for the MATOPIBA region with a focus on agriculture and infrastructure.
EMBRAPA	Government	EMBRAPA's geographical intelligence group (GITE) is collecting baseline data for that development plan. In accordance with the objectives mentioned in the decree that established the committee responsible for the preparation of the development plan, sustainability is not a primary concern.
State government agencies	Government	Biodiversity conservation and the implementation of the Forest code; preparation and implementation of agriculture policies; and regional planning
AIBA	Civil society	<i>Associação de Agricultores e Irrigantes da Bahia</i> . The mission of AIBA is to promote agribusiness development in Bahia in a sustainable and socially responsible way.
FAET	Civil society	<i>Federação da Agricultura e Pecuária do Estado do Tocantins</i> . The FAET mission is to represent towards the public authorities and their agents, the interests of the rural economic and affiliated rural unions, as well as collaborate with the authorities, as a technical and advisory body in the study and solution of the problems that relate to the agricultural economy in the country.
FAPCEN	Civil society	<i>Fundação de Apoio à Pesquisa do Corredor de Exportação Norte</i> . FAPCEN is an organization that supports businesses and farmers in Maranhão, Tocantins and Piauí with activities in the areas of research, rural extension, production and commercialization.
Financial institutions	Private Sector	Public, Private banks and cooperatives or through barter with traders. Public banks usually need to check the farmer's compliance with the Forest Code. Although several private banks check compliance as part of their corporate social responsibility procedures, it is likely that several private financing institutions do not apply this restriction.
Traders	Private Sector	The four big soy trading companies and national trading companies or intermediaries. Their interest is heterogeneous and depends, among other, elements, on their role in different stages in the supply chain. The biggest traders, in general, have corporate policies to promote compliance with the forest code and the use of sustainable production methods.
Processing industries	Private Sector	Basically chemical, food and cosmetics and animal feed industries. The feed industry in Brazil and in Europe consists of a large number of small, usually local industries. Although the European Feed Manufacturers Federation participates in discussions on sustainable (and/or certified) production, given the small scale of its members, there seems to be little room for them to offer prize incentives for sustainable production.
Rede Cerrado and member organizations	Community organization	This network consists of more than 300 organizations concerned with biodiversity conservation and the livelihoods of rural workers and traditional communities involved in subsistence farming or the extraction of natural resources.
Indigenous Organizations	Community organization	Coordination of Indigenous Organizations of the Brazilian Amazon (COIAB); Mobilization of Indigenous Peoples of the Cerrado (MOPIC); and NGOs that work closely with indigenous peoples, such as the Center of Indigenist Work (CTI), which works with indigenous communities in Maranhão and Tocantins
Others	Community organization	Carajás Forum; The Institute for Society, Population and Nature (ISPN), The Pro-Nature Foundation (FUNATURA); The Brazilian Agency for Environment and Information Technology (ECODATA); The National Confederation of Agricultural Workers (CONTAG), the National Federation of Men and Women Workers in Family Farming (FETRAF); the Pastoral Land Commission (CPT); the Landless Workers' Movement (MST); the Small Farmers' Movement (MPA); Inter-state movement of <i>Babaçu</i> -nut breakers (MIQCB), Alternatives for Small-Scale Farming in Tocantins (APA - TO), State Coordination of <i>Quilombola</i> Communities from Tocantins (COEQTO) <i>10senvolvimento</i> Agency (Barreiras, Bahia state), <i>Central do Cerrado</i>

		Cooperative/Cerrado Network; and International Institute of Education from Brazil (IIE Rural Workers' Movement (MTC).
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Mainstreaming gender

129. This project is part of the Integrated Approach Pilot (IAP) Programme, which has a full gender mainstreaming strategy and action plan. In alignment with the overall IAP strategy, gender equality and women's empowerment will be mainstreamed throughout the project. It has been categorised as GEN2: gender responsive. This means that project results are expected to address the differential needs of men and women and equitable distribution of benefits, resources, status and rights in the MATOPIBA region; however, they will not address the root causes of gender inequalities.
130. The gender analysis which was carried out in support of the IAP gender mainstreaming strategy led to an increased understanding of baseline gender differences, needs, priorities, challenges, and barriers in the Program context both at the national and global levels. For example, relevant to this project, female-led farms have reduced productivity due to lower access to resources and less time available.
131. An initial literature review-based gender assessment was also conducted specifically for the Brazil project during the PPG phase, which found that gender equality and the empowerment of women have generally been studied in the context of the livelihoods of smallholders and traditional communities, such as the babaçu-nut breakers and the former slaves' communities. Some existing programs, such as the Terra Legal Program which supports regularization of land titles for small holders in the "Legal Amazon" (including Maranhão and Tocantins) have included actions to empower the position of women through, for example, registration of the land titles in the name of both wife and husband (in that order). Less well studied is the relation between gender and agribusiness. Some studies have concluded that although agribusiness is often seen as a generator of wealth and local development, it is also responsible for the social exclusion of women from participation in the labor market ⁽²²⁾.
132. With regards to the monitoring of project benefits for female producers, one of the challenges is to find gender disaggregated statistical data to analyze and understand the role and position of women in agribusiness and other agricultural sectors ⁽²³⁾. Therefore, the proposed project will support the implementation of a robust gender assessment in one or two of the focal areas early on in the project. The purpose of this assessment is to understand the participation of women in the sector, the identification of possible inequalities or processes that produce inequalities, actions to revert those processes and indicators to monitor impacts of the present initiative on gender equality. Some indicators may be already available in the national gender information system – for example, the relation between average income of women and average income of men per municipality – others may need specific data gathering.
133. However, even without objective data, it is clear that women form a minority in the soy production chain and that there are few female women-producers or managers (some sources estimate that women make up 10% of soy producers in Brazil ⁽²⁴⁾). The project will work to ensure that direct benefits are provided to women throughout the households and communities in target landscapes, not only to those directly involved in commercial agriculture. Therefore, the gender assessment will also produce information about the position or role of women in smallholder agricultural production communities and traditional economies, such as the earlier mentioned babaçu-nut breakers and provide information about how women can be empowered.

²² See for example: Campos, Christiane Senhorinha Soares (2009). "Pobreza e exclusão feminina nos territórios do agronegócio – o caso de Cruz Alta/RS" PhD-thesis on: <http://www.lume.ufrgs.br/handle/10183/21080> and ROSSINI, R. A modernidade tecnológica no campo exclui a mulher e acelera as masculinidades na agricultura, anais do XIII Encontro da Associação Brasileira de Estudos Populacionais, Ouro Preto/MG, novembro de 2002.

²³ FAO: Gender and Land Statistics <http://www.fao.org/3/a-i5488e.pdf/>

²⁴ WWF Blog--Women are the future of responsible soy

134. Independent from this gender assessment, and the recommendations regarding the empowerment of women, the project will follow these principles:

- Gender equality will be taken into consideration when sourcing staff and consultants
- Explore gender issues in general and ensure that project staff and partners recognize that the needs of women and men may not be the same and that the impact of the project on them may therefore be different;
- Training courses will be gender sensitive in terms of participation, instructional design, and use of language (in line with output 1.2.1, 1.2.3, 2.1.2 and 2.1.3)
- Participation in meetings, training courses and other events will be documented using gender disaggregated data (in line with output 1.1.1, 3.1.1, and 3.1.4)
- Promote the role that women do and can play in project activities and remove possible barriers to their full participation through consultation with women and women's groups and the preparation and dissemination of information targeted to women (in line with 5.1.1)
- Support women's groups with technical advice (in line with 2.1.3)

135. Annual workplans will include the above specific actions related to gender mainstreaming, and an international consultant will be hired to provide support for these activities across all the IAP projects. As part of Component 5, the project will monitor the effects of project impacts on empowering women specifically.

South-South and Triangular Cooperation:

136. The project will divulgate its experiences, lessons learned, knowledge built, and scalable solutions that worked to reduce deforestation associated to soy supply chain in the MATOPIBA region. The project will make available and exchange experiences with other interested countries and, consequently encouraging them, on the methodology, tools, type of interventions and integrated approach for the creation of sustainable landscapes, especially in countries susceptible to commodity driven-deforestation.

V. FEASIBILITY

Cost efficiency and effectiveness

137. In order to delivery maximum results with available resources, the project intends to harness and optimize the opportunities related to the adoption of an integrated approach along soy supply chains. Through the application of resources at the end into filed activities, capacity building, governance and coordination, hiring of experts and staff, mapping, monitoring, among others, it will make possible to explore the most cost-effective alternatives, since design and implementation until the achievement of mid-term and end-term targets (close out).
138. The project will also relies on counterparts and co-financing from the government side, implementing partners (CSO), and undergoing projects and programs with similarities and common goals taking place in the same focal areas of MATOPIBA.
139. In the last decade, Brazil had significant drop in deforestation rates in the Amazon biome, which would not be feasible without measures that strategically involved all actors of the supply chain, beyond farmers and cattle ranchers. In that case, the processing sector, industries, traders, retailers, public attorney's office, civil society and consumers agreed and became aware about the importance to not sell, buy or consume soy from recently converted forest areas and meat from areas under no legal environmental compliance. This is a real proof that the commodity integrated approach already worked in Brazil and can be an effective pathway to reduce deforestation in the Cerrado, as well in the MATOPIBA region. Parts of the Tocantins and the Maranhão states, for example, integrate the Legal Amazon which may also have benefit from the initiatives (i.e. soy moratorium) that contributed to reduce deforestation in the Amazon biome.

Risk management

140. The project has identified several risks to the successful achievement of the objective and has incorporated mitigation measures into the strategy accordingly. These are described in the table below.

Table 7. Project risks and mitigation measures

Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Information registered in CAR will be unreliable.	Regulatory	Reliable data on private properties and on remnants of native vegetation on private properties would make landscape planning much easier. Medium I = 3 P = 3	One of the project partners, <i>Fundação Brasileira de Desenvolvimento Sustentável</i> (FBDS), is mapping natural vegetation cover of municipalities in the MATOPIBA region. This should serve as a proxy for compliance with the environmental legislation and, therefore, a control tool for the reliability of data in the CAR registry.	<i>Fundação Brasileira de Desenvolvimento Sustentável</i> (FBDS)	This risk was updated from high to medium after the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).
OEMAs will not have full capacity to	Organizational	Without capacity of environment agencies to check	If the procedure is to check all properties registered, the current capacity of OEMAs is	<i>Fundação Brasileira de Desenvolvimento</i>	This risk was updated from high to

Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
"validate" data.		and monitor individual properties, the credibility of the Forest Code would be seriously undermined. As compliance with the Forest Code underpins concepts and strategies, this may affect project assumptions and theory of change. Medium I = 3 P = 4	insufficient. However, if a system of random checks is adopted and if the chance to get caught is considered real, the lack of capacity to check all registers may not be a great risk.	<i>Sustentável</i> (FBDS)	medium after the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).
Conflicts over access to water will occur.	Environmental	Conflicts over access to natural resources may actually stress the relevance of the current initiative. Medium I = 3 P = 3	This risk is higher in Bahia and Piauí, where also most of the region's irrigation installations are located. The planned mapping and assessment of conflicts should help to identify possible conflicts over water in these or other regions. In case there indeed exist conflicts, the project should involve partners, such as the national water agency (ANA), The Nature Conservancy (with support for a study on water availability in Western Bahia); water basin committees or other relevant partners and promote dialogue.	Conservation International	This risk was maintained as medium after the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).
The project will be used as a palliative for possible negative impacts of the MATOPIBA development strategy on environment and livelihoods.	Environmental	If this initiative is perceived by one class of stakeholders as a palliative for the negative impacts of the proposed development strategy for the MATOPIBA region, it would lose its potential role as a forum for intermediation between all key stakeholders. High	To avoid or to reduce this risk, it will be important to involve all stakeholders and guarantee to all of them the opportunity to engage in the dialogue about the sustainable development of the region.	UNDP Brazil	This risk was listed during the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).

Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
		I = 4 P = 3 CRITICAL RISK			
Conflicts over lands will become increasingly intense.	Regulatory	Land grabbing practices and violent conflicts would jeopardize efforts to show that expansion of soy production can take place in a way that respects environmental and social legislation and the rights and stakes of other farmers or communities. High I = 4 P = 3 CRITICAL RISK	It is not a specific risk that is specific to this project. Land tenure is polemic issue in Brazil in general, which causes conflicts all over Brazil and in particular in areas where modern agriculture is expanding. The mapping of potential conflicts of interest between commodity production and private and communal land users, as well as the zoning and land use planning exercises should help to avoid conflicts with traditional communities. However, these activities are unlikely to resolve the general lack of transparency with respect to land titles and land grabbing practices.	UNDP Brazil	This risk was updated from medium to high during the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).
Loss of local knowledge and traditions.	Other	This risk is unlikely to affect the project. In the longer term, it may, however, affect livelihoods of community members and/or biodiversity conservation efforts. Medium I = 3 P = 3	This risk was listed during the consultation with community member representatives. It is not a risk specifically related to this project but rather to the expansion of the production of agricultural commodities in general. One of the pre-conditions for the conservation of local cultures and the continuation of traditions is security with respect to land rights. This project will not be able to guarantee these land rights but may play an important role in making demands from local communities more transparent and support dialogue about how to protect the livelihoods of local communities.	UNDP Brazil	This risk was listed during the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).
Leakage of illegal deforestation through clearing will take place in other regions.	Environmental	This would not directly affect the current initiative. Medium I = 2 P = 3	Implementation of the Forest Code and the Rural Environmental Registry (CAR) will make illegal deforestation more difficult. In addition, MATOPIBA is called the "last frontier". Within Brazil it is unlikely that there exist other new frontiers.	Conservation International	This risk was maintained medium after the Consultancy Meeting with Community representatives from

Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
					MATOPIBA (10 May 2016).
Lack of buy-in/commitment of traders	Organizational	<p>A lack of buy-in from traders would seriously affect the theory of change and the project assumptions</p> <p>Medium I = 4 P = 2</p>	As the tools for tracking and monitoring of production become more sophisticated and as ignoring the conditions under which production is taking place, is becoming a more significant risk, the expectation is that traders will commit to the principles of sustainable production.	Conservation International	This risk was updated from small to medium after the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).
Lack of interest of the market in sustainably produced soy	Organizational	<p>As soy is almost invisible to the end-consumer, as a significant part of the processing industry is relatively fragmented and as part of the production is exported to markets with traditionally limited interest in sustainability issues, the risk that the market does not show much interest is real. The impact on the project is probably however relative small, because the main driver for sustainable production is probably avoiding corporate risks, rather than market opportunities for sustainable soy.</p> <p>Small I = 2 P = 3</p>	The integrated whole supply-chain approach should help to overcome the risk of lack of interest of the market.	Conservation International	This risk was updated from medium to small after the Consultancy Meeting with Community representatives from MATOPIBA (10 May 2016).
Climate change affects the sustainability of production	Environmental	Some projections on climate change foresee that an increase in	Climate change is unlikely to have an impact during the duration of the project.	Conservation International	

Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
		<p>temperature in combination with changes in rain fall patterns will make the production of agricultural commodities in this region impossible.</p> <p>Small</p> <p>I=2</p> <p>P=2</p>	<p>If projections are correct, production will be affected by the changes in rain fall patterns and reduced access to water (see conflicts over access to water).</p> <p>Conservation of native vegetation and biodiversity and ecosystem services as proposed by the present initiative will up to a certain level mitigate changes in rain fall patterns and increased temperature through the creation of microclimates and regulation of hydrological fluctuations</p>		

Social and environmental safeguards

141. During the project preparation stage and stakeholder engagement process, significant concerns in terms of social and environmental risks and impacts were raised by community representatives from the MATOPIBA region. A meeting it was held with community organizations, organized by UNDP, including the Institute for Society, People and Nature (ISPN); *IOsenvolvimento* Agency; Alternatives for Small-Scale Farming in Tocantins (APA - TO); State Coordination of *Quilombola* Communities from Tocantins (COEQTO); *Central do Cerrado* Cooperative/Cerrado Network; and International Institute of Education from Brazil (IIEB). The meeting presented the scope of the project and consulted with the representatives from the communities and CSOs that are affected by social and environmental issues in the MATOPIBA region. They were encouraged to present their views on the project, make contributions, discuss and review the pre-identified project risks and mitigation measures, and communicate the current problems, conflicts and key challenges in the region. In addition, the participants were engaged in a discussion with the aim to build social and environmental safeguards relevant to the project, including gender aspects.
142. The project overall risk was categorized as moderate, which can be seen in detail in the Social and Environmental Screening Procedure (Annex F). Even though the project encompasses, in the majority, moderate risk activities, such as land tenure, land use change and/or conversion of natural habitats, intensification of large-scale agriculture versus local communities' livelihoods, these risks cannot directly be linked to project activities. In addition, the project proposes to monitor those risks through the participation of civil society in the Steering Committee.
143. In doing so, stakeholders will be engaged since the very start, and in parallel, be aware that they will have access to and an open channel with the UNDP Country Office (CO), in case of concerns raised about adverse social and environmental impacts. Considering that the project will be executed by Implementing Partners, which will delegate operations to other executing agencies, the project developers will be cautious and make available a Stakeholder Response Mechanism (SRM) to assist any critical grievance or dispute that may appear.

Sustainability and scaling up

144. The project will ensure sustainability of its impacts through the following measures: Firstly, the introduction of sustainable and low carbon agriculture management techniques will be achieved through an institutionalised system of support, and enhanced by the training of farmers, so that the support will continue beyond the project and sustainable practices can be made long term. Secondly, a significant proportion of the project will be to develop and put in place land use plans and zoning of different land types (such as soy production and conservation areas), as well as to improve policies, which will encourage a long term change in land use management, and help to mainstream the project impacts into ongoing practices. In addition, working closely with such a large number and range of stakeholders during the project will support the wide dissemination of knowledge and capacity across all stakeholder groups; furthermore, the establishment of communications and support platforms will help to enable long-term sharing of information and capacity support amongst the different stakeholders involved in the platforms, reducing the need for further external support. Finally, the project's one off investment into registering properties on the CAR will be coupled with the provision of support to improve monitoring of illegal deforestation and to encourage forest regeneration, which will enable the effective ongoing implementation of the Forest Code far beyond the duration of the project.
145. This Brazil child project serves as a demonstration project for the IAP overall, since it incorporates aspects of Production, Transactions and Demand within one project. The project will document all lessons learned as part of its adaptive management and learning component, and disseminated through the adaptive management and learning project of the IAP, including through the Global Community of Practice and study tours, in order to support the effective replication of its interventions and incorporation of lessons learned into broader initiatives. Collaboration with relevant government agencies and a wide range of stakeholders throughout the project, including through the Project Board, will also help to build knowledge and capacity for the project interventions and impacts to be continued within country, without GEF support.

VI. PROJECT RESULTS FRAMEWORK

Guidance to project developer: Indicators are required for the project objective and the four project component/outcomes only. Each indicator must have a baseline value and

This project will contribute to the following Sustainable Development Goal (s): End hunger, achieve food security and improved nutrition and promote sustainable agriculture.					
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: <i>copy relevant outcome here</i>					
This project will be linked to the following output of the UNDP Strategic Plan: Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.					
	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline²⁵	Mid-term Target²⁶	End of Project Target	Assumptions²⁷
Project Objective: To reduce the threat to biodiversity that the advancing agricultural frontier is posing in the Matopiba region, through a supply chain approach that solves the underlying root causes of deforestation from soy.	1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.	9,000 properties are currently registered and in line with Forest Code	10,500 properties that are under the Forest Code	12,000 properties under the Forest Code	Assumption is that approximately 25% of properties are not under the Forest Code
	2: Number of direct project beneficiaries (women and men) Project Indicator: It is estimated that 10% of soy farmers are women; however, it is assumed that per property there are four members, with 50% males, 50% females	36,000 community members (9,000 property owners/farmers; assuming four family members per property) 18,000 males; 18,000 females Baseline and targets to be confirmed during the inception phase.	42,000 community members (10,500 property owners/farmers; assuming four family members per property) 21,000 males; 21,000 females	48,000 community members (12,000 property owners/farmers; assuming four family members per property) 24,000 males; 24,000 females	Assumption is that there are 3,000 beneficiary households that are not under the Forest Code and not able to fully enjoy access to markets and credit due to their non-compliance with this law. Assuming that each beneficiary household has four household members
	3: Deforestation rates in Matopiba region.	7,249 km ² /year (2011) (waiting for 2013 figures to be established in Year 1	Reduction to rates below 2013 figures	Reduction to rates around 5000km ²	The assumption is that the rural environmental registry (CAR) will prove to be an effective monitoring tool and that deforestation rates will regularly be monitored. Due to constraints in obtaining the data, which is non-existent at this stage, we are utilizing the data here from 2009, while we wait for the 2013 baseline

²⁵ Baseline, mid-term and end of project target levels must be expressed in the same neutral unit of analysis as the corresponding indicator. Baseline is the current/original status or condition and need to be quantified. The baseline must be established before the project document is submitted to the GEF for final approval. The baseline values will be used to measure the success of the project through implementation monitoring and evaluation.

²⁶ Target is the change in the baseline value that will be achieved by the mid-term review and then again by the terminal evaluation.

²⁷ Risks must be outlined in the Feasibility section of this project document.

					information. It is the goal to obtain this in the first year of implementation.
Component/Outcome 1.1: A shared vision on expansion of the production of agricultural commodities in the Matopiba region in combination with the conservation of biodiversity and ecosystem services through sustainable land management and the creation of sustainable productive landscapes.	4: Number of policy recommendations taken up by policy makers including gender sensitive proposal	0 (zero)	Proposals/ recommendations prepared	4 significant proposals taken up (turned into policy or operational instructions) by municipal, state or federal governments	
Component/Outcome 1.2: Improved environmental management.	5: Area and percentage of productive area registered in the SICAR system	The estimated number of properties in 10 municipalities in two focal areas is 12,000. Based on SICAR progress reports and the assumption that most of the soy producers have already registered their property, estimates are that 25% of all properties (mostly smallholders) or 3000 properties still need to be registered, covering 300,000-500,000 hectares. Estimated baseline is that 9,000 properties, or 75% of all properties have already been registered.	50% or 1,500 farmers (men and women) have been supported directly or have been induced to register their property in the SICAR system. This should be equivalent to some 250,000 hectares.	100% or 3,000 farmers (2,700 men and 300 women - it is estimated that 10% of soy farmers are women) have been supported directly or have been induced to register their property in the SICAR system. This should be equivalent to some 500,000 hectares.	Most large properties with an interest in registration in the SICAR (to avoid fines) would have registered before the May 2016 deadline. Most of the properties not registered by May 2016 will be smallholder properties that are more difficult to mobilize and reach.
	6: Area under restoration	The total deficit in Permanent Preservation Areas in Tocantins is 241,233 hectares. Extrapolation from this, results in an estimate of 648,612 hectares for the Matopiba region and 50,000 hectares in the 10 focal municipalities.	2.5% of the total APP deficit under restoration (1,250 hectares). This is estimated to be equivalent to 82,500 tons of CO ₂ .	5% of the total APP deficit under restoration (2,500 hectares). This is estimated to be equivalent to 165,000 tons CO ₂ .	The assumption is that strengthening of the restoration supply chain will make different forms of restoration cheaper and more feasible.
	7: Number and size of traditional lands protected through safeguards	See annex M for baseline about recognized/ regulated	Established in assessment about critical lands in Year 1.	Final targets will be established in the assessment about	The assumption is that there are traditional communities living in the focal area that

		and unrecognized lands. In the whole Matopiba area this amounts to 28 indigenous lands (4.16 million hectares) and 35 communities of former slaves (231,438 hectares)		critical lands.	are being affected by the expansion of soy production and that the project will be able to establish with local governments, farmers and trading organizations ways to limit the impacts on the livelihoods of these communities.
Component/Outcome 2.1: A system of support in the four focal areas prepared and implemented that will help farmers to adopt sustainable management of their properties and sustainable agricultural practices.	8: Percentage of soy farmers (men and women) that have adopted sustainable management and practices Proxy indicator: Projects in the region financed by the ABC program (data from BNDES)	1,200 farmers (estimate for the harvest 2014-2015) in 10 municipalities –	To be defined 1,500 farmers	Increase by 50% to - 1800 farmers of which (180 are female).	The assumption is that better knowledge about the ABC Program will increase the number of loan proposals.
Component/Outcome 3.1: Improved planning for expansion of production and conservation.	9: Area under integrated management identified and agreed (proposals for conservation units submitted and management plans agreed)	0 (zero)	3,500 hectares	10,000 hectares	Integrated management includes APPs in restoration, conservation areas on private lands (RPPNs) and other conservation units; sustainable use conservation areas for which management plans were agreed).
	10: Area under legal protection as percentage of total area of the Matopiba region (including indigenous lands, conservation areas, lands of quilombolas and forest code preservation areas)	Forest code preservation areas to be defined. Conservation areas: 3,725,752 (full protection), 5,158,138 (sustainable use), 20,364 (on private lands), 231,438 (quilombolas lands) and 4,158,962 (indigenous lands.		40% of all the total Matopiba area covered with native vegetation.	
Component/Outcome 4.1: Increased market demand for responsibly sourced soy	11: Project specific From WWF prodoc # of companies that have increased capacity to make and implement commitments to source reduced deforestation commodities	0 (to be measured during project implementation)	Y2 30	Y4 60	

	12: Project specific From WWF Prodoc # companies with increased capacity to use decision-relevant information developed by the Transparency portal to inform their strategies	0 (portal not yet developed)	Y26 (3 for each commodity)	Y4 6 (3 for each commodity)	
	13: Project specific From WWF Prodoc: # <i>assessments conducted and successfully shared with relevant stakeholders</i>	2016: 0 jurisdictions where beef/soy is mapped from origin to destination	5570 (soy), 17 (beef)	5570 (soy), 17 (beef)	
Component/Outcome 4.2: Financial sector engaged in the promotion of sustainable soy	14: Project specific 1 new long-term finance product developed based on findings from the business case analysis	0	0	1	
	15: Project specific Identification of pilot landscapes or farmers to test the long-term finance product through workshops	0	4	6-8 workshops	
Component/Outcome 5.1: Project coordinated and lessons learned disseminated	16: Number of lessons learned and disseminated	0	2	4	Assuming that lessons learned in our focal areas are relevant for other areas.

VII. MONITORING AND EVALUATION (M&E) PLAN

146. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. *Supported by Component/Outcome 5: Knowledge Management and M&E, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.*
147. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies²⁸.
148. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.²⁹
149. The M&E Plan is part of Component 7 to monitor progress in environmental regularization. The present initiative will support the monitoring of compliance of farmers with the Forest Code. In addition, the project will support the development and implementation of a monitoring protocol of selected ecosystem services in the region. The decision on which ecosystem service will be monitored will be taken on the basis of consultation with local partners. However, access to water is likely to be a strong candidate. The project will also support the application of the landscape accounting framework to monitor specific elements of selected landscapes.
150. Monitoring of gender roles (output 2) will consist, first, of an assessment of the role and position of women in different classes of the agriculture sector: agro-business; smallholder-family-based agriculture and community-based agriculture and/or natural resources extraction. This assessment should not only provide a description and analysis of the role and position of women in these sectors, but also recommendations for actions to improve the participation of women and of their position in general and with respect to indicators to monitor impacts of project interventions. The final output (project/GEF monitoring) refers to project progress and impacts monitoring.

M&E Oversight and monitoring responsibilities:

151. **Project Manager:** CI will hire a Project Manager responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the Project Steering Committee, the Executive Committee, the UNDP Country Office and the UNDP-GEF RTA (Head of the Green Commodities Programme) of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

²⁸ See https://www.thegef.org/gef/policies_guidelines

²⁹ See https://www.thegef.org/gef/gef_agencies

152. The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc.), and reporting to the Project Board, Project Steering Committee and Executive Committee at least once a year.
153. Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.
154. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.
155. UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.
156. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager. The project target groups and stakeholders including the GEF Operational Focal Point will be involved as much as possible in project-level M&E.
157. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).
158. UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.
159. **Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on CSO implemented projects.³⁰
160. **Additional GEF monitoring and reporting requirements:**

³⁰ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

161. Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:
- i. Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
 - ii. Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
 - iii. Review the results framework and finalize the indicators, means of verification and monitoring plan;
 - iv. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
 - v. Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
 - vi. Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
 - vii. Plan and schedule Project Board, Project Steering Committee and Executive Committee meetings and finalize the first year annual work plan.
162. The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.
163. GEF Project Implementation Report (PIR): The CI Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.
164. The PIR submitted to the GEF each year will be shared with the Project Board, Steering Committee and Executive Committee. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.
165. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.
166. GEF Focal Area Tracking Tools
167. As part of the Commodities Integrated Approach Pilot programme, this project will implement the Tracking Tool specifically tailored for the programme, which includes aspects on Biodiversity, Sustainable

Forest Management and Climate Change Mitigation. The baseline/CEO Endorsement GEF Focal Area Tracking Tool – submitted as Annex D to the project document – was carried out during the PPG phase and will be updated by the Project Manager/team with a support from a consultant) and shared with the mid-term review consultants and terminal evaluation consultants before the required review/evaluation missions take place. The updated GEF Tracking Tool will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

168. Independent Mid-term Review (MTR)

169. An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 2nd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

170. Terminal Evaluation (TE)

171. An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

172. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

173. Final Report

174. The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Table 8. Monitoring and Evaluation plan and budget

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³¹ (USD)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 11,000	None	Within two months of project document signature
Inception Report	Project Manager	None	None	Within 1 month of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	Per year: USD 4,000 =USD12,000	None	Annually
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 8,000 =USD24,000 ³²	None	Annually or other frequency as per UNDP Audit policies
Supervision missions	UNDP Country Office	None ³³	n/a (GEF Agency fee)	Annually
Oversight missions	UNDP-GEF team	None ³³	n/a (GEF Agency fee)	Troubleshooting as needed
Adaptive Management, Learning and M&E as outlined in component 5	Project Manager	Please see budget	None	On-going
GEF Secretariat learning missions /site visits	Project Manager and UNDP-GEF team	None	n/a (GEF Agency fee)	To be determined.
Mid-term GEF Tracking Tool to be updated by consultant	Project Manager	USD 10,000	None	Before mid-term review mission takes place.
Independent Mid-term Review (MTR)	UNDP Country Office and Project team and UNDP-GEF team	USD 30,000	None	Between 2 nd and 3 rd PIR.
Final GEF Tracking Tool to be updated by consultant	Project Manager	USD 10,000	None	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan	UNDP Country Office and Project team and UNDP-GEF team	USD 40,000	None	At least three months before operational closure
Translation of MTR and TE reports into English	UNDP Country Office	USD 5,000	None	As required. GEF will only accept reports

³¹ Excluding project team staff time and UNDP staff time and travel expenses.

³² Excludes indirect costs, which is shown in the budget notes.

³³ The costs of UNDP Country Office and UNDP-GEF's participation and time are charged to the GEF Agency Fee.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³¹ (USD)		Time frame
		GEF grant	Co-financing	
				in English.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		\$142,000 ³⁴		

³⁴ Other M&E costs such as workshops form part of Component 5 project technical costs

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism

175. The project will be implemented following UNDP's Civil Society Organisation (CSO) implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Brazil, and the Country Programme. The UNDP-CI Project Cooperation Agreement template can be found in Annex K.
176. UNDP is the GEF Agency for this project. The lead **Implementing Partner** for this project is CI, selected under the method of collaborative advantage and the capacity assessment (see Annex J). The agreement on the project document will be made between CI and UNDP and the Brazilian government. CI will be responsible and accountable for managing this project, including for the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources, including coordination of the implementation by both WWF and the International Finance Corporation (IFC), both responsible parties for particular activities within this project and within their own respective child projects.
177. Based on request of implementing partner, UNDP Country Office will provide direct project services and will charge DPC according to UNDP DPC policy on GEF funded projects.
178. CI will be responsible for the direct execution of components 1 through 3, specific activities within component 4 and component 5 (coordination, KM and M&E). WWF will be responsible for the execution of outcome 4.1 (responsible demand) and IFC for outcome 4.2 (commercial transactions). The WWF and IFC interventions will be monitored under their respective M&E plans.
179. The role of both WWF and IFC follow logically from their involvement in the global initiative of which the present project is a part. WWF is the implementing agency for the global component on demand, while the IFC is the implementing agency for the global component on commercial and financial transactions. Given their roles in the global initiative, their responsibility is to translate global issues with respect to demand and to commercial transactions to the local Brazilian reality.
180. At the beginning of the project, Conservation International will issue subgrant agreements to 2 organizations: Sociedade Rural Brasileira (SRB); Fundação Brasileira para o Desenvolvimento Sustentável (FBDS). In addition, during the implementation of this project, CI will collaborate with partners Fundação de Apoio a Pesquisa para o Corredor de Exportação Norte (FAPCEN); Associação de Agricultores e Irrigantes de Bahia (AIBA) e Federação da Agricultura e da Pecuária do Estado do Tocantins (FAET). The partners selected for the execution of this project have a clear comparative advantage to support the implementation of this complex project. CI will conduct a capacity assessment of the partners to assure their financial abilities to implement the project. SRB and FBDS will be responsible to CI and follow CI procurement policies as long as they are in line with those of UNDP. They will provide support by (i) jointly coordinating with CI on the planning and monitoring of the technical aspects of the Project, including regular visits to project intervention areas and monitoring progress in achieving project outcomes and outputs; (ii) support CI in the preparation of periodic progress and technical reports, and regular consultations with beneficiaries and contractors; (iii) support CI in the development of the Annual Workplan and detailed Budget (AWP/B) with inputs from local stakeholders participating in project execution; and (iv) mobilization and coordination of baseline and co-financing resources as contemplated in the project document. CI will be responsible for the day-to-day monitoring and financial management in accordance with its own policies and procedures, UNDP rules as applicable and GEF required fiduciary standards for the partners.
181. The project organisation structure is as follows:

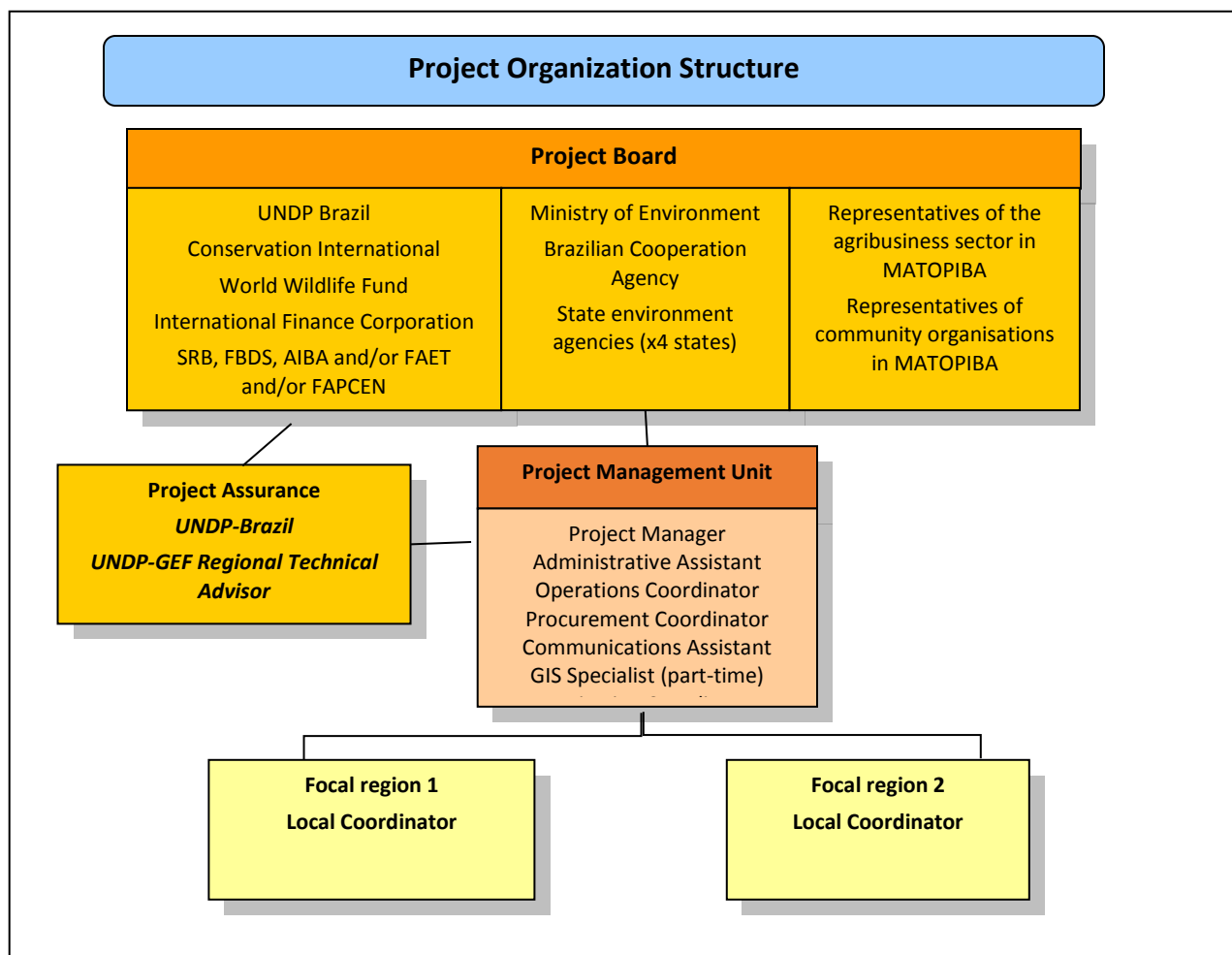


Figure 4. Project organisational structure

182. The **Project Board** is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. The Project Board is comprised of the following members: UNDP; the Brazilian Cooperation Agency (ABC) of the Ministry of External Affairs (MRE); The Ministry of Environment; Conservation International; WWF; IFC; the state environment agencies of the states of Maranhão, Tocantins, Piauí and Bahia; the executing agencies, SRB, FBDS and depending on the selection of focal areas AIBA and/or FAET and/or FAPCEN; representatives of the agribusiness sector also involved in the forum for dialogue and discussion about the sustainable development of the MATOPIBA region (output 3.1); representatives of the community organization also involved in the forum for dialogue and discussion about the sustainable development of the MATOPIBA region (output 3.1).

183. The Project Board will meet twice per year with the objective to discuss progress and impact reports and to provide guidance and recommendations to the execution of activities during the following months. In addition, the meeting should be a forum for exchange of experiences between the two focal areas and between the different components of the project. Furthermore, it is expected that the Board meetings of all the projects with the IAP will be coordinated so that during these meetings the implementing agencies share lessons of the global initiative that may be of relevance to the execution of the initiative in Brazil. Representatives of federal and

state governments are expected to share with the Board information about initiatives or policies of relevance to the present initiative.

184. A **Project Management Unit**, consisting of a core group of the main proponents of the Brazil-initiative (CI, FBDS and SRB) as well as other key staff that are supporting other components of the project, will be responsible for the coordination, planning and execution of project activities. Its core-group will consist of:

- i. Project Manager
- ii. Administrative Assistant
- iii. Operations Coordinator
- iv. Procurement Coordinator
- v. Communications Assistant
- vi. Part-time time GIS Specialist.
- vii. Two local coordinators (one in each focal region).

185. The Project Manager and two local coordinators will be selected by CI in coordination with FDBS and SRB. The Project Manager will manage the project on a day-to-day basis and provide technical support as a full-time staff of the Implementing Partner and will be based in the CI office in Brasília. All other positions will be selected and hired by CI following its rules and procedures. The Operations Coordinator, Procurement Coordinator and the Administrative Assistant will be based in the CI office in Brasília. The local coordinators will work from AIBA and FAET offices.

186. Detailed TORs for the key positions to be hired can be found in Annex E. Technical positions have also been added to this project and are described in the budget notes, but they are not 100% full-time, rather providing support to specific activities.

187. The **project assurance** role will be provided by the UNDP Country Office. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

Governance role for project target groups

188. Project target groups and stakeholders (including the GEF Operational Focal Point) will be engaged as much as possible in decision making process. This will be enabled through the representation of community organisations and agribusinesses within the MATOPIBA region on the Project Board.

Use of logo on the project's deliverables and disclosure of information

189. In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy³⁵ and the GEF policy on public involvement³⁶.

³⁵ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

³⁶ See https://www.thegef.org/gef/policies_guidelines

IX. FINANCIAL PLANNING AND MANAGEMENT

190. The total cost of the project is USD 34,804,678. This is financed through a **GEF grant of USD 6,600,000**, and a total of USD 28,204,678 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing from third-party sources transferred to UNDP bank account only, if applicable.

191. Parallel co-financing: The actual realization of project co-financing will be monitored during the *mid-term review* and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
<i>Fundação Brasileira de Desenvolvimento Sustentável</i>	In-kind	USD 556,476	For Component 3	None	None
<i>Conservation International</i>	Cash	USD 413,202	To support the operationalization of the project (PMC) and component 5 Knowledge Management and Monitoring and Evaluation through support to M&E	None	None
<i>UNDP Brazil</i>	In-Kind	USD 100,000	Support to the Steering Committee and technical backstopping. Component 5.	None	None
<i>SRB</i>	In-kind	USD 235,000	For component 2	None	None
<i>SRB (Farmer Investments in Landscapes)</i>	Cash/in-kind ³⁷	USD 10,000,000	For component 2	Farmers do not invest in the number of hectares estimated	Project will engage and monitor the farmers' investments closely to assure that it is on target.
<i>Ministry of Environment (MMA)</i>	In-kind	USD 16,900,000	For Component 1	None	None

192. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the Project Board will agree on a budget tolerance level for the annual workplan/budget allowing the Project Manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP

³⁷ This is an estimate based on how much it costs to restore hectares of degraded land at R\$14,000 per hectare. It is estimated that 2,500 hectares will be under restoration that will directly contribute to the goals of this program.

Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations between major components of the project budget for amounts exceeding 10% of the total project budget; b) Introduction of new budget components that exceed 5% of original project budget., c) If exchange rate fluctuations decrease the value of the GEF Grant amount to such an extent that this will have consequences for the implementation of the Project, then CI shall inform UNDP as soon as possible in order for both organizations to negotiate a revision to the annual workplan and budget

193. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).
194. Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.
195. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.³⁸ On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.
196. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.
197. Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final [Combined Delivery Report](#) (which serves as final budget revision).
198. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

³⁸ see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

X. LEGAL CONTEXT

199. Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b. assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan

200. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document and the Project Cooperation Agreement between UNDP and the Implementing Partner.

201. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document".

202. Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XI. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Atlas ³⁹ Proposal or Award ID:	00097304	Atlas Primary Output Project ID:	00101093
Atlas Proposal or Award Title:	Taking Deforestation out of the Soy Supply Chain		
Atlas Business Unit	BRA10		
Atlas Primary Output Project Title	00101093		
UNDP-GEF PIMS No.	5896		
Implementing Partner	Conservation International		

GEF Component/Atlas Activity	Responsible Party/ ⁴⁰ (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
COMPONENT T/ OUTCOME 1: 1. Dialogue, policies and enforcement	CI	62000	GEF	71200	International Consultants	\$11,627	\$10,856	\$14,915	\$1,013	\$38,411	1
				71300	Local Consultants	\$143,670	\$154,182	\$153,232	\$8,262	\$459,346	2
				71400	Contractual services – Indiv.	\$143,404	\$170,127	\$114,816	\$3,573	\$431,921	3
				72100	Contractual Services companies	\$3,869	\$3,539	\$2,932	\$121	\$10,461	4
				72800	Equipment and furniture	\$12,740	\$554	\$554	\$0	\$13,848	5
				72300	Materials and Goods	\$87,006	\$0	\$0	\$0	\$87,006	6
				71600	Travel	\$87,492	\$126,490	\$119,552	\$5,366	\$338,899	7

³⁹ See separate guidance on how to enter the TBWP into Atlas

⁴⁰ Only the responsible parties to be created as Atlas Implementing Agent as part of the COAs should be entered here. Sub-level responsible parties reporting directly to NIM Implementing Partners should not be entered here. For example, if under NIM, UNOPS signs LOA with the IP to manage component 2, and a department of Ministry X will manage component 3, this means that UNOPS will be listed as the responsible party under component 2. The rest of the components will list the IP as the responsible party.

				72600	Grants ⁴¹	\$298,682	\$99,561	\$55,932	\$6,215	\$460,389	8
				73100	Rental & Maintenance - premises ⁴²	\$19,028	\$20,124	\$20,685	\$1,202	\$61,039	9
					Sub-total GEF Component/Outcome 1	\$807,517	\$585,433	\$482,618	\$25,752	\$1,901,320	
COMPONENT/ OUTCOME 2: 2. Farmer support systems	CI	62000	GEF	71300	Local Consultants	\$54,336	\$59,770	\$62,303	\$3,444	\$179,852	10
				71400	Contractual servs. Indiv.	\$22,528	\$2,331	\$5,593	\$621	\$31,073	11
				72100	Contractual servs. companies	\$154,746	\$196,540	\$167,486	\$7,302	\$526,073	12
				72800	Equipment and furniture	\$1,709	\$0	\$0	\$0	\$1,709	13
				71600	Travel	\$44,673	\$56,595	\$49,038	\$2,272	\$152,577	14
				72600	Grants	\$101,714	\$132,787	\$126,148	\$6,639	\$367,288	15
				73100	Rental & Maintenance - premises	\$7,970	\$8,688	\$8,976	\$494	\$26,128	16
					sub-total GEF Component/Outcome 2	\$387,676	\$456,710	\$419,543	\$20,772	\$1,284,701	

⁴¹ The Implementing Partner will issue FDBS and SRB a sub-grant agreement for their participation in the Project. SRB and FDBS will be responsible to CI and follow our procurement policies as long as they are in line with those of UNDP. They will provide support by (i) jointly coordinating with CI on the planning and monitoring of the technical aspects of the Project, including regular visits to project intervention areas and monitoring progress in achieving project outcomes and outputs; (ii) support CI in the preparation of periodic progress and technical reports, and regular consultations with beneficiaries and contractors; (iii) support CI in the development of the Annual Workplan and detailed Budget (AWP/B) with inputs from local stakeholders participating in project execution; (iv) mobilization and coordination of baseline and co-financing resources as contemplated in the project document. CI will be responsible for the day-to-day monitoring and financial management in accordance with applicable UNDP rules and GEF required fiduciary standards for the partners.

⁴² This category includes office-related expenses for CI's project office in Brasilia and Rio de Janeiro as well as CI's administrative and office-related costs for the Brazil program based on CI's allocation methodology. CI considers all expenses in its country offices as direct costs. Administrative and office-related costs that are required to carry out a project, but are difficult to attribute to a specific project, such as rent, electricity or administrative support staff, are allocated to projects based in the ratio of non-administrative salary expenses per project to the program's total non-administrative salary expenses for the same period

COMPONENT/ OUTCOME 3: 3. Land use planning	CI	62000	GEF	71200	International Consultants	\$13,271	\$13,484	\$13,361	\$724	\$40,840	17
				71300	Local Consultants	\$84,973	\$108,874	\$113,922	\$6,321	\$314,090	18
				71400	Contractual Services - Indiv	\$68,051	\$44,946	\$11,076	\$0	\$124,072	19
				72100	Contractual Services Companies -	\$4,801	\$9,754	\$21,412	\$1,829	\$37,795	20
				72800	Equipment and Furniture	\$3,962	\$855	\$0	\$0	\$4,816	21
				71600	Travel	\$45,761	\$79,821	\$86,693	\$4,694	\$216,970	22
				72600	Grants	\$409,921	\$365,703	\$121,901	\$0	\$897,525	23
				73100	Rental & Maintenance Premises -	\$12,042	\$13,023	\$13,433	\$738	\$39,236	24
					sub-total GEF Component/Outcome 3	\$642,782	\$636,460	\$381,796	\$14,307	\$1,675,345	
COMPONENT/ OUTCOME 4: 4. Supply chain integration	CI	62000		71200	International Consultants	\$12,179	\$10,856	\$15,458	\$1,073	\$39,567	25
				71300	Local Consultants	\$48,457	\$52,976	\$55,577	\$3,092	\$160,102	26
				71400	Contractual Services - Indiv	\$34,958	\$48,941	\$17,619	\$404	\$101,921	27
				72100	Contractual Services Companies -	\$777	\$2,331	\$16,935	\$1,709	\$21,751	28
				71600	Travel	\$4,593	\$7,871	\$11,319	\$893	\$24,676	29
				73100	Rental & Maintenance Premises -	\$11,709	\$12,537	\$13,348	\$754	\$38,348	30

					sub-total GEF Component/Outcome 4	\$112,673	\$135,511	\$130,255	\$7,926	\$386,365	
COMPONENT/ OUTCOME 5: KM and M&E Adaptive Management, Learning and M&E	CI	62000	GEF	71200	International Consultants	\$15,290	\$13,383	\$18,574	\$1,277	\$48,524	31
				71300	Local Consultants	\$59,794	\$65,506	\$68,573	\$3,807	\$197,679	32
				71400	Contractual Services - Indiv	\$16,314	\$38,842	\$51,116	\$2,486	\$108,757	33
				72100	Contractual Services - Companies	\$30,102	\$31,811	\$81,436	\$7,357	\$150,706	34
				72200	Equipment and Furniture	\$5,127	\$2,031	\$2,031	\$0	\$9,188	35
				71600	Travel	\$68,418	\$59,464	\$60,599	\$2,721	\$191,201	36
				72600	Grants	\$121,083	\$99,642	\$54,995	\$1,766	\$277,486	37
				73100	Rental & Maintenance - Premises	\$17,128	\$18,424	\$19,380	\$1,083	\$56,015	38
					sub-total GEF component/outcome 5	\$333,255	\$329,102	\$356,703	\$20,497	\$1,039,557	
PROJECT MANAGEMENT UNIT⁴³ \\	CI	62000	GEF	71300	Local Consultants	\$43,121	\$47,433	\$49,443	\$2,733	\$142,730	39
				72200	Equipment and Furniture	\$3,667	\$148	\$148	\$0	\$3,962	40
				71600	Travel	\$11,601	\$13,635	\$13,351	\$1,400	\$39,986	41
				73100	Rental & Maintenance - Premises	\$33,477	\$36,423	\$37,569	\$2,065	\$109,535	42

⁴³ Should not exceed 5% of total project budget for FSPs and 10% for MSPs. PMU costs will be used for the following activities: Full time or part time project manager (and or coordinator); Full time or part time project administrative/finance assistant; Travel cost of the PMU project staff; Other General Operating Expenses such as rent, computer, equipment, supplies, etc. to support the PMU; UNDP Direct Project Cost if requested by Government Implementing Partner; Any other projected PMU cost as appropriate. Audit should be funded under Outcome 4 on KM and M&E or under project outcomes.

				74598	Direct Costs ⁴⁴	Project	\$5,500	\$5,500	\$4,950	\$550	\$16,500	43
					sub-total PMC		\$97,365	\$103,138	\$105,460	\$6,749	\$312,712	
				PROJECT TOTAL			\$2,381,268	\$2,246,354	\$1,876,375	\$96,003	\$6,600,000	

**Summary of
Funds:** ⁴⁵

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total
GEF	\$2,381,268	\$2,246,354	\$1,876,375	\$96,003	\$6,600,000
<i>Fundação Brasileira de Desenvolvimento Sustent.</i>	\$185,492	\$185,492	\$185,492		\$556,476
<i>Conservation International</i>	\$137,734	\$137,734	\$137,734		\$413,202
<i>UNDP Brazil</i>	\$25,000	\$25,000	\$25,000	\$25,000	\$100,000
<i>SRB</i>	\$78,333	\$78,333	\$78,334		\$235,000
<i>SRB (Farmer Investments)</i>	\$3,333,333	\$3,333,333	\$3,333,334		\$10,000,000
<i>Ministry of Environment (MMA)</i>	\$6,337,500	\$5,281,250	\$5,281,250		\$16,900,000
TOTAL	\$12,478,660	\$11,287,496	\$10,917,519	\$121,003	\$34,804,678

⁴⁴ UNDP is charging a fee to account for their costs during disbursement.

⁴⁵ Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

Budget notes	
Component 1	
1	This line includes the salary and fringe costs of CI HQ staff assigned to work on this project: Senior Director, Sustainable Food & Agriculture Markets (21 days+ benefits); Director, Agriculture (32 days + benefits). Daily rates include base salary + fringe benefits. Rates are a weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe
2	This line includes the salary and fringe costs of CI local staff assigned to work on this project: Project Manager (264 days + benefits); Focal Area 1 Coordinator (666 days +benefits); Focal Area 2 Coordinator (666 days + benefits); Restoration Coordinator (200 days + benefits); Landscape Strategy Director (66 days+ benefits); Governance Manager (89 days +benefits); Operations Coordinator (150 days +benefits); Administrative Assistant (334 days + benefits); Procurement Coordinator (300 days + benefits). Daily rates include base salary + fringe benefits. Rates are a weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe.
3	Consultancies to support farmers with registration and regularization (@56,892 USD each); Study on the restoration supply chain in priority areas (@25,819 USD); Assessment of threats to traditional lands and report on critical areas (@25,819 USD each); Consultancy to prepare safeguards, discuss in workshop, prepare procedures (@39,491USD); Prepare engagement strategy with main players (@13,389USD); Facilitate workshops (@13,389 USD); Support formulation and development of policy recommendations (@78,644 USD). Inclusive of 10% NGO Administration Costs in each line item.
4	NGO Administration Costs
5	Office furniture and equipments (computer, printer), for 2 focal areas. Inclusive of 10% NGO Administration Costs in each line item.
6	2 cars for transportation in the Focal Areas @44,000USD each. Inclusive of 10% NGO Administration Costs in each line item.
7	The goal of this project is to engage and provide lessons learned to a whole group of beneficiaries, which requires paying for their travel to workshops and meetings. It Includes travels for the focal areas to provide oversight/supervision, travels to develop assessments and studies, travels to promote experience exchange between nurseries and costs of local terrestrial transportation. This travel also includes costs for national workshop participants. This is the cost for domestic and international travel and consists of airfare, fuel for terrestrial transportation, hotel and lodging, meals and catering. Domestic airfare estimated round trip @ 436 USD, Transportation @26USD per day, Hotel lodging @79USD per day, and meals @25 USD per day. 3 International round trips. International airfare round trip @ 1650 USD, Hotel/lodging @275USD, Meals @ \$110 per day, and transportation @29 USD per day. Inclusive of 10% NGO Administration Costs in each line item.
8	Sub-grant to FBDS for the mapping of permanent preservation areas (@398,243USD) and a Call for Proposals to support of nurseries @62,148 USD. Contributing to output 1.2.1, and 1.2.2. Inclusive of 10% NGO Administration Costs in each line item.
9	This category includes office-related expenses for CI's project office in Brasília and Rio de Janeiro as well as CI's administrative and office-related costs for the Brazil program based on CI's allocation methodology. CI considers all expenses in its country offices as direct costs. Administrative and office-related costs that are required to carry out a project, but are difficult to attribute to a specific project, such as rent, electricity or administrative support staff, are allocated to projects based in the ratio of non-administrative salary expenses per project to the program's total non-administrative salary expenses for the same period. Is inclusive of 10% NGO Administration Costs in each line item.

Component 2	
10	This line includes the salary and fringe costs of CI local staff assigned to work on this project: Project Manager (66 days +benefits); Restoration Coordinator (466 days+ benefits); Landscape Strategy Director (66 days +benefits); Operations Coordinator (182 days +benefits), Procurement Coordinator (150 days + benefits). Daily rates include base salary + fringe benefits. Rates are a weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe. NGO Administration Costs
11	Consultancies for developing models of productive restoration of legal reserves (@15,537 USD), Edit recommendations to Planaveg (@6,214.69 USD). Inclusive of 10% NGO Administration Costs in each line item.
12	Services for preparation of training and awareness raising events on adaptive management (@77,684 USD), Rural extension services (@77,684 USD, Best practices to increase rentability (@62,147 USD), standardization of norms and licensing procedures (@27,966 USD), Low Carbon Agriculture (@107,203 USD), RTRS certification (@29,520 USD) .Inclusive of 10% NGO Administration Costs in each line item.
13	Computer for new staff. Inclusive of 10% NGO Administration Costs in each line item.
14	The goal of this project is to engage and provide lessons learned to a whole group of beneficiaries, which requires paying for their travel to workshops and meetings. It Includes travels for the focal areas to provide oversight/supervision, travels to develop assessments and studies, travels to promote experience exchange between nurseries and costs of local terrestrial transportation. This travel also includes costs for national workshop participants. This is the cost for domestic and international travel and consists of airfare, fuel for terrestrial transportation, hotel and lodging, meals and catering. Domestic airfare estimated round trip @ 436 USD, Transportation @26USD per day, Hotel lodging @79USD per day, and meals @25 USD per day. 3 International round trips. International airfare round trip @ 1650 USD, Hotel/lodging @275USD, Meals @ \$110 per day, and transportation @29 USD per day. Inclusive of 10% NGO Administration Costs in each line item.
15	Includes Grants to Support extension NGO Administration Costs. services in focal areas 1 and 2 @ 155,367 USD, and sub-grants to SRB for coordination and engagement @211,921 USD contributing to 2.1.2 and 2.1.3. Inclusive of 10% NGO Administration Costs in each line item.
16	This category includes office-related expenses for CI's project office in Brasília and Rio de Janeiro as well as CI's administrative and office-related costs for the Brazil program based on CI's allocation methodology. CI considers all expenses in its country offices as direct costs. Administrative and office-related costs that are required to carry out a project, but are difficult to attribute to a specific project, such as rent, electricity or administrative support staff, are allocated to projects based in the ratio of non-administrative salary expenses per project to the program's total non-administrative salary expenses for the same period. Inclusive of 10% NGO Administration Costs in each line item.
Component 3	
17	This line includes the salary and fringe costs of CI HQ staff assigned to work on this project: Carbon Fund Technical Director (30 days + benefits); Carbon Fund Coordinator (60 days + benefits); Division Finance Manager (10 days +benefits). Daily rates include base salary + fringe benefits (calculated at 45% of base salary). Rates are a weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe.
18	This line includes the salary and fringe costs of CI local staff assigned to work on this project: Landscape Management Coordinator (555 days +benefits); Monitoring and Knowledge Management Coordinator (420 days + benefits); Protected Areas Coordinator (132 days + benefits); Natural Capital Manager (66 days +benefits); Knowledge Management Senior Manager (66 days +benefits); Senior Director for Institutional Policy and Strategy (34 days +benefits); Operations Coordinator (150 days + benefits); Procurement Coordinator (150 days + benefits). Daily rates include base salary + fringe benefits. Rates are a weighted average taking into account a 10% annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe..

19	Consultancies: GIS expert (@81,439USD), Biophysical mapping (@27,096USD), Conservation gap analysis (@15,537USD). Inclusive of 10% NGO Administration Costs in each line item.
20	Services: territorial zoning exchange events (@18,644USD), restoration experience exchange events (@7,085USD), publication of lessons learned (@12,072USD). Inclusive of 10% NGO Administration Costs in each line item.
21	Computer (regular and GIS) for new staff. Inclusive of 10% NGO Administration Costs in each line item.
22	The goal of this project is to engage and provide lessons learned to a whole group of beneficiaries, which requires paying for their travel to workshops and meetings. It Includes travels for the focal areas to provide oversight/supervision, travels to develop assessments and studies, travels to promote experience exchange between nurseries and costs of local terrestrial transportation. This travel also includes costs for national workshop participants. This is the cost for domestic and international travel and consists of airfare, fuel for terrestrial transportation, hotel and lodging, meals and catering. Domestic airfare estimated round trip @ 436 USD, Transportation @26USD per day, Hotel lodging @79USD per day, and meals @25 USD per day. 3 International round trips. International airfare round trip @ 1650 USD, Hotel/lodging @275USD, Meals @ \$110 per day, and transportation @29 USD per day. Inclusive of 10% NGO Administration Costs in each line item.
23	Sub-grant to FBDS for the mapping of priority corridors (@664,475USD), a Call for Proposals to support of creation and management of RPPNs (@77,684 USD) and for developing a training on protected areas management best practices (@155,367USD). This is contributing to outputs 3.1.1, 3.1.3 and 3.1.4. Inclusive of 10% NGO Administration Costs in each line item.
24	This category includes office-related expenses for CI's project office in Brasília and Rio de Janeiro as well as CI's administrative and office-related costs for the Brazil program based on CI's allocation methodology. CI considers all expenses in its country offices as direct costs. Administrative and office-related costs that are required to carry out a project, but are difficult to attribute to a specific project, such as rent, electricity or administrative support staff, are allocated to projects based in the ratio of non-administrative salary expenses per project to the program's total non-administrative salary expenses for the same period. Inclusive of 10% NGO Administration Costs in each line item.
Component 4	
25	This line includes the salary and fringe costs of CI HQ staff assigned to work on this project: Senior Director, Sustainable Food & Agriculture Markets (21 days + benefits); Director, Agriculture (34 days + benefits). Daily rates include base salary + fringe benefits. Rates are a weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe.
26	This line includes the salary and fringe costs of CI local staff assigned to work on this project: Senior Director for Institutional Policy and Strategy (34 days + benefits); Sustainable Production Senior Manager (198 days + benefits); Communications Coordinator (332 days + benefits). 10% annual increase have been included. Daily rates include base salary + fringe benefits. Rates are a weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe.
27	Consultancies for developing business cases dialogues (@8,700 USD), evaluate certification of origin experiences (@15,536 USD), Feasibility study for compensation market (@27,966 USD), Study opportunities for PES (@24,858 USD) and Study the impact of regularization on provision of Environmental Services (@24,858 USD). Inclusive of 10% NGO Administration Costs in each line item.
28	Services: business cases exchange events (@21,751 USD). Inclusive of 10% NGO Administration Costs in each line item.
29	Includes travels to focal areas to develop feasibility study of PES and for the business cases exchanges. This is the cost for domestic travel and consists of airfare, fuel for terrestrial transportation, hotel and lodging, meals and catering. Domestic airfare estimated round trip @ 435,02 USD, Transportation @24,86 USD per day, Hotel lodging @77,68 USD per day, and meals @24,86 USD per day. Inclusive of 10% NGO Administration Costs in each line item.

30	This category includes office-related expenses for CI's project office in Brasília and Rio de Janeiro as well as CI's administrative and office-related costs for the Brazil program based on CI's allocation methodology. CI considers all expenses in its country offices as direct costs. Administrative and office-related costs that are required to carry out a project, but are difficult to attribute to a specific project, such as rent, electricity or administrative support staff, are allocated to projects based in the ratio of non-administrative salary expenses per project to the program's total non-administrative salary expenses for the same period. Inclusive of 10% NGO Administration Costs in each line item.
Component 5	
31	This line includes the salary and fringe costs of CI HQ staff assigned to work on this project: Senior Director, Sustainable Food & Agriculture Markets (21 days + benefits); Director, Agriculture (36 days + benefits); Finance Manager (12 days + benefits). Daily rates include base salary + fringe benefits. Rates are a weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe.NGO Administration Costs
32	This line includes the salary and fringe costs of CI local staff assigned to work on this project: Sustainable Production Senior Manager (268 days+ benefits); Monitoring and Knowledge Management Coordinator (246 days + benefits); Communications Coordinator (334 days + benefits). Daily rates include base salary + fringe benefits . Rates are a weighted average taking into account a 10% annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe. .
33	Consultancies to support coordination dialogue, publications and communication (@73,023USD), to monitor progress and impact (@18,644USD), to conduct gender assessment (@12,429USD), annual monitoring of gender impact (@13,983USD), Final GEF tracking tool (@10,876USD), Inception workshop (@11,693USD), Mid-term GEF tracking tool (@10,876USD), translation of MTR and TE (@5,438USD). Inclusive of 10% NGO Administration Costs in each line item.
34	Services of publication of project results and outputs (@55,932USD), Independent mid-term review (@32,627USD), Independent Terminal Evaluation (@43,503USD), and UNDP audits (@26,102USD). Inclusive of 10% NGO Administration Costs in each line item.
35	Computers for new staff. Inclusive of 10% NGO Administration Costs in each line item.
36	The goal of this project is to engage and provide lessons learned to a whole group of beneficiaries, which requires paying for their travel to workshops and meetings. It Includes travels for the focal areas to provide oversight/supervision, travels to develop assessments and studies, travels to promote experience exchange between nurseries and costs of local terrestrial transportation. This travel also includes costs for national workshop participants. This is the cost for domestic and international travel and consists of airfare, fuel for terrestrial transportation, hotel and lodging, meals and catering. Domestic airfare estimated round trip @ 436 USD, Transportation @26USD per day, Hotel lodging @79USD per day, and meals @25 USD per day. 3 International round trips. International airfare round trip @ 1650 USD, Hotel/lodging @275USD, Meals @ \$110 per day, and transportation @29 USD per day. Inclusive of 10% NGO Administration Costs in each line item.
37	Sub-grant for supporting coordination activities for SRB (@105,960USD) and FBDS (@171,525USD). Contributes to 5.1.2. Inclusive of 10% NGO Administration Costs in each line item.
38	This category includes office-related expenses for CI's project office in Brasília and Rio de Janeiro as well as CI's administrative and office-related costs for the Brazil program based on CI's allocation methodology. CI considers all expenses in its country offices as direct costs. Administrative and office-related costs that are required to carry out a project, but are difficult to attribute to a specific project, such as rent, electricity or administrative support staff, are allocated to projects based in the ratio of non-administrative salary expenses per project to the program's total non-administrative salary expenses for the same period.Inclusive of 10% NGO Administration Costs in each line item.
PMC	
39	This line includes the salary and fringe costs of CI local staff assigned to work on this project: Project Manager (334 days + benefits); Operations Coordinator (182 days + benefits); Administrative Assistant (332 days + benefits); Procurement Coordinator (66 days + benefits). Daily rates include base salary + fringe benefits. Rates are a

	weighted average taking into account annual increase in years 2-4. The total amount per year for local consultants includes 10% NGO Administration Costs applied to the cost of salary + fringe.
40	Computers and mobile phone for the project manager. Inclusive of 10% NGO Administration Costs in each line item.
41	The goal of this project is to engage and provide lessons learned to a whole group of beneficiaries, which requires paying for their travel to workshops and meetings. It Includes travels for the focal areas to provide oversight/supervision, travels to develop assessments and studies, travels to promote experience exchange between nurseries and costs of local terrestrial transportation. This travel also includes costs for national workshop participants. This is the cost for domestic travel and consists of airfare, fuel for terrestrial transportation, hotel and lodging, meals and catering. Domestic airfare estimated round trip @ 436 USD, Transportation @26USD per day, Hotel lodging @79USD per day, and meals @25 USD per day. 3. Inclusive of 10% NGO Administration Costs in each line item
42	This category includes office-related expenses for CI's project office in Brasília and Rio de Janeiro as well as CI's administrative and office-related costs for the Brazil program based on CI's allocation methodology. CI considers all expenses in its country offices as direct costs. Administrative and office-related costs that are required to carry out a project, but are difficult to attribute to a specific project, such as rent, electricity or administrative support staff, are allocated to projects based in the ratio of non-administrative salary expenses per project to the program's total non-administrative salary expenses for the same period. Inclusive of 10% NGO Administration Costs in each line item.
43	Includes UNDP direct costs with managing funds (i.e. transferring funds to CI)NGO Administration Costs.

General	
	Fringe Benefits: A fringe benefit rate is calculated for each country office with the support of HQ Finance and updated on a quarterly basis. The “fringe pool” is a collection of all expenses for all the benefits paid to local staff within each country. This fringe benefit pool includes expenses such as payroll taxes, health and life insurance premiums, retirement contributions, legally mandated separation and paid leave as required by the Benefits policy and/or local labor law. Each month these costs are allocated to projects based on direct salaries charged. Fringe benefits for CI’s local staff based in Indonesia has been calculated using a rate of 41.48%. Fringe benefits for US-based staff are estimated at 45% of base salary. Fringe benefits for international assignees vary based upon the circumstances of the engagement but typically include medical insurance, employment taxes, pension contributions, paid leave, and sometimes home leave, housing and educational allowances.
	NGO Administration Costs: This amount covers the global support provided by CI, such as CI's global Human Resources, Finance, Information Technology and Grants Management teams. Such costs enable the organization to function as a whole, but cannot be efficiently attributed directly to a particular project or activity; therefore, CI calculates these costs annually in proportion to direct project costs based on its audited financial statements. This cost has been budgeted at 10% of the total direct costs, which is reduced from CI's current recovery rate of 19.37%.

XII. ANNEXES

ANNEX A - Multi Year Work Plan

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1.1.1.1 Engage main players	Conservation International	x	x														
1.1.1.2 Support workshops (3)	CI		x				x				x						
1.1.2.1 Support the formulation and development of policy recommendations	CI							x		x		x		(x) ⁴⁶			
1.1.2.2 Disseminate policy proposal	CI								x			x	x	(x)	(x)		
1.2.1.1. Create service point in Balsas, Barreiras, Bom Jesus and Porto Nacional to support farmers with the environmental regularization process	CI			x		x		x		x		x					
1.2.1.2. Provide technical advice to farmers (women and men) with respect to regularization of property	CI		x		x		x		x		x		x				
1.2.1.3 Organize "field campaigns" to promote compliance of farmers in the regions	CI		x	x			x	x			x	x					
1.2.1.4 Map all the permanent protection areas in all municipalities of the MATOPIBA region	CI		x	x	x	x	x	x									
1.2.1.5 Estimate the deficits in permanent protection areas in the municipalities of MATOPIBA	CI						x	x	x	x	x						
1.2.2.1 Conduct study on the restoration supply chain in priority areas	CI		x	x													
1.2.2.2 Provide technical support to tree nurseries	CI						x		x		x		x	(x)			
1.2.2.3 Promote exchange of experiences between tree nurseries and the identification of opportunities	CI											x	x	(x)			
1.2.3.1 Prepare desk-study report on threats to traditional lands	CI			x													
1.2.3.2 Prepare assessment reports of most critical regions	CI				x												
1.2.3.3 Prepare and discuss recommendations with respect to safeguards	CI					x											
1.2.3.4 Prepare workshops with participation of men and women to discuss safeguards	CI					x	x										
1.2.3.5 Prepare procedures to implement safeguards	CI									x	x	x					
2.1.1.1 Select pilot areas for testing and demonstrating innovative restoration practices (field work)	CI	x	x	x													
2.1.1.2 Prepare and disseminate training material on ecological restoration	CI			x	x	x	x										

⁴⁶ Due to the scale and complexity of the project, Year 4 has been included as a mitigation measure against requiring an extension of the project, should activities not be fully completed by end of Year 3. A small budget has been allowed for this contingency; however, CI aims to complete all activities and achieve project outcomes by end of Year 3 (hence '(x)')

2.1.1.3 Prepare technical recommendations for the implementation of the national restoration plan PLANAVEG	CI						x	x		x	x						
2.1.2.1. Raise awareness among farmers about management models for their farms	CI		x	x													
2.1.2.2 Provide training (women and men) of rural commodity producers in focal areas to implement adaptive management processes and practices to improve production	CI			x	x	x	x	x	x								
2.1.2.3 Provide technical training to extension services staff (women and men)	CI			x	x	x	x	x	x								
2.1.2.4 Disseminate technologies and practices to farmers (women and men) to increase profitability	CI							x	x	x	x						
2.1.2.5 Support standardization of norms and licensing procedures for control of RLS and APPs	CI									x	x	x					
2.1.3.1 Mobilize farmers (women and men) to participate in the low-carbon agriculture program	CI	x		x													
2.1.3.2 Train extension and bank staff (women and men) to facilitate support from the ABC program	CI						x	x		x	x						
2.1.3.3 Disseminate low carbon production technologies and practices to farmers and extension services staff (women and men)	CI						x		x		x	x		(x)			
2.1.3.4 Support rural extension services, technical assistance and commercial support services	CI										x	x	x	(x)	(x)		
3.1.1.1 Identify gaps between existing policies and the information generated by the project and to promote the dialogue	CI		x														
3.1.1.2 Organize meetings that is gender inclusive to disseminate information and to discuss landscape management issues and themes in the selected focal area	CI					x		x		x		x					
3.1.2.1 Analyze the results of the mapping of the APPs	CI			x	x												
3.1.2.2 Identify priority corridors for the conservation of biodiversity in MATOPIBA	CI					x	x										
3.1.2.3 Discuss proposal for priority corridors with stakeholders	CI							x									
3.1.2.4 Identify and propose within priority corridors critical areas for biodiversity conservation	CI							x	x	x							
3.1.3.1 Assess the evolution and tendencies of agricultural expansion in the region	CI		x														
3.1.3.2. Prepare in cooperation with local partners' proposal for the expansion of agricultural production	CI			x	x	x											
3.1.3.3 Support states and municipalities with the preparation of land use policies that promote agricultural expansion without causing an impact on priority conservation areas	CI						x	x	x	x	x	x	x	(x)	(x)		
3.1.4.1 Support the implementation and management of conservation units and indigenous lands in priority corridors	CI		x	x	x	x	x	x									
3.1.4.2 Organize Workshops that is gender inclusive on natural capital protection for sustainable agricultural landscapes	CI						x	x									
3.1.4.3 Publish lessons learned on natural capital protection for sustainable agricultural landscapes	CI								x	x							

3.1.4.4 Support the creation of the implementation of RPPNs	CI			x							x						
4.1.1.1 Participate in the Soy Traders Platforms biannual meeting (CI)	CI				x		x		x		x		x		(x)		
4.1.3.1 Evaluate existing certification of origin experiences and their potential for replication in MATOPIBA (CI)	CI						x	x	x	x							
4.2.2.1 Conduct a feasibility study on the market for compensation of legal reserves	CI						x										
4.2.2.2 Conduct A Study on the feasibility of a payment for environmental services system in the region	CI						x										
4.2.2.3. Build multi-disciplinary teams with the skill sets to pull business case analysis together (modelers + economists + mappers), following the Moore Foundation approach on available area (biophysical mapping for soy suitability) for MATOPIBA; (CI);	CI						x										
4.2.2.4 Conduct a series of workshops in MATOPIBA to present findings of the various business case analyses. It is viewed that this would be done on a rolling basis when the business cases are available but it is assumed that in each state (2) two business cases will be presented totaling 8 workshops through the course of the project. (CI)	CI						x	x	x	x	x	x	x	(x)	(x)		
5.1.1.1.Organize coordination meetings (board, steering committee and executive secretariat)	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	(x)
5.1.2.1 Create implementation and coordination team	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	
5.1.3.1 Monitor progress in CAR registration, compliance with the Forest Code and publish monitoring reports	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	
5.1.3.2 Develop and implement monitoring protocol of selected ecosystem services in the region	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	
5.1.3.3. Conduct progress and impact monitoring	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	
5.1.3.4 Implement the Landscape Accounting Framework	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	
5.1.4.1 Conduct Gender assessment	CI	x	x														
5.1.4.2 Annual monitoring of impact on gender roles and positions /gathering of data and feedback on the effectiveness of activities	CI			x				x				x		(x)		(x)	
5.1.5.1 Conduct GEF-monitoring requirements	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	
5.1.5.2 Participation in the Steering Committee, Global Community of Practice, and Study Tours	CI	x	x	x	x	x	x	x	x	x	x	x	x	(x)	(x)	(x)	(x)

ANNEX B - Monitoring Plan

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Project objective from the results framework To reduce the threat to biodiversity that the advancing agricultural frontier is posing in the Matopiba region, through a supply chain approach that solves the underlying root causes of deforestation from soy.	Indicator 1 Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.	The project should provide support for the the implementation of legal or institutional frameworks in terms of conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.	From the official diary and other communication means of the states or municipalities involved.	Quarterly	Project coordination team	Through consultation of newspapers, websites	Assumption is that approximately 25% of properties are not under the Forest Code
	Indicator 2 Number of direct project beneficiaries (women and men) Project Indicator: It is estimated that 10% of soy farmers are women; however, it is assumed that per property there are four members, with 50% males, 50% females	The project should account the total number of direct amle and female beneficiaries, assuming the number of properties achieved by the project interventions.	From project progress report	Semiannualy	Project coordination team	Progress report	Assumption is that there are 3,000 beneficiary households that are not under the Forest Code and not able to fully enjoy access to markets and credit due to their non-compliance with this law. Assuming that each beneficiary household has four household members

	Indicator 3 Deforestation rates in Matopiba region.	Rates of clearance of native vegetation and conversion into arable land or pastures	Comparison and Interpretation of data from satellite images	The objective is to have this data once a year, similar to the monitoring of deforestation data in the Amazon	The satellite monitoring of deforestation of Brazilian biomes (Projeto de Monitoramento do Desmatamento dos Biomas Brasileiros por Satélite -PMDBBS) and INPE data on deforestation in the Amazon	Annual publications with results	Until now, data on conversion of native vegetation into arable land or pastures has not been collected on an annual basis for the whole Cerrado biome. Hence, it may be necessary to use estimates or extrapolations
OUTCOME 1.1: A shared vision on expansion of the production of agricultural commodities in the Matopiba region in combination with the conservation of biodiversity and ecosystem services through sustainable land management and the creation of sustainable productive landscapes.	Indicator 1 Number of policy recommendations taken up by policy makers including gender sensitive proposal	The project should support a forum of policy-makers, private sector and civil society representatives to discuss challenges and opportunities for the development of the region and prepare recommendations for policy interventions	Newspaper tracking and reports from forum members	Annually	Project coordination team	Through consultation of newspapers, websites and key forum members	The current political situation and elections in 2018 may hamper discussions about policy interventions
OUTCOME 1.2: Improved environmental management.	Indicator 1 Area and percentage of productive area registered in the SICAR system	Area registered in the rural environmental registry as percentage of the total area covered by private properties	At the moment aggregate data are available per state	At the moment – probably until the deadline for registration (May 2016) data is published once every month	Currently the <i>Serviço Florestal Brasileiro</i> is responsible for the national SICAR system. Some State environment agencies have their own data	Aggregate data is published every month by SFB	Most large properties with an interest in registration in the SICAR (to avoid fines) will have registered before the May 2016 deadline. Most of the properties not registered by May 2016 will be smallholder properties that are more difficult to mobilize and reach

	Indicator 2: Area under restoration	Strengthening of the restoration supply chain should reduce the costs and increase technical capacity	Monitoring data from state environment agencies and field assessments	Once a year beginning in the second year	Restoration supply chain consultancy and short-term consultancy	To be defined	The assumption is that strengthening of the restoration supply chain will make different forms of restoration cheaper and more feasible.
	Indicator 3: Number and size of traditional lands protected through safeguards		Consultancy about existing conflicts	Once a year	consultancy	Consultancy to identify traditional lands/communities that are under threat should recommend means to verify progress and impacts	The assumption is that the identification of lands and communities under threat or in conflict and the implementation of safeguards in combination with efforts of the private sector to reduce corporate risks will help to protect traditional and communal lands. The obvious risk is that conflicts include criminality and that transparency will be insufficient to protect those land and communities
OUTCOME 2.1: A system of support in the four focal areas prepared and implemented that will help farmers to adopt sustainable management of their properties and sustainable agricultural practices.	Indicator 1 % of soy farmers (men and women) that have adopted sustainable management and practices Proxy indicator: Projects in the region financed by the ABC program (data from BNDES)	It is suggested that to monitor this outcome a proxy indicator should be used. The suggestion is to monitor the number of ABC projects approved and under implementation in selected municipalities in the four focal areas	Collect data from ABC - BNDES	Annually	Project coordination team	Data from ABC/BNDES	The assumption is that better knowledge about the ABC Program will increase the number of loan proposals

OUTCOME 3.1: Improved planning for expansion of production and conservation.	Indicator 1 Area under integrated management identified and agreed (proposals for conservation units submitted and management plans agreed)	APPs under restoration, conservation areas on private lands (RPPN) and other conservation units created and areas for which management plans were agreed	Data from FBDS, State environment agencies and Serviço Florestal Brasileiro (SICAR)	Annually	Project coordination team and if necessary specific short-term consultancies	State environment agencies and SICAR	The biggest risk is that the duration of the project is insufficient to prepare proposals for conservation and restoration and to achieve much impact in terms of implementation of those proposals. A fourth year has been included to mitigate this risk.
	Indicator 2 Area under legal protection as percentage of total area of the Matopiba region (including indigenous lands, conservation areas, lands of quilombolas and forest code preservation areas)	Percentage in the Matopiba boundaries of the total area with native vegetation legally protected (Forest Code preservation areas, full protection and sustainable use conservation units, private, quilombola and indigenous lands)	Comparison and Interpretation of data from satellite images	Once a year	To be defined	Annual publications with results	Until now, data on remaining native vegetation has not been collected on an annual basis for the whole Cerrado biome. Hence, it may be necessary to use estimates or extrapolations
OUTCOME 4.1 Increased market demand for responsibly sourced soy	WWF⁴⁷						
OUTCOME 4.2: Financial sector engaged in the promotion of sustainable soy	IFC⁴⁸						
OUTCOME 5.1: Project coordinated and lessons learned and disseminated	Indicator 1 <i>Number of lessons learned and disseminated</i>	The monitoring system should identify lessons and disseminate the ones of relevance to a wider audience	From project progress reports	Annually	Project coordination team	Progress reports	

⁴⁷ To be funded, implemented and monitored under the Demand Child Project in coordination with this project.

⁴⁸ To be funded, implemented and monitored under the Brazil child Project or under the Transactions Child Project.

ANNEX C - Evaluation Plan

Evaluation Title	Planned start date Month/year	Planned end date Month/year	Included in the Country Office Evaluation Plan	Budget for consultants ⁴⁹	Other budget (i.e. travel, site visits etc...)	Budget for translation
Terminal Evaluation	After Terminal PIR	To be submitted to GEF within three months of operational closure	Yes/No Mandatory	USD 40,000		\$5,000
Total evaluation budget				USD 45,000		

⁴⁹ The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days.

ANNEX D – GEF Tracking Tool at baseline

See separate Excel file.

ANNEX E – Terms of References

PROJECT MANAGER GEF- MATOPIBA-PROJECT

CONTEXT

The projected growth of global population and the expected rise in per capita income are likely to increase global demand for agricultural commodities over the next decades. Brazil is one of the few countries in the world with the capacity to meet this demand and expand its production. Brazil is among the largest producers of sugar cane, coffee, meat, oranges and soybeans, due, in part, to a significant expansion in recent years of the area under cultivation. For example, for sugar cane the area under cultivation increased, between 1990 and 2014, from 4.3 to 10.4 million hectares, while for soy the area under cultivation increased, in the same period, from 11.6 to 30 million hectares ⁽⁵⁰⁾. This expansion was largely concentrated in the Centre-west, in the state of Mato Grosso, already a center of production in the nineties, and in the state of Bahia, where the production area doubled between 2000 and 2013, and in the states of Tocantins, Maranhão and Piauí where, in the same period, the total area even tripled ⁽⁵¹⁾. In the case of cattle and beef, the growth in the Centre-west, between 1975 and 2006, in term of total area of pastures was relatively modest: from 166 million to 177 million hectares. Compared to 1998, the total area even shrank.

It is unlikely that future demand for commodities can be absorbed through increased productivity, as productivity rates in Brazil are already among the world's highest. Based on recent trends, it is more likely that growing demand will be absorbed through expansion of the area under production. As the processing sector ⁽⁵²⁾ committed itself, in 2006, to a moratorium on soy from expansion through conversion of native vegetation in the Amazon, 80% of the expansion between 2006 and 2014 of the area under cultivation took place in the South of the country (Paraná e Rio Grande do Sul), Mato Grosso and the region known as MATOPIBA (the abbreviation of the states of Maranhão, Tocantins, Piauí e Bahia). Uncontrolled expansion in this region may pose a serious threat to the remaining native vegetation of the Cerrado Biome.

To reduce deforestation in a more systemic way, the Global Environment Facility started an initiative to promote deforestation-free supply chains of soy, palm oil and beef. In Brazil, in the context of expansion of soy in the Matopiba region, the GEF initiative supports efforts to promote the production and demand for sustainable (at a minimum in compliance with environmental and social legislation) soy.

The project in Brazil focuses on the Matopiba region and, within the Matopiba, on the regions where the production of soy is concentrated: the region of Balsas in Maranhão, the region of Bom Jesus in Piauí, the region of Barreiras in Bahia and the region Palmas-Porto Nacional in Tocantins. In these regions, the GEF initiative will select 10 municipalities in two priority regions to support producers to comply with the Forest Code, identify areas for future expansion and for the creation of areas of conservation, promote sustainable management and production, among others.

At the global level, efforts will be supported to raise awareness among soy processing industries, retailers and consumers about sustainable soy and promote the demand for responsibly sourced soy. Efforts will also be supported to raise awareness among banks and traders and to develop and promote the use of financial tools for sustainable soy. At the global level, the UNDP is the lead implementing agency for the production component, World Wildlife Fund (WWF) for the demand component and the International Finance Corporation (IFC) for the financial and commercial transactions component.

⁵⁰ <http://www.sidra.ibge.gov.br>

⁵¹ IBGE

⁵² Members of the Associação Brasileira das Indústrias de Óleos Vegetais - ABIOVE and the Associação Brasileira dos Exportadores de Cereais - ANEC

In Brazil, the production component will be coordinated by Conservation International and executed by Conservation International and two partner organizations: the Sociedade Rural Brasileira and the Fundação Brasileira para o Desenvolvimento Sustentável. At the local level, the Project will establish partnerships with organizations like the Associação de Agricultores e Irrigantes da Bahia (AIBA); Federação da Agricultura e da Pecuária do Estado do Tocantins (FAET); and Fundação de Apoio à Pesquisa do Corredor de Exportação Norte (FAPCEN).

To coordinate the execution of this initiative in Brazil, Conservation International is hiring a project Manager, to be based in Brasília. Expected responsibilities of this Project Manager include:

COORDINATION

- Engage with representatives of the United Nations Development Programme (UNDP) with respect to project execution;
- Engage with project implementation partners of the Demand and Transaction components with respect to project execution and ensure the integration of planned activities within the logic of the project;
- Engage with members of the Project Steering Committee to inform them output project progress and impact and other issues with respect to the project's execution;
- Engage with members of the Executive Committee (project execution partners in Brazil: Sociedade Rural Brasileira (SRB); Fundação Brasileira de Desenvolvimento Sustentável (FBDS);
- Manage all aspects of the project implementation Support the preparation of annual planning exercises;
- Support the preparation of progress and impact monitoring reports
- Support the preparation of mid-term and end-of-project evaluations
- Support the preparation of financial reports;
- Discuss with UNDP project revision proposals

SUPERVISION

- Directly supervise two local coordinators based in the field (regions to be defined responsible for the execution with project partners of project activities, ensure their relevance, efficiency and effectiveness towards the achievement of project outputs and outcomes;
- Supervise – in coordination with the responsible director of Administration – an administrative assistant, responsible for the financial monitoring of the project and the preparation of financial reports;
- Supervise an administrative assistant responsible for the preparation of local and national bidding processes and the hiring of short-term consultants;

EXECUTION

- Overseeing in close cooperation with the local coordinators and project assistants- of the day-to-day execution of the project;
- Preparation of Terms-of-reference for short-term- consultancies and for sub-contract procurement processes;
- Support the preparation of field visits and monitoring trips;
- Support the gathering of monitoring data;
- Support the identification of “lessons-learned”
- Support the preparation of information and dissemination material

REQUIRED BACKGROUND AND EXPERIENCE

The required background for this position is:

- An MSc in a field related to the environment, social sciences or project management;
- At least 5 years of experience in project management and coordination. Experience with the management of GEF-projects will be an additional asset;
- Experience in the supervision of staff members;

- Experience in the management of institutional partnerships;
- Experience with monitoring and evaluation
- Good writing skills in Portuguese and English;
- Knowledge of the production of agricultural commodities in Brazil;
- Knowledge of the Matopiba region;

PROJECT COORDINATOR (2)

GEF- MATOPIBA-PROJECT

CONTEXT

The projected growth of global population and the expected rise in per capita income are likely to increase global demand for agricultural commodities over the next decades. Brazil is one of the few countries in the world with the capacity to meet this demand and expand its production. Brazil is among the largest producers of sugar cane, coffee, meat, oranges and soybeans, due, in part, to a significant expansion in recent years of the area under cultivation. For example, for sugar cane the area under cultivation increased, between 1990 and 2014, from 4.3 to 10.4 million hectares, while for soy the area under cultivation increased, in the same period, from 11.6 to 30 million hectares ⁽⁵³⁾. This expansion was largely concentrated in the Centre-west, in the state of Mato Grosso, already a center of production in the nineties, and in the state of Bahia, where the production area doubled between 2000 and 2013, and in the states of Tocantins, Maranhão and Piauí where, in the same period, the total area even tripled ⁽⁵⁴⁾. In the case of cattle and beef, the growth in the Centre-west, between 1975 and 2006, in term of total area of pastures was relatively modest: from 166 million to 177 million hectares. Compared to 1998, the total area even shrank.

It is unlikely that future demand for commodities can be absorbed through increased productivity, as productivity rates in Brazil are already among the world's highest. Based on recent trends, it is more likely that growing demand will be absorbed through expansion of the area under production. As the processing sector ⁽⁵⁵⁾ committed itself, in 2006, to a moratorium on soy from expansion through conversion of native vegetation in the Amazon, 80% of the expansion between 2006 and 2014 of the area under cultivation took place in the South of the country (Paraná e Rio Grande do Sul), Mato Grosso and the region known as MATOPIBA (the abbreviation of the states of Maranhão, Tocantins, Piauí e Bahia). Uncontrolled expansion in this region may pose a serious threat to the remaining native vegetation of the Cerrado Biome.

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To coordinate the execution of this initiative in Brazil, Conservation International is hiring local coordinators to be based in Barreiras and Palmas. These coordinators will be responsible for representing the project at the local level, for engaging main stakeholders and for planning and overseeing the implementation of local activities with respect to the implementation of the Forest Code, promotion of conservation of native vegetation, landscape planning and the promotion of sustainable agricultural practices. Expected responsibilities of these Project Coordinators include:

COORDINATION

- With support from local executing agencies, engage with representatives of municipal governments, producer organizations, traders and farmers and extension services;
- With support from local executing agencies and local partners plan annual activities
- With support from local executing agencies identify and prepare inputs, through the identification of local needs and local capacity;
- Engage with rural extension services;
- Engage with traditional communities;

EXECUTION

- Overseeing in close cooperation with the local coordinators and project assistants- of the day-to-day execution of the project;
- Act as the local representative of the project;
- Support farmers to register their property in the SICAR;
- Support farmers to prepare a proposal for their environmental compliance program;
- Organize, in cooperation with state environment agencies, field campaigns to support smallholders to comply with the Forest Code;
- Prepare Terms-of-reference for short-term- consultancies and for sub-contract procurement processes;
- Support the preparation of field visits and monitoring trips;
- Support the gathering of monitoring data;
- Support the identification of “lessons-learned”
- Support the preparation of information and dissemination material

REQUIRED BACKGROUND AND EXPERIENCE

The required background for this position is:

- A BSc in a field related to the environment, social sciences or agriculture, geography, geo-referenced information systems;
- Experience in working with farmers and extension services;
- Experience in engaging with actors with different interests;
- Experience with environmental legislation;
- Experience with monitoring and evaluation;
- Good writing skills in Portuguese; English level understanding and writing is a plus.
- Knowledge of the Matopiba region;

COORDINATOR ECOLOGICAL RESTORATION

GEF- MATOPIBA-PROJECT

CONTEXT

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The present initiative will support restoration activities at two different levels: support for the strengthening of the restoration supply chain in the Matopiba region and in particular in the two focal regions (Barreiras and Palmas/Porto Nacional- output 1.2.2) and the implementation and analysis of restoration tests/pilot areas (output 2.1.1). Specific activities are expected to include:

STRENGTHENING OF THE RESTORATION SUPPLY CHAIN

- Preparation of a study/analysis of the restoration production chain in the Matopiba region in general and in the two focal regions in particular;
- Prepare, based on the analysis of the restoration supply chain and its bottlenecks, support to overcome difficulties and to structure the supply chain.
- Assist tree nurseries, seed collection communities and local governments with the implementation of efforts to guarantee a stable supply of seedlings and seeds;
- Contribute to discussions and initiatives related to the strengthening of restoration in general;

IMPLEMENTATION AND ANALYSIS OF RESTORATION TESTS/PILOT AREAS

- Identify producers interested in participating in the implementation of restoration pilot areas;
- Prepare a test/pilot action plan;
- Coordinate the implementation of the test/pilot plan;
- Advise producers on the implementation of pilot restoration test fields;
- Organize field visits to train and inform producers and disseminate test results
- Contribute to the preparation of academic studies and evaluations of the field results;
- Contribute to the promotion of activities to support large scale restoration;
- Contribute to the preparation of similar projects in other regions in Brazil;
- Contribute to discussions on restoration in “payment for environmental services” – initiatives for the protection of environmental services;

REQUIRED BACKGROUND AND EXPERIENCE

- First degree in agricultural or environmental sciences, biology or similar;
- Ability to analyze and translate local results into actions in a wider national context;
- Experience in restoration or recuperation of ecosystems, including the design and implementation of agroforestry systems;
- Experience in engaging with farmers and local and regional public and private sector representatives;
- Experience with the preparation, coordination and implementation of restoration projects;
- Experience with the use and application of geographical information systems;

LANDSCAPE MANAGEMENT COORDINATOR

GEF- MATOPIBA-PROJECT

CONTEXT

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In order to support the execution of this project, Conservation International is hiring a landscape management coordinator to work with the project team. The position will be based in Palmas or Barreiras. Expected responsibilities include.

SPECIFIC RESPONSIBILITIES

- Organize, in collaboration with local farmers' organizations, discussions about the concept of sustainable landscapes;
- Identify in the focal regions municipalities with Municipal Planning Codes;
- Organize, based on inputs from zoning activities with respect to areas for expansion of production and conservation, discussions with local and state governments and other actors scenarios for landscape planning;
- Identify, in cooperation with local governments, existing planning instruments;
- Discuss with local governments and other actors possible instruments and activities to implement sustainable landscapes, including restoration; secondary roads, management plans of existing Environmental Protection Areas (APAs), etc.;
- Support local governments with the identification of sources for financial support for the implementation of landscape planning activities.

REQUIRED BACKGROUND AND EXPERIENCE

- A first degree in geography, environmental sciences, ecology or related fields;
- Experience with municipal planning or administration
- Experience in mobilizing stakeholders or institutions or local development
- Knowledge about environmental management and legislation

MONITORING AND KNOWLEDGE MANAGEMENT COORDINATOR

GEF- MATOPIBA-PROJECT

CONTEXT

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SPECIFIC RESPONSIBILITIES

The knowledge management coordinator will be responsible for the operation of data bases of geographical information with respect to the Matopiba region and the collection and presentation of data with respect to the progress of the Matopiba GEF project and its impacts. In particular, this will entail:

- Refine base line data, based on the existing baseline data, prepare a data base, maps and a report on important baseline data for the Matopiba region and the focal area;
- Prepare, in coordination with the project manager and local coordinators, a monitoring and data collection routine/monitoring plan;
- Advise project manager and project coordinators with respect to indicators for monitoring progress and impacts;
- Prepare six-monthly monitoring reports and produce monitoring data upon request;
- Analyze monitoring data and advise project manager and coordinators on progress and impacts of project activities;
- Prepare data and material for and contribute to scientific publications;

REQUIRED BACKGROUND AND EXPERIENCE

- First and second degree in geography;
- Fluency in Portuguese and good knowledge of English
- Experience in monitoring and evaluation
- Experience with geographical information systems
- Availability to travel to the Matopiba region
- Knowledge of the Matopiba region would be an asset

COMMUNICATIONS COORDINATOR

GEF- MATOPIBA-PROJECT

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In order to support the preparation of information and didactic material, Conservation International is hiring a communications coordinator to work with the project team and CI's communication team based in Rio de Janeiro. The position may be based in Rio de Janeiro or Brasília. Expected responsibilities include:

RESPONSABILITIES

- Develop material for CI's website and social networks;
- Maintain information about the project at CI's website and social networks;
- Provide advice on how to approach local and national press information services;
- Research relevant internal and external data and information for dissemination and develop texts for a wider external audience;
- Organize internal and external events (events with journalists, press trips, thematic workshops, staff events, etc);
- Provide support for public relations activities to maintain and broaden the audience of interest to the organization;
- Identify opportunities to increase public knowledge about the organization and disseminate its brand;
- Form networks of productive relations with internal and external clients;
- Provide technical advice with respect to material developed by subcontracted communication businesses and partners;
- Request budgeted proposals for services to be subcontracted;
- Follow and implement the communications guidelines for UNDP and GEF projects;
- Feed information into Global Communications products such as the IAP Program-level website, and the Guardian Sustainable Business content hub that will be sponsored by the Adaptive Management and Learning project;
- Adhere to overall IAP Program branding including logo to be developed by the AM&L child project
- Other activities.

REQUIRED BACKGROUND AND EXPERIENCE

- Knowledge about environmental themes;
- Background in social communication with a focus on journalism, public relations or other areas related to communications;
- Experience in communication or businesses in areas related to advice on press/business communication;
- Experience in efforts to mobilize people and institutions
- Good oral and written communication skills, good public relations skills, initiative, dynamic, ability to establish and initiate contacts, results-oriented, knowledge about corporate communication and environment;
- Experience with Office, photo-software, social networks, intermediate level of English, knowledge about photography;

OPERATIONS COORDINATOR

GEF- MATOPIBA-PROJECT

CONTEXT

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In Brazil, the production component will be coordinated by Conservation International and executed by Conservation International and two partner organizations: the Sociedade Rural Brasileira and the Fundação Brasileira para o Desenvolvimento Sustentável. At the local level, the Project will establish partnerships with organizations like the Associação de Agricultores e Irrigantes da Bahia (AIBA); Federação da Agricultura e da Pecuária do Estado do Tocantins (FAET); and Fundação de Apoio à Pesquisa do Corredor de Exportação Norte (FAPCEN).

In order to support the effective and efficient implementation of the project, Conservation International is hiring an Operations Coordinator to work with the project team and CI's administration team based in Rio de Janeiro. The position may be based in Rio de Janeiro or Brasília. Expected responsibilities include:

RESPONSABILITIES

- Liaise with UNDP and CI offices on issues related to the project budget and financial transfers and reporting. Work with project management to identify and implement follow up actions when necessary.
- Coordinate the timely and accurate recording of accounting transactions. Ensure compliance with CI policies and procedures and donor reporting requirements.
- Ensure the effective and efficient stewardship of CI's assets and financial resources. Coordinate with UNDP and CI-HQ the project audits and ensure that audit findings and recommendations are addressed and implemented.
- Manage the project budget with the project manager
- Prepare quarterly and annual financial reports;
- Prepare bank transfers and closely monitor the financials for the project
- Prepare financial briefing notes, presentations and other knowledge products related to the project
- Administer activities related to payments, codes of expenditures, payment requests, issuing of checks and bank transfers;
- Utilize the AGRESSO data base information system to store all project financial information and reporting for compliance with donor requirements
- Work closely with the Procurement Coordinator with the preparation of contracts for sub-grantees

REQUIRED BACKGROUND AND EXPERIENCE

- First degree in administration, accountancy or economics;
- Experience in financial routines and payments
- Experience in the use of internet banking
- Experience in the implementation of international/multilateral projects
- Fair knowledge of English

ADMINISTRATIVE ASSISTANT

GEF- MATOPIBA-PROJECT

CONTEXT

The projected growth of global population and the expected rise in per capita income are likely to increase global demand for agricultural commodities over the next decades. Brazil is one of the few countries in the world with the capacity to meet this demand and expand its production. Brazil is among the largest producers of sugar cane, coffee, meat, oranges and soybeans, due, in part, to a significant expansion in recent years of the area under cultivation. For example, for sugar cane the area under cultivation increased, between 1990 and 2014, from 4.3 to 10.4 million hectares, while for soy the area under cultivation increased, in the same period, from 11.6 to 30 million hectares ⁽⁷¹⁾. This expansion was largely concentrated in the Centre-west, in the state of Mato Grosso, already a center of production in the nineties, and in the state of Bahia, where the production area doubled between 2000 and 2013, and in the states of Tocantins, Maranhão and Piauí where, in the same period, the total area even tripled ⁽⁷²⁾. In the case of cattle and beef, the growth in the Centre-west, between 1975 and 2006, in term of total area of pastures was relatively modest: from 166 million to 177 million hectares. Compared to 1998, the total area even shrank.

It is unlikely that future demand for commodities can be absorbed through increased productivity, as productivity rates in Brazil are already among the world's highest. Based on recent trends, it is more likely that growing demand will be absorbed through expansion of the area under production. As the processing sector ⁽⁷³⁾ committed itself, in 2006, to a moratorium on soy from expansion through conversion of native vegetation in the Amazon, 80% of the expansion between 2006 and 2014 of the area under cultivation took place in the South of the country (Paraná e Rio Grande do Sul), Mato Grosso and the region known as MATOPIBA (the abbreviation of the states of Maranhão, Tocantins, Piauí e Bahia). Uncontrolled expansion in this region may pose a serious threat to the remaining native vegetation of the Cerrado Biome.

To reduce deforestation in a more systemic way, the Global Environment Facility started an initiative to promote deforestation-free supply chains of soy, palm oil and beef. In Brazil, in the context of expansion of soy in the Matopiba region, the GEF initiative supports efforts to promote the production and demand for sustainable (at a minimum in compliance with environmental and social legislation) soy.

The project in Brazil focuses on the Matopiba region and, within the Matopiba, on the regions where the production of soy is concentrated: the region of Balsas in Maranhão, the region of Bom Jesus in Piauí, the region of Barreiras in Bahia and the region Palmas-Porto Nacional in Tocantins. In these regions, the GEF initiative will select 10 municipalities in two priority regions to support producers to comply with the Forest Code, identify areas for future expansion and for the creation of areas of conservation, promote sustainable management and production, among others.

At the global level, efforts will be supported to raise awareness among soy processing industries, retailers and consumers about sustainable soy and promote the demand for responsibly sourced soy. Efforts will also be supported to raise awareness among banks and traders and to develop and promote the use of financial tools for sustainable soy. At the global level, the UNDP is the lead implementing agency for the production component, World Wildlife Fund (WWF) for the demand component and the International Finance Corporation (IFC) for the financial and commercial transactions component.

⁷¹ <http://www.sidra.ibge.gov.br>

⁷² IBGE

⁷³ Members of the Associação Brasileira das Indústrias de Óleos Vegetais - ABIOVE and the Associação Brasileira dos Exportadores de Cereais - ANEC

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In order to support the execution of this project, Conservation International is hiring an administrative assistant to work with the project team. The position may be based in Rio de Janeiro or Brasília. Expected responsibilities include:

RESPONSABILITIES

- Support the operations coordinator with the preparation and implementation of payments;
- Support in the monitoring of expenditures and overall budget;
- Support the preparation of monthly financial reports;
- Support the preparation of quarterly and annual financial reports;
- Interact with the operations department of CI Brazil;
- Support the preparation of travel of consultants and project staff, including hotel and flight reservations;
- Support the organization of workshops
- Support project staff with the preparation of expenditure reports for reimbursement;
- Support the procurement coordinator in the control of equipment acquired by and used by the project, including the preparation of terms of responsibility and the donation or transfer of equipment at the end of the project

REQUIRED BACKGROUND AND EXPERIENCE

- BSc in administration, Accounting or Economics
- Experience in project implementation and project monitoring/management
- Knowledge of administrative and data base software and the internet
- Fair knowledge of English

PROCUREMENT COORDINATOR

GEF- MATOPIBA-PROJECT

CONTEXT

The projected growth of global population and the expected rise in per capita income are likely to increase global demand for agricultural commodities over the next decades. Brazil is one of the few countries in the world with the capacity to meet this demand and expand its production. Brazil is among the largest producers of sugar cane, coffee, meat, oranges and soybeans, due, in part, to a significant expansion in recent years of the area under cultivation. For example, for sugar cane the area under cultivation increased, between 1990 and 2014, from 4.3 to 10.4 million hectares, while for soy the area under cultivation increased, in the same period, from 11.6 to 30 million hectares ⁽⁷⁴⁾. This expansion was largely concentrated in the Centre-west, in the state of Mato Grosso, already a center of production in the nineties, and in the state of Bahia, where the production area doubled between 2000 and 2013, and in the states of Tocantins, Maranhão and Piauí where, in the same period, the total area even tripled ⁽⁷⁵⁾. In the case of cattle and beef, the growth in the Centre-west, between 1975 and 2006, in term of total area of pastures was relatively modest: from 166 million to 177 million hectares. Compared to 1998, the total area even shrank.

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In order to support the effective and efficient implementation of the project, Conservation International is hiring a procurement coordinator to work with the project team and CI's administration team based in Rio de Janeiro. The position may be based in Rio de Janeiro or Brasília. Expected responsibilities include:

RESPONSABILITIES

- Liaise with UNDP about procurement procedures;
- Assist the project management unit with the preparation of the annual procurement plan for all purchasing and procurement activities needed by the project;
- Support the preparation of procurement of services and equipment through the preparation of bids and the preparation of the procurement/bidding process: i.e: (i) preparation of technical specifications of goods/works; (ii) advertising of the Invitation for Bids/Quotations; (iii) Identification of sources of supply, evaluation of eligibility and qualifications in order to prepare the list of suppliers/contractors for contracts procured using shopping in consultation with the agency; (iv) Preparation of bidding documents/request for quotations
- Manage the process of the selection and employment of project consultants according to project Procurement Plan and CI/UNDP's Consultant Guidelines, that includes: (i) Prepare/comment Terms of Reference (TORs), request for expression of interest; short-list of consultants, RFPs, draft contracts, etc.; (ii) Prepare evaluation reports and contract negotiation with selected consultants; (iii) Monitor and supervise the contract implementation, including issues off claims and disputes, compensation events and so on;
- Support the organization of the evaluation of bids;
- Support the preparation of reports and communication with respect to the final evaluation of bids;
- Identify indicators of fraud, collusion and other unethical practices in procurement/selection process;
- Prepare inputs into possible waivers for procurement;
- Support the preparation of contracts;
- Support the monitoring of progress in the implementation of contracted services;

REQUIRED BACKGROUND AND EXPERIENCE

- University degree in one of the following areas: economics; public administration or law or any relevant field;
- At least 5 year working experience in public procurement, in projects financed by Multilaterals, CSOs, international or national organizations;
- Knowledge of national public procurement regulations and procedures;
- Computer proficiency (Windows, MS Office.);
- Abilities to communicate, negotiate, analyze, elaborate and present reports and statements

ANNEX F – UNDP Social and Environmental and Social Screening Template (SESP)

Project Information

Project Information	
1. Project Title	Taking Deforestation out of the Supply Chain
2. Project Number	BRA/16/G32
3. Location (Global/Region/Country)	Brazil

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
The Project will promote a common vision for sustainable development for the MATOPIBA region. Thus, a forum for continuous discussion and dialogue between different stakeholders will be created under outcome 1.1, with the promotion of meetings and engagement of civil society in the formulation of policies. In addition, the project will ensure that farmers who benefit from the project have legal land title. The project will map potential conflicts of interest between commodity production and private and communal land users, as well as the zoning and land use planning exercises, ensure basic human rights are preserved. In addition, the project will count with a representative of a local community organization in the Steering committee.
Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
The project will ensure that gender is integrated through the monitoring of gender roles and impact on women. An in-depth analysis of the role and position of women in different areas of the agriculture sector, in one or two of the focal intervention areas of the project, will be prepared. Target areas are: agro-business; smallholder-family-based agriculture and community-based agriculture and/or natural resources extraction. In addition, the project will consider the gender equality and women's empowerment on trainings and capacity building initiatives with farmers.
Briefly describe in the space below how the Project mainstreams environmental sustainability
The project will mainstream environmental sustainability through the elaboration of socio-environmental safeguards for the development of the region, enforcement of the legislation for compliance with CAR and the establishment of priority BD corridors. This project is aimed at introducing environmental standards on soy production at the MATOPIBA region, working with farmers on production, traders and investment.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>		QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	I = 3 P = 2	Low	Local communities’ representatives raised concerns related to land tenure rights in the region. Land grabbing practices and violent conflicts would jeopardize efforts to show that expansion of soy production can take place in a way that respects environmental and social legislation and the rights of small farmers and local communities.	It is not a risk that is specific to this project. Land tenure is polemic issue in Brazil in general, which causes conflicts all over the country and in particular in areas where modern agriculture is expanding. The project will ensure that farmers who benefit from support systems have legal land title. In addition, the mapping of potential conflicts of interest between commodity production and private and communal land users, as well as the zoning and land use planning exercises should help to avoid conflicts with traditional communities. It is expected that with the promotion of continuous dialogue, throughout component 1, this risk is reverted in relation to this initiative.
Risk 2: Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	I = 3 P = 2	Low	In the region, Babaçu nut breakers (mostly women) collect these seeds in communal areas or farms in which they get access in agreement with land owners. There are concerns that soy production will expand to territories formerly used by local	The project will establish socio-environmental safeguards for critical socio-cultural lands in the MATOPIBA region. Thus, no expansion will occur on territories formerly occupied by local communities, provoking prohibitive access for those who depend on the natural resources. One representative of a community organization will participate at the Steering committee for the project and can bring any grievances

			communities, limiting their access to natural resources.	forward, in case this principle is not respected.
Risk 3: Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	I = 3 P = 3	Moderate	The project influence area (MATOPIBA region) is home of several traditional communities and indigenous peoples. There is a concern that loss of local knowledge and traditions is inevitable with the expansion of commodities in the region.	It is not a risk specifically related to this project but rather to the expansion of the production of agricultural commodities in general. One of the pre-conditions for the conservation of local cultures and the continuation of traditions is security with respect to land rights. This project will not be able to guarantee these land rights but may play an important role in making demands from local communities heard and support dialogue about how to protect the livelihoods of local communities. In addition, the project will promote the adoption of socio-environmental safeguards on agricultural practices which should minimize and/or control this risk.
Risk 4: Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	I = 4 P = 4	High	The project is taking place at the new agricultural frontier in Brazil, the MATOPIBA region. The GEF project is originally perceived by local communities as a palliative for the negative impacts of the proposed development strategy for the region.	It is not a risk specifically related to this project but rather to the expansion of the production of agricultural commodities in general. To avoid or to reduce this risk, it will be important to involve all stakeholders and guarantee to all of them the opportunity to engage in the dialogue about the sustainable development of the region. The project is promoting a forum for continuous debate among stakeholders which will minimize this risk. In addition, a representative of communities shall participate at the Steering committee for the project.
Risk 5: Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	I = 3 P = 2	Low	As mentioned in 2 above, there might be some cases in which collectors of natural resources are denied access by land owners.	Please refer to answer on risk 2 above. Potential conflicts of use of natural resources may actually stress the relevance of the current initiative.
Risk 6: Are indigenous peoples present in the Project area (including Project area of influence)?	I = 3 P = 3	Moderate	As mentioned on risk 3 above, the project influence area (MATOPIBA region) is home of several traditional communities and indigenous peoples.	There is not direct intervention of the project with Indigenous peoples. In case these occur in the future, UNDP will take all necessary measures to protect IP and their rights.
QUESTION 4: What is the overall Project risk categorization?				

	Select one (see SESP for guidance)		Comments
	Low Risk	<input type="checkbox"/>	
	Moderate Risk	X	During the stakeholder engagement process significant concerns in terms of social and environmental risks and impacts were raised by community representatives from the MATOPIBA region. Even though the project encompasses moderate risk activities, such as land tenure, land use change and/or conversion of natural habitats, intensification of large-scale agriculture versus local communities' livelihoods, these risks cannot directly be linked to project activities. In addition, the project proposes to monitor those risks through the participation of civil society in the Steering Committee.
	High Risk	<input type="checkbox"/>	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		Comments
	Principle 1: Human Rights	X	This project will deal with greening the production of soy in the MATOPIBA region, establishing socio-environmental criteria for development and identifying priority areas for conservation. Traditional communities and indigenous people's livelihoods should be considered while preparing those guidelines.
	Principle 2: Gender Equality and Women's Empowerment	X	
	1. Biodiversity Conservation and Natural Resource Management	X	It was raised during the stakeholder engagement process that project outcomes such as compliance with the Rural Environmental Registry (CAR) may generate an opposite effect, with the overlapping in concerned lands, harming local community's access to natural resources and increasing even more inequalities. Therefore, in order to avoid this, it must be secured that farmers will make their registry according to land ownership. Thus, the project will work with socio-environmental safeguards criteria for the region and with identification of priority BD conservation corridors.
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	

	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	X	Given that land grabbing practices and violent conflicts are in place in the region, the project must ensure that farmers who benefit from support systems have legal land title. Additionally, in the case of expanding soy production to adequate areas, it cannot happen on territories formerly occupied by local communities, neither provoking prohibitive access for those who depend on the natural resources (e.g. <i>Babaçu</i> nut-breakers).
	6. Indigenous Peoples	X	Indigenous people's lands are not within the project areas, but there are several IPs in the MATOPIBA region that could be indirectly affected during project implementation. The project will monitor impacts over IPs and local populations.
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor	22/06/0216	Rose Diegues, Programme Analyst
QA Approver		
PAC Chair		

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental <u>Risks</u>	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁷⁷	No
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the	No

⁷⁷ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	overall Project proposal and in the risk assessment?	
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	Yes
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods?	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water?	No
1.9	Does the Project involve utilization of genetic resources?	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	Yes
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁷⁸ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No

⁷⁸ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)?	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No

5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? ⁷⁹	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local,	No

⁷⁹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	regional, and/or transboundary impacts?	
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex G: ESMP

To be compiled before the LPAC meeting.

Annex H: UNDP Quality Assurance Report

To be compiled before the LPAC meeting.

Annex I: UNDP Risk Log

To be compiled before the LPAC meeting.

Annex J: Conservation International (Implementing Partner) Capacity Assessment

Capacity Assessment submitted to UNDP in separate attachment.

Annex K: Cooperation Agreements

Conservation International–UNDP Brazil Project Cooperation Agreement to be completed ASAP; before LPAC meeting

Annex L: Co-financing letters

Annex M: Conservation areas in Matopiba

CONSERVATION AREAS IN MATOPIBA									
NAME	STATE	MUNICIPALITIES	CATEGORY	LEGISLATION	SPHERE	SIZE (in hectares)	Management plan	Management council	OBSERVATION
EE Serra Geral do Tocantins	BA/T O	Almas; Formosa do Rio Preto; Mateiros; Ponte Alta do Tocantins; Rio da Conceição	Full protection Estação Ecológica	Decree of 27/09/2001	Federal	716.306,00	no	no	Conservation area partly within the production focus area Barrerias
Parque Nacional das Nascentes do Rio Preto	MA/P I/ BA/T O	Alto Parnaíba; Barreiras do Piauí; Formosa do Rio Preto; Lizarda; Materios; Corrente; Gilbués; São Félix do Tocantins; São Gonçalo do Gurgueia	Full protection National park	Decree of 16/07/2002	Federal	729.813,00	no	no	Conservation area partly within the production focus area Barreiras
Veredas do Oeste da Bahia	BA	Jaborandi; Cocos	Full protection Refúgio de Vida Silvestre	Decree of 13/12/2002	Federal	128.521,00	no	no	Conservation area partly within the production focus area Barreiras
Estação Ecológica do Rio Preto	BA	Formosa do Rio Preto; Santa Rita da Cássia	Full protection Estação Ecológica	Decree 9.441 of 06/06/2005	State	4.536,00	no	no	Conservation area partly within the production focus area Barreiras
APA Bacia do Rio de Janeiro	BA/T O	Barreiras, Luis Eduardo Magalhães, Novo Jardim, Riachão das Neves	Sustainable use Área de Proteção Ambiental	Decree 7.971 of 05/06/2001	State	300.305,60	no	no	Conservation area partly within the production focus area Barreiras
APA São Desidério	BA	São Desidério	Sustainable use Área de Proteção Ambiental	Decree 10.020 of 05/06/2006	State	10.969,89	no	no	Conservation area within the production focus area Barreiras
APA do Rio Preto	BA	Formosa do Rio Preto; Santa Rita de Cassia; Mansidão	Sustainable use Área de Proteção Ambiental	Decree 10.019 of 05/06/2006	State	1.146.162	no	no	Conservation area within the production focus area Barreiras
EE de Uruçui-Una	PI	Brava Grande do Ribeiro; Santa Filomena; Bom Jesus	Full protection Estação Ecológica	Decree 86.061 of 02/06/1981	Federal	135.000,00	no	no	Conservation area within the production focus area Bom Jesus

Parque Nacional Serra das Confusões	PI	Guaribas; Caracol; Canto do Buriti; Alvorada do Gurguéia; Brejo do Piauí; Bom Jesus; Cristino Castro; Jurema; Santa Luz; Tamboril do Piauí	Full protection National park	Decree of 02/10/1998	Federal	502.411,00	yes	no	Conservation area partly within the production focus area Bom Jesus
Parque Nacional Chapada das Mesas	MA	Carolina, Riachão Estreito	Full protection National park	Decree of 12/12/2005 31/01/2006	Federal	160.046	no	no	Conservation area partly within the production focus area Balsas
Parque Estadual do Mirador	MA	Mirador	Full protection State Park	Decree 11.901 of 11/06/1991	State	700.000,00	no	no	Park borders production focus area Balsas
RESEX Chapada Limpa	MA	Chapadinha	Sustainable Use Extractive Reserve	Decree of 29/09/2007	Federal	11.971,00	no	no	
RESEX da Mata Grande	MA	Senador La Roque; Davinópolis	Sustainable Use Extractive Reserve	Decree 532 of 20/05/1992	Federal	10.450,00	no	no	
RESEX do Ciriáco	MA	Cidelândia	Sustainable Use Extractive Reserve	Decree 534 of 20/05/1992	Federal	7050,00	no	yes	
Parque Nacional do Araguaia	TO	Lagoa da Confusão; Pium	Full protection National park	Decree 47.570 of 31/12/1953 68873 of 05/07/1971 71879 of 01/03/1973 84844 of 24/06/1980	Federal	557.714,00	yes	no	
Monumento Natural das Árvores Fossilizadas	TO	Filadélfia	Full protection Natural Monument	MP 370 de 11/09/2000 Law 1.179 of 04/10/2000	State	32.067,10	yes	yes	
Monumento Natural Canyons e Corredores do Rio Sono	TO	São Félix do Tocantins	Full protection Natural Monument	02/07/2012	State	1286,06	yes		
Parque Estadual do Cantão	TO	Casseara, Pium	Full protection State Park	Law 996 of 14/07/1998	State	90.5017,89	yes	yes	
Parque Estadual do Jalapão	TO	Mateiros	Full protection State Park	Decree of 12/01/2001	State	158.885,47	yes	yes	
Parque Estadual do Lajeado	TO	Palmas	Full protection State Park	Decree of 11/05/2001	State	9930,92	yes	no	Conservation area within the production focus area Palmas/Porto Nacional

APA Serra da Tabatinga	BA, PI, TO	Alto Parnaíba; Barreiras do Piauí, Formosa do Rio Preto, Mateiros	Sustainable use Área de Proteção Ambiental	Decree 99.278 of 06/06/1990 Decree 16/07/2002	Federal	35.193,75	no	yes	
APA Meandros do Araguaia	TO	Nova Crixás; São Miguel do Araguaia; Cocalinho; Araguaçu	Sustainable use Área de Proteção Ambiental	Decree of 02/10/1998	Federal	358.717,00	no	yes	
RESEX do Extremo Norte do TO	TO	Sampaio; Carrasco; Bonito	Sustainable Use Extractive Reserve	Decree 535 of 20/10/1992	Federal	9.280	no	no	
Reserva Ecológica Sítio Monte Santo	TO	Palmas	Full Protection Reserve on Private land	Act 146/98-N of 30/10/1988	Federal	52,7	unknown	unknown	Conservation area within the production pole Palmas/Porto Nacional
Água Bonita	TO	Abreulândia	Full Protection Reserve on Private land	Act 106/2000 of 27/12/2000	Federal	128	unknown	unknown	
Bela Vista	TO	Palmas	Full Protection Reserve on Private land	Act 8 of 21/05/2001	Federal	114	unknown	unknown	Conservation area within the production pole Palmas/Porto Nacional
Canguçu	TO	Pium	Full Protection Reserve on Private land	Act 819 of 05/03/2004	Federal	60	unknown	unknown	
Catedral do Jalapão	TO	São Félix do Tocantins	Full Protection Reserve on Private land	Act of 27/07/2010	State	325,65	yes	no	
Fazenda Calixto	TO	Dianópolis	Full Protection Reserve on Private land	Act of 04/06/2009	State	771,58	unknown	unknown	
Fazenda Sonhada	TO	Pium	Full Protection Reserve on Private land	Act of 08/06/2010	State	930,97	unknown	unknown	
Minnehaha	TO	Almas	Full Protection Reserve on Private land	Act 105/96-N of 26/11/1996	Federal	745	unknown	unknown	
APA Ilha do Bananal/Cantão	TO	Abreulândia, Divinópolis, Dois Irmãos, Caseara, Marianópolis, Monte Santo, Chapada de Areia, Pium, Araguacema	Sustainable use Área de Proteção Ambiental	Law 907 of 20/05/1997	State	1.570.020,49	yes	yes	

APA Foz do Rio Santa Tereza	TO	Peixe	Sustainable use Área de Proteção Ambiental	Law 905 of 20/05/1997	State	50.144,30	no	no	
APA Serra do Lajeado	TO	Aparecida do Rio Negro; Lajeado; Palmas; Tocantinia	Sustainable use Área de Proteção Ambiental	Law 906 of 20/05/1997	State	122.633,00	yes	yes	Conservation area within the production pole Palmas/Porto Nacional
APA do Jalapão	TO	Mateiros, Novo Acordo, Ponte Alta do Tocantins	Sustainable use Área de Proteção Ambiental	Law 1.172 of 31/07/2000	State	461.730,00	yes	no	
APA das Nascentes de Araguaína	TO	Araguaína, Babaçulândia, Wanderlândia	Sustainable use Área de Proteção Ambiental	Law 1.116 of 09/12/1999	State	15.597,53	no	no	
APA Lago de Peixe Angelical	TO	São Salvador do Tocantins, Paraná, Peixe	Sustainable use Área de Proteção Ambiental	Law 1.444 of 18/03/2002	State	75.451,33	no	no	
APA Lago de Palmas	TO	Porto Nacional	Sustainable use Área de Proteção Ambiental	Law 1.098 of 20/10/1999	State	50.370,00	no	yes	
APA do Lago de Santa Isabel	TO	Ananás, Riachinho, Xamboiá, Araguaia	Sustainable use Área de Proteção Ambiental	Decree 1.158 of 02/08/2002	State	18.608,00	no	no	
APA Lago de São Salvador do Tocantins, Paraná e Palmeirópolis	TO	São Salvador do Tocantins, Paraná, Palmeirópolis	Sustainable use Área de Proteção Ambiental	Decree 1.559 of 01/08/2002	State	14.224,66	no	no	
APA Sapucaia	TO	Piraquê	Sustainable use Área de Proteção Ambiental	Law 0104/2004 of 20/08/2004	Municipal	17.209			
APA do Rio Taquari	TO	Araguatins	Sustainable use Área de Proteção Ambiental	Law 806/2002 of 20/12/2002	Municipal	26.152			

INDIGENOUS LANDS							
LAND	STATE	MUNICIPALITIES	SITUATION	PEOPLE	POPULATION	SIZE (in hectares)	OBSERVATIONS
Apinayé	TO	Tocantinópolis, Iguatins, Maurilândia	Ratified and registered – Decree 03/11/1997	Apinayé		141.904,00	
Funil	TO	Tocantinia	Ratified and registered Decree 269 of 19/10/1991	Xerente		15.704,00	
Inãwebohona (Boto Velh)	TO	Pium, Lagoa da Confusão	Ratified and registered Decree of 18/04/2006	Javaé, Karajá, Avá Canoeira		377.113,57	
Javaé/Avá Canoeiro	TO	Formoso do Araguaia e Sandolândia	Being assessed	Javaé			
Parque do Araguaia	TO	Formoso de Araguaia, Pium, Cristolândia	Ratified by decree 14/04/1998	Avá Canoeira, Javaé, Karajá, Tapirapé		1.358.499,00	
Krahó-Kanela	TO	Lagoa da Confusão	Ratified and registered	Krahó-Kanela		7.612,76	
Kraolândia	TO	Goiatins, Itacajá	Ratified and registered Decree 99.062 of 07/03/1990	Krahô		302.533,00	
Maranduba	TO	Santa Maria das Barreiras, Araguacema	Ratified Decree of 20/04/2005	Karajá		375,00	
Taego Áwa	TO	Formoso do Araguaia	Anthropological studies approved (delimitada)	Ava-Canoeiro		29.000,00	
Utaria Wyhyna/Irôdu Irana	TO	Pium	Ready to be demarcated	Karajá, Javaé		177.466,00	
Xambioá	TO	Araguaiana	Ratified and registered	Karajá e Guaraní		3326,35	
Xerente	TO	Tocantínia, Aparecida do Rio Negro	Ratified and registered Decree 97.838	Xerente		167.543,00	
Arariboia	MA	Buritcupu, Arame, Amarante do Maranhão, Bom Jesus das Selvas, Grajau, Santa Luzia	Ratified and registered	Guajá		413.288,04	
Bacurizinho	MA	Grajaú	Ratified and registered	Guajajara		82.432,49	
Bacurizinho	MA	Grajaú	Proposed	Guajajara		134.040,00	
Cana Brava/Guajajara	MA	Grajaú, Barra do Corda, Jenipapo dos Vieiras	Ratified and registered	Tenetehera		137.329,54	
Geralda Toco Preto	MA	Arame, Itaipava do Grajaú	Ratified and registered	Timbira		18.506,20	
Governador	MA	Amarante do Maranhão	Ratified and registered	Gavião, Pukobiê, Tenetehera		41.643,75	
Governador	MA	Amarante do Maranhão	Being assessed	Gavião, Pukobiê, Tenetehera			

Kanela	MA	Barra do Corda, Fernando Falcão	Ratified and registered	Kanela		125.212,16	
Kanela Memortumré	MA	Barra do Corda, Fernando Falcão	Anthropological studies approved (delimitada)	Kanela		100.221,00	
Krenyê	MA	Barra do Corda e Vitorino Freire	Encaminhada RI				
Lagoa Comprida	MA	Itaipava do Grajaú, Jenipapo dos Vieiras	Ratified and registered	Teneteheira		13.198,26	
Morro Branco	MA	Grajaú	Ratified and registered	Teneteheira		48,98	
Porquinhos	MA	Barra do Corda, Fernando Falcão	Ratified and registered	Kanela		79.520,25	
Porquinhos dos Kanela Apãnjekra	MA	Barra do Corda, Fernando Falcão, Mirador e Formosa da Serra Negra	Declarada	Kanela		301.000,00	
Rodeador	MA	Barra do Corda	Regularizada	Teneteheira		2.319,41	
Urucu/Juruá	MA	Itaipava do Grajaú	Regularizada	Teneteheira		12.697,01	
Vila Real	MA	Barra do Corda	Being assessed	Teneteheira			

SOURCE: <http://www.funai.gov.br/index.php/indios-no-brasil/terras-indigenas>

FORMER SLAVE COMMUNITIES				
STATE	MUNICIPALITY	COMMUNITIES	Nr. Of Communities	OBSERVATIONS
MA	Alto Alegre do Maranhão	Marmorana E Boa Hora 3; São José	2	
MA	Bacabal	Catucá; Piratininga; Campo Redondo; Guaraciaba	4	
MA	Barreirinhas	Santo Antônio; Cantinho	2	
MA	Brejo	Arvores Verdes; Boa Esperança; Boca da Mata; Criulis; Faveira; Saco das Almas; Santa Alice; Boa Vista; Bom Princípio; Alto Bonito; Depósito; Bandeira; Funil	13	
MA	Buriti	Santa Cruz; São José; Pitombeira	3	
MA	Cantanhede	Bacuri dos Pires	1	
MA	Capinzal do Norte	Santa Cruz (antiga Santa Rita)	1	
MA	Chapadinha	Barro Vermelho; Poço da Pedra; Prata dos Quirinos	3	
MA	Codó	Santa Joana; Matões dos Moreira; Cipoal dos Pretos; Bom Jesus; Santo Antônio dos Pretos; Monte Cristo e Matuzinho; Mata Virgem; Eira dos Coqueiros	8	
MA	Colinas	Jaguarana; Taboca do Belém; Peixes; Cambirimba	4	
MA	Dom Pedro	Cruzeiro	1	
MA	Fernando Falcão	Sítio do Arrudos	1	
MA	Grajaú	Santo Antônio dos Pretos	1	
MA	Itapecuru Mirim	Mata de São Benedito; Santa Maria dos Pinheiros; Piqui/Santa Maria; Filipa; Finca Pé; Ypiranga da Carmina; Santa Rosa dos Pretos; Contendas; Moreira; São Pedro; Monge Belo; Santa Helena; Vista Alegre; Santa Galo; Mirim e Curitiba; Povoado Benfica; Povoado Mata III; Curitiba; Mirim; Santana São Patricio; Povoado Javi; Brasilina; Buragir; Oiteiro dos Nogueiras; Nossa Senhora Aparecida; Jacaré; Monte Lindo II; Mato Alagado I ; Monte Alegre; Nossa Senhora do Rosário; São João do Povoado Mata	31	
MA	Lima Campos	Santo Antônio dos Sardinhas; Bom Jesus dos Pretos; Morada Nova; Nova Luz; Nova Olinda; Queto; São Domingos; São Francisco	8	

MA	Mata Roma	Bom Sucesso dos Negros	1	
MA	Matões	Mandacaru dos Pretos	1	
MA	Matões do Norte	Santo Antônio; Lagoa do Coco	2	
MA	Pedreiras	Lago da Onça	1	
MA	Peritoró	Resfriado; São Benedito do Elcias; Pitoró dos Pretos; Lagoa Grande;	4	
MA	Presidente Vargas	Finca Pé; Estiva dos Cotó; Bom Jardim da Beira; Caviana; Cigana Grande; Pução; Boa Hora; Boa Hora do Puluca; Boa Hora I; Filomena; Fincapé I; Lagoa Grande; Lajeado; Sapucaial;	14	
MA	Primeira Cruz	Santo Antônio do Pretos	1	
MA	Santa Quiteria	Cana Brava	1	
MA	São João do Sóter	Jacarezinho; São Zacarias II	2	
MA	São Luiz Gonzaga do Maranhão	Monte Alegre; Boa Vista dos Freitas; Cotozinho; Potozinho; Povoado de Santarém; Promissão Velha; Santa Cruz; Santo Antônio do Costa/Vale Verde; São Domingos; São Pedro; COHEB; Fazenda Velha/Monte Cristo; Mata Burros/Santo Antônio dos Vieiras; Morada Nova Deusdeth; Pedrinhas; Potó Velho; Santana; Centor dos Cruz/Bela Vista; Fazenda Conceição; Santa Rosa; Olho D'Água dos Grilos	21	
MA	Timon	Monteiro	1	
MA	Vargem Grande	Povoado Belmonte; Santa Maria (Malaquias); São Francisco do Malaquias; Rampa; Penteadó	5	
TO	Alto Jequitibá	Baião	1	
TO	Arraias	Lagoa da Pedra, Kalunga do Mimoso	2	
TO	Aragominas	Projeto da Baviera; Pé do Morro	2	
TO	Araguatins	Ilha São Vicente	1	
TO	Brejinho de Nazaré	Corrego Fundo; Malhadinha; Curralinho do Pontal; Manoel João	4	
TO	Chapada da Natividade	Chapada da Natividade, São José	2	Within the focal área
TO	Dianópolis	Lajeado	1	
TO	Dois irmãos do Tocantins	Santa Maria das Mangueiras	1	
TO	Filadélfia	Grotão	1	
TO	Jaú do Tocantins	Rio das Almas	1	
TO	Mateiros	Mumbuca e arredores; Carrapato, Formiga e Ambrósio	3	
TO	Monte do Carmo	Mata Grande	1	
TO	Muricilândia	Dona Juscelina	1	
TO	Natividade	Redenção	1	
TO	Porto Alegre do Tocantins	Laginha e áreas vizinhas; São Joaquim e áreas vizinhas	2	
TO	Santa Fé do Araguaia	Cocalinho e arredores;	1	
TO	São Félix do Tocantins	Povoado do Prata e arredores	1	
TO	Santa Rosa do Tocantins	Distrito do Morro de São João	1	
TO	Santa Tereza do Tocantins	Barra do Aroeira	1	
PI	São Raimundo do Nonato	Lagoas	1	Within the focal área
PI	Redenção do Guruguéia	Brejão dos Aipins	1	Within the focal área
BA	Barreiras	Mucambo	1	Within the focal área
BA	Bom Jesus da Lapa	Banderia; Fazenda Jatobá; Juá; Lagoa do Peixe; Nova Batalhinha; Rio das Rãs; Barrinha; Bebedouro; Fortaleza; Peroba	10	
		total	178	(5 within focl áreas)

SOURCE: Fundação Palmares: http://www.palmares.gov.br/?page_id=88

MATOPIBA 2020 - PROCESSO DE PREPARAÇÃO

FICHA DE REUNIÃO

Objetivo: conhecer resultados do produto.

Data: 40/03/2016.

Local: *Palmeira do Piauí*

Participantes:

[illegible]**MATOPIBA 2020 - PROCESSO DE PREPARAÇÃO**

FICHA DE REUNIÃO

Objetivo: visita de preparação

Data: 14/03/2016

Local: Barneinas / SLC

Participantes:

[illegible]

MATOPIBA 2020 - PROCESSO DE PREPARAÇÃO

FICHA DE REUNIÃO

Objetivo: Preparação de projeto

Data: 15/03/2016

Local: FUNDAÇÃO BARRIA. AGRO FIRMA / PREFEITURA.

Participantes:

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MATOPIBA 2020 - PROCESSO DE PREPARAÇÃO

FICHA DE REUNIÃO

Objetivo: Apresentação do Projeto.

Data: 16/03

Local: BARRIERS.

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MATOPIBA 2020 - PROCESSO DE PREPARAÇÃO

FICHA DE REUNIÃO

Objetivo: *Preparação do projeto*

Data: *18/03/2016*

Local: *MAPA/FAET/SEMART*

Participantes:

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Empoderando vidas
fornecendo nações.

Commodities GEF-CIAP: Reduzindo o Desmatamento da Cadeia Produtiva de Commodities

Reunião sobre o Projeto: "Apoio à Redução do Desmatamento na Produção de Commodities"

Brasília, 10 de maio de 2016

PNUD – Brasília

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Empoderando vidas,
Fortalecendo nações.

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ANNEX O: Summary of Stakeholders

MAPA is responsible for coordinating the preparation and monitoring of a development plan for the Matopiba region. The Brazilian agricultural research center (Empresa Brasileira de Pesquisa Agropecuária -EMBRAPA) linked to MAPA, in particular its geographical intelligence group (Grupo de Inteligência Territorial Estratégica - GITE), is collecting baseline data for that development plan. In accordance with the objectives mentioned in the decree that established the committee responsible for the preparation of the development plan, sustainability is not a primary concern.

The MMA is not a member of this committee responsible for preparing the development plan. However, expansion of agriculture and cattle ranching in the Matopiba region is likely to impact native vegetation, biodiversity and ecosystem services. The MMA is, therefore, an important stakeholder, in particular the forestry service (SFB) the agency responsible for the implementation of the CAR system, the Secretariat for Biodiversity and Forests (Secretaria da Biodiversidade e Florestas -SFB), but also the Secretariat for Rural Development (Secretaria de Extrativismo e Desenvolvimento Rural Sustentável -SEDR) the secretariat responsible for policies related to communal land management and the extraction of natural resources.

The Ministry of National Integration is responsible for regional development, including regional investment funds, for the North (Fundo Constitucional de Financiamento do Norte- FNO) and the Center-East (Fundo Constitucional de Financiamento do Nordeste- FNO); for the management of watershed programmes, in particular with respect to the São Francisco river basin; and for the company for the development of the São Francisco and Parnaíba river basins (Companhia de Desenvolvimento dos Vales do São Francisco e do Parnaíba - CODEVASF). CODEVASF is, in particular, responsible for promoting the development and revitalization of the São Francisco, Parnaíba, Itapecuru and Mearim river basins with an emphasis on the sustainable use of their natural resources and on laying the basis for productive activities that promote social and economic inclusion. To this end, the company mobilizes public investments for the construction of infrastructure for, in particular, irrigation and rational use of water resources.

The national foundation for indigenous questions (A Fundação Nacional do Índio – FUNAI) is the institute, linked to the Ministry of Justice (MJ), formally responsible for the coordination and execution of policies related to indigenous people and protects and promotes their rights. Of particular relevance is the policy on management of land and natural resources in indigenous lands (Política Nacional de Gestão Territorial e Ambiental de Terras Indígenas – PNGATI). The main instrument of this policy are environmental and natural resources plans of indigenous lands (Planos de Gestão Territorial e Ambiental de Terras Indígenas – PGTAs) which form the basis of the management of land and natural resources in indigenous lands, but also for an important part of the interaction of the indigenous lands and indigenous groups with surrounding lands and society.

At the level of state governments, the main stakeholders are the secretariats for environment, for planning and for agriculture. In the state of **Maranhão** this involves: SEMA (Secretaria do Meio Ambiente e Recursos Naturais); SEPLAN (a Secretaria do Planejamento e Orçamento) and SAGRIMA (Secretaria do Estado de Agricultura e Pecuária). In the state of **Tocantins** it includes: SEMARH (Secretaria de Meio Ambiente e Recursos Hídricos); SEPLAN (Secretaria do Planejamento e Orçamento) and SEAGRO (Secretaria da Agricultura e Pecuária); In the state of **Piauí** these themes are covered by SEMAR (a Secretaria Estadual de meio Ambiente e Recursos Hídricos), SEPLAN (Secretaria de Estado do Planejamento) and SDR (Secretaria de Estado Do Desenvolvimento Rural). In the state of **Bahia**, it involves the agencies SEMA (Secretaria do Meio Ambiente); SEPLAN (Secretaria do Planejamento); and SEAGRI (Secretaria da Agricultura, Pecuária, Irrigação, Reforma Agrária e Aquicultura).

At the level of river basins, the National Water Agency (ANA) which is linked to the Ministry of Environment is responsible for the management of inter-state river basins for which there are no specific river basin committee yet. In the MATOPIBA region this is particularly relevant for the river Tocantins and Araguaia basins. Other relevant stakeholders at the level of river basins are the Committee for the São Francisco River basin (Comitê da Bacia Hidrográfica do Rio São

Francisco - CBHSF). The committee and the river basin management plan are particularly relevant for the West-Bahia region; the Committee for the Parnaíba river basin (Comité da Bacia Hidrográfica do Rio Parnaíba - CBH-Parnaíba) and the Committee for the Gurgueia river basin (Comitê da Bacia do Rio Gurgueia -CBH-Gurgueia).

The region covers 337 municipalities. Although, all of them are important stakeholders, the focus of the present project will be on 10 municipalities to be decided at the inception phase of this project. These may include, **in Bahia**, the municipalities of: Barreiras, Formosa do Rio Preto, Luis Eduardo Magalhães, Riachão das Neves, São Desidério, Correntina, Jaborandí; **in Maranhão**: Alto Parnaíba, Balsas, Riachão, Tasso Fragoso, Loreto, Sambaíba, São Raimundo das Mangabeiras; **in Piauí**: de Baixa Grande do Ribeiro, Ribeiro Gonçalves, Santa Filomena, Uruçuí, Bem Jesus, Currais, Gilbués, Palmeira do Piauí; and in **Tocantins**: Aparecida do Rio Negro, Monte do Carmo, Palmas, Porto Nacional, Silvanópolis, Chapada da Natividade e Santa Rosa do Tocantins.

Important stakeholders in the realm of the private sector are the technical assistance and extension service agencies, in Bahia (BAHIATER); Maranhão (AGERP); Tocantins (RURALTINS); and Piauí (EMATER). The extension services are particularly important with respect to the support they provide to smallholders in the region. In general, these smallholders will not produce soy and may in fact suffer pressure to sell or rent their lands to soy farmers.

Other important stakeholders in the private sector include farmer organizations (sindicatos) which are usually organized at the municipal level, individual farmers, local traders and agrochemical industries. Farmers do not form a homogeneous group. Interests among farmers may vary based on farm size, commodity (beef versus agricultural commodities), location and/or access to ecosystem services; level of compliance with the forest code or other characteristics. Based on the last census, it is estimated that the soy production involves over 200 thousand farms,, most of them relatively small, in particular in the South, and a minority of larger farms in the center-west of the country with an average size of over 500 hectares ⁽⁸⁰⁾. This difference in size is, partly, due to lower returns in the centre-west as a result of higher transportation costs. Prices paid for soy in the centre-west oscillate around three quarters of the price paid in the South of the country.

Companies involved in the provision of inputs such as seeds, agrochemicals, machinery and financial and technical support, include the multinationals that have dominated the global market, Monsanto, Dupont and Syngenta ⁽⁸¹⁾, as well as other smaller international and national companies such as Bayer, Dow, Land o' Lakes and others ⁽⁸²⁾. There are in Brazil around 180 active seed companies ⁽⁸³⁾.

In some cases, inputs, such as seeds, pesticides, financial support are provided directly to the farmers, in other cases they are provided by traders through informal deals.

Financing and credit for production is provided through banks or cooperatives or through informal agreements between farmers and traders. These informal deals usually imply a “package-deal” with the trader to which the harvest is sold. This may consist of an agreement, known as barter, when inputs are obtained through traders in exchange for part of the harvest. While in 1995 private banks only provided a little over 12% of all credit to agriculture and cattle ranching, in 2010 they had increased their market share to 42% ⁽⁸⁴⁾. Public banks usually need to check the farmer’s compliance with the Forest Code. Although several private banks check compliance as part of their corporate social responsibility procedures, it is likely that several private financing institutions do not apply this restriction.

⁸⁰ Zanon, Raquel Silvestrin, et.al. (2010). Produção de Soja no Brasil: Principais Determinantes do Tamanho das Propriedades. Paper presented at 48th congress of Sociedade Brasileira de Economia, Administração e Sociologia Rural, July 2010

⁸¹ US Soy bean export council (2011), How the Global Oilseed and Grain Trade Works.

⁸² See: <http://www.abrasem.com.br>

⁸³ http://www.seednews.inf.br/_html/site/content/reportagem_capa/imprimir.php?id=139

⁸⁴ Silva, Felipe Prince & Lapo, Luis Eduardo Reboló (2012). Modelos de financiamento da cadeia de grãos no Brasil. Presentation at 2ª Conferência em Gestão de Risco e Comercialização de Commodities, 27 e 28 de novembro 2012.

Traders are also a heterogeneous group, in part, because different traders in different regions operate in different stages of the supply chain (see above). In addition to their role in providing inputs, traders are usually also responsible for storage, transport trans-shipment and processing of the crop. The four biggest soy traders (ADM, Bunge, Cargill and Louis Dreyfus) are also active in the Matopiba region. Other national traders with activities in the region may include: Amaggi; Noble, Fiagril, Ceagro Agronegócios or others. Some of these traders are actively promoting compliance with the forest code and the use of sustainable production methods, others are less concerned.

The most important processing industry, the animal feed industry is a very fragmented sector. The European Feed Manufacturers Federation which represents the national associations of animal feed producers in 23 EU member states includes no less than a total of 4,500 processing units. The Brazilian association of animal feed producers, *Sindirações*, represents some 140 members.

In addition to the government and the private sector, there are also a number of civil society organizations with a stake in the present project. This includes the association of farmers and producers who use irrigation in Bahia (Associação de Agricultores e Irrigantes da Bahia -AIBA). The mission of AIBA is to promote agribusiness development in Bahia in a sustainable and socially responsible way. Another organization with a potential stake in the present project is the foundation for support to agricultural export in the northern regions (Fundação de Apoio à Pesquisa do Corredor de Exportação Norte -FAPCEN). FAPCEN is an organization, created in 1993, to support businesses and farmers in Maranhão, Tocantins e Piauí with activities in the areas of research, rural extension, production and commercialization.

Of particular relevance is also the Cerrado network of civil society organizations (Rede Cerrado). This network consists of more than 300 organizations concerned with biodiversity conservation and the livelihoods of rural workers and traditional communities involved in subsistence farming or the extraction of natural resources. Other possibly interested civil society groups may involve the Carajás Forum, which works in Maranhão (especially the lower Parnaíba), Tocantins and Pará; The Institute for Society, Population and Nature (ISPN), based in Brasília and with a branch office in Maranhão; The Pro-Nature Foundation (FUNATURA); The Brazilian Agency for Environment and Information Technology (ECODATA); The National Confederation of Agricultural Workers (CONTAG), the National Federation of Men and Women Workers in Family Farming (FETRAF); the Pastoral Land Commission (CPT); the Landless Workers' Movement (MST); the Small Farmers' Movement (MPA); and the Rural Workers' Movement (MTC), among others. Of particular relevance may be the movement of babaçu nut breakers (*Movimento Interestadual das Queibradeiras de Coco Babaçu*). This movement represents mostly women involved in gathering and processing babaçu nuts into vegetable oil for cosmetics, soaps, detergents, etc.

Annex P: Background on focal areas.

The new agricultural frontier for soy production in the Cerrado is located in selected landscapes in the states of Maranhão, Tocantins, Piauí and Bahia, the abbreviation of which gave the region its name: MATOPIBA. The region was defined by the Brazilian agricultural research institute (Empresa Brasileira de Pesquisa Agropecuária – EMBRAPA). It consists of a total of 337 municipalities: 135 municipalities in the South-east of the state of Maranhão, all 139 municipalities in the state of Tocantins; 33 municipalities in the South-west of Piauí and 30 municipalities in the South-west of the state of Bahia. MATOPIBA's total area is 73 million hectares and it has a population of 6.3 million inhabitants ⁽⁸⁵⁾. The total number of agricultural properties in the region was, according to the last census, 324,326 ⁽⁸⁶⁾.

The region is mainly covered by Cerrado biome (savanna) (91%), but also Amazon forest (7%) and even a few patches of Caatinga (shrub land) (2%). A large part of the region, the whole of the state of Tocantins and part of the state of Maranhão is actually located within the Legal Amazon. The region is located in four different large river basins: São Francisco, Parnaíba, Araguaia/Tocantins and Atlântico Nordeste Ocidental. Over 20% of the region consists of public lands, including: 28 indigenous lands (with an area of 4.2 million hectares); 52 conservation areas (with a total area of 8.8 million hectares) ⁽⁸⁷⁾; 913 land reform settlements (with a total area of 3.7 million hectares) and 35 lands of former slaves' communities (with a total area of 250,000 hectares) ⁽⁸⁸⁾. The MATOPIBA region is still relatively untouched compared to other areas of the Cerrado. It is estimated that of the region's total area, 49 million hectares or almost 67% is still covered by native vegetation ⁽⁸⁹⁾ compared to XX % in the rest of the Cerrado.

Almost 60% of the agricultural production (in value) is produced by only three commodities: soy, beef and cotton. In 2013, the region had 1,544 irrigation installations (pivots) and 870 storage facilities, of which respectively 85% and 56% was located in West Bahia ⁽⁹⁰⁾. GDP in 2010 was US\$ 12 billion of which over 20% was generated by the agriculture and cattle ranching sectors. The average per capita income, in the same year, was with US\$ 2,000 well below the national average of US\$5,000. On the Human Development Index, Brazil scored, in 2010, 0.737. The average for the municipalities in the MATOPIBA region was 0.604 ⁽⁹¹⁾. The region scored in 2013 on the basic education development index 3.2 compared to 4.2 for the country.

The EMBRAPA study considered approximately three quarters of the total number of properties and found that of the total area they occupied (29 million hectares), 15% was occupied by properties of less than 100 hectares and the remaining 85% by properties of a 100 hectares or more. Approximately 80% of all properties generating 5% of the agricultural GDP of the region, were considered very poor; 14% poor (8.35% of A-GDP); 5.79% middle class (26.74% of A-GDP) and 0.42% rich (59.78% of A-GDP) ⁽⁹²⁾.

The present initiative will focus on four so-called priority areas with a total size of almost 17 million hectares or 23% of the total Matopiba area, consisting of 29 municipalities with a total population of almost 1 million or 15% of the total Matopiba population. The four priority areas still have 12 million hectares of native vegetation cover or 70% of the total area (almost a quarter of the total remnants in the Matopiba region and 11% of all Cerrado biome remnants). It also concentrates over 70% of the area of soy production in the region. In the States of Maranhão, Piauí and Bahia, the

⁸⁵ IBGE, e estimates 2015

⁸⁶ IBGE

⁸⁷ Conservation areas are not necessarily public lands. Some sustainable use areas, in particular "Áreas de Preservação Ambiental – APA" usually consist of private lands.

⁸⁸ <https://www.embrapa.br/gite/projetos/matopiba>

⁸⁹ The total area of Cerrado is approximately 204 million hectares. According to estimates from 2009, roughly half of that – 105 million hectares still consisted of native vegetation. Almost half of the total area of remnants -49 million hectares – is located in the Matopiba area

⁹⁰ *ibidem*

⁹¹ <http://www.atlasbrasil.org.br/2013/>

⁹² *ibidem*

production is primarily concentrated on “chapadas” or broad, flat-topped ridges. The flat landscapes on these ridges occupied by capital-intensive agricultural commodities production often form a sharp contrast with the rugged valleys in which small-scale capital-extensive production prevails. In the State of Tocantins, soy production is more scattered and can be found on chapadas as well as in flat landscapes in the Tocantins and Araguaia river basins.

The selection of priority areas was based on this concentration of production in the States of Maranhão, Bahia and Piauí. In Tocantins, the selection of the priority region was based on the level of production, as well as on potential for future growth in the Porto Nacional-region and because of the presence of a large trans-shipment complex in the municipality of Porto Nacional from where soy is loaded on trains to São Luis for export.

The region around the municipality of Balsas consists of seven municipalities with a total area of over 4 million hectares, of which almost 500,000 hectares are under cultivation for soy or around 65% of all soy production in the state of Maranhão. The seven municipalities have a combined population of 167,000 and an average HDI of 0.607. Farmers in the region complain about degradation of its main rivers Balsas and Itapecuru. According to overall figures of the Forestry Service, over 100% of all arable land in Maranhão had, in March 2016, been registered in the SICAR system.

The region in Tocantins around Porto Nacional also consists of seven municipalities with a population of 350,000 and with a total area of 1.6 million hectares, of which, in 2014, 144,000 hectares was under soy production or 20 % of the soy production area in the State of Tocantins. The HDI average in the Tocantins priority region is 0.670, the highest of all four areas. According to data from the State Environment agency, the state of Tocantins has 73,399 rural properties of which in March 2016 25,111 (or 34.21%) were registered in the CAR system ⁽⁹³⁾ ⁽⁹⁴⁾. In the municipalities in the focal region, the situation is similar. In March, 2016, 2,138, or a third of all properties in the focal region, equivalent to over 40% of the total cultivated area were registered in the SICAR.

The priority areas in the state of Piauí consists of eight municipalities with a total area of approximately 4 million hectares and a population of a little over 90,000. The area under soy production is almost 550,000 hectares which covers almost 90% of all soy production in the state. The average HDI for the seven municipalities is 0.582. The region is characterized by a relative lack of support institutions to farmers. According to overall figures of the Forestry Service, approximately 35% of all arable land in Piauí had, in March 2016, been registered in the SICAR system.

Soy production in Bahia is located right at the border with the state of Tocantins, marked by a 200-300 meters high ridge and a leap in annual rainfall. From the border, it extends eastwards, but further expansion of soy is limited by the amount of rainfall and access to water for irrigation. The priority region consists of seven municipalities along that border with a size of 6 million hectares, a total population of 200,000 and a soy production area of over 1 million hectares where 85% of the total soy production in the region is concentrated. The average combined HDI is 0.618 with a pronounced difference between the richest municipality (Luis Eduardo Magalhães = 0.716) and the poorest (Riachão das Neves=0.578). According to overall figures of the Forestry Service, approximately 27% of all arable land in Bahia had, in March 2016, been registered in the SICAR system.

Based on the above figures, it is estimated that in the priority areas a total of around 1.2 million hectares or a quarter of all arable land needs to be included in the SICAR system. Assuming that most of the properties not yet registered are smallholders, this area may represent as many as 10,000 female and male farmers.

The whole region has 77 conservation units of which 25 are conservation units in private lands with a total area of 21,000 hectares (20.000 hectares included in the Matopiba region); 34 sustainable use conservation areas with a total area of 10 million hectares (5.1 million hectares in the Matopiba region); and 18 full protection areas with a total size of 4.9 million hectares (3.7 million hectares in the Matopiba region). Of these conservation units, 32 areas (11 private reserves, 10 sustainable use areas and 11 full protection areas) are located in the focal regions with a total size of 2.2 million hectares.

⁹³ Which represents 39,15 of the total area to be registered (9.448.999,87 of 24.137.147.5)

⁹⁴ Data from Semarh on: <http://central3.to.gov.br/arquivo/276002/>

In addition, the region houses 28 indigenous lands with a total area of 4.2 million hectares, none of which are located in the focal regions and 178 communities of former slaves, 35 of which, with a total area of 553,000 hectares (231 within the Matopiba borders) are formally recognized and registered.

Other traditional communities include “babaçu”- nut breakers. Although most babaçu-nut breakers live in the transition area between the Amazon biome and Cerrado in Maranhão and Tocantins, there are babaçu nut breakers even in west Bahia. Babaçu nuts are gathered and processed mainly by women for their vegetal oil content, which is used in the manufacturing of several products as well as in the preparation of food. Traditionally, the babaçu palm is considered a communal or public good. However, privatization of communal lands and the concentration of land are diminishing access of babaçu-nut breakers and has been a source of conflict. Estimates are that 300 to 400,000 women are involved in nut gathering and processing.

Traditional communities may also include “geraizeiros”. These communities occupy communal lands in the Cerrado biome. Their rights are currently not yet recognized and their traditional livelihoods and ways of production are being threatened by the expansion of the agricultural frontier. Currently, there is no official inventory of these communities but they are known to live in the north of Minas Gerais and the west of Bahia.

The advancing frontier is causing several conflicts over land. Of the more than 11,000 rural conflicts that occurred in Brazil between 2005 and 2014, almost 40% were in the Cerrado ⁽⁹⁵⁾. In 2014, there were 121 conflicts in the Matopiba region (757 at the national level), involving over 9000 families ⁽⁹⁶⁾.

Some activities will cover all four priority areas (for example the identification of areas for expansion), others will, due to budget constraints, only involve a selection of approximately 10 municipalities in two of the priority areas. Final selection of the two regions and the municipalities will be done during the inception phase. Selection criteria are expected to include: native vegetation cover; soy production; environmental management capacity existent; extent of degraded lands that may be converted into arable land for the production of commodities; threats to critical ecosystem services or others. Based on an initial assessment, the most likely selection includes five municipalities in the Tocantins region and five municipalities in the Bahia region.

⁹⁵ Gonçalves, Paulo Rogerio (). O Matopiba e o desenvolvimento “destrutivista do Cerrado. un-published paper, Associação Alternativa para Pequena Agricultura

⁹⁶ <http://www.cptnacional.org.br/index.php/component/jdownloads/send/4-areas-em-conflito/2390-areas-em-conflito-2014>

ANNEX Q: Background on soy in Brazil

Soy was introduced in the South of Brazil, in the beginning of the 20th century, but it was not until the 1960s that production gained some scale. In recent years, Brazil has become one of the major soy producing countries. Its total production approaches or in some years surpasses that of the USA. Together they produce over half of the total world production of around 300 million metric tons. Other major soy production countries are: Argentina, China, India and Paraguay.

The cultivation of soy beans in Brazil covers almost 28 million hectares, double the area covered in 2000, and is concentrated in the South (Paraná, Rio Grande do Sul) and in the state of Mato Grosso. In recent years, cultivation has spread to new areas in the Cerrado biome, in particular in the four states of Bahia, Maranhão, Piauí and Tocantins (figure 4& 5).

Based on the last census, it is estimated that the soy production involves over 200 thousand farms, most of them relatively small, in particular in the South, and a minority of larger farms in the centre-west of the country with an average size of over 500 hectares ⁽⁹⁷⁾. This difference in size is, partly, due to lower returns in the centre-west as a result of higher transportation costs. Prices paid for soy in the centre-west oscillate around three quarters of the price paid in the South of the country.

Most important inputs in the soy supply chain are seeds, agrochemicals, machinery and financial and technical support. Globally, the seeds and agrochemicals market has been dominated by three multinational companies: Monsanto, Dupont and Syngenta ⁽⁹⁸⁾. Although, these and other international companies such as Bayer, Dow, Land O' Lakes and others ⁽⁹⁹⁾ dominate the market – the 12 biggest seed companies have a combined market share of close to one third of the total market– there are in Brazil around 180 active seed companies ⁽¹⁰⁰⁾.

The way farmers obtain these inputs often depends on how they are financed. A minority may have their own capital to purchase seeds and agrochemicals, but more often farmers need to finance these inputs, either through credit from formal credit providers –commercial banks and credit cooperatives- or through informal agreements with traders or suppliers ⁽¹⁰¹⁾. Farmers who have obtained formal credit may purchase their inputs directly from seed and agrochemical companies or indirectly from traders. Informal agreements usually imply a “package-deal” with the trader to which the harvest is sold. This may consist of an agreement, known as barter, when inputs are obtained through traders in exchange for part of the harvest. Informal agreements are more common in the Centre-west region, while in the South farmers tend to go more to banks or cooperatives for financial support. Costs of inputs may be as high as 50-60% of the total production costs ⁽¹⁰²⁾. Although the largest share of formal credit is still provided by public banks, participation of private banks in the credit market has increased significantly. While in 1995 private banks only provided a little over 12% of all credit to agriculture and cattle ranching, in 2010 they had increased their market share to 42% ⁽¹⁰³⁾.

Trading companies occupy a central role in the supply chain. In addition to their role in providing inputs, they are usually also responsible for storage, transport trans-shipment and processing of the crop. The supply chain is dominated by a

⁹⁷ Zanon, Raquel Silvestrin, et.al. (2010). Produção de Soja no Brasil: Principais Determinantes do Tamanho das Propriedades. Paper presented at 48th congress of Sociedade Brasileira de Economia, Administração e Sociologia Rural, July 2010

⁹⁸ US Soy bean export council (2011), How the Global Oilseed and Grain Trade Works.

⁹⁹ See: <http://www.abrasem.com.br>

¹⁰⁰ http://www.seednews.inf.br/_html/site/content/reportagem_capa/imprimir.php?id=139

¹⁰¹ Silva, Felipe Prince & Lapo, Luis Eduardo Rebole (2012). Modelos de financiamento da cadeia de grãos no Brasil. Presentation at 2ª Conferencia em Gestão de Risco e Comercialização de Commodities, 27 and 28 November 2012.

¹⁰² Instituto Mato-grossense de Economia Agropecuária.

¹⁰³ Silva, Felipe Prince & Lapo, Luis Eduardo Rebole (2012). Modelos de financiamento da cadeia de grãos no Brasil. Presentation at 2ª Conferencia em Gestão de Risco e Comercialização de Commodities, 27 e 28 de novembro 2012.

small number of international traders ⁽¹⁰⁴⁾, but there are also several national ⁽¹⁰⁵⁾ traders, some of them with their own processing capacity and others who act more as local intermediary between farmers and the larger traders ⁽¹⁰⁶⁾.

Soy production in Brazil used to be processed or crushed domestically but in the past two years export of soy beans exceeded domestic processing ⁽¹⁰⁷⁾. That change can be explained by the abolishment of export taxes in 1996 on beans, oil and meat ⁽¹⁰⁸⁾, by tariffs raised on crushed soy, in particular by China and by the relatively higher oil content of Brazilian soy and, hence, increasing demand. Of the total production processed domestically, more than three quarters was made into meal and the remainder into oil. Half of the meal is exported while most of the oil is used domestically ⁽¹⁰⁹⁾. Until the beginning of the century the EU was the most important export market for soy beans with a share of around 60% of total export ⁽¹¹⁰⁾. In recent years, China surpassed the EU as primary destination. In 2014, approximately three quarters of the total export of soy beans was exported to China ⁽¹¹¹⁾. The EU remains the most important export market for soy meal. In 2014, almost one third of the total export of soy meal was exported to the EU member countries ⁽¹¹²⁾.

Although oil and meal are also important ingredients for the chemical, food and cosmetics industries, the most important further processing is done by the feed industry into animal feed for pigs, chickens, cows and other animals. The animal feed industry is –at least in Europe and Brazil- a diffuse sector consisting of a large number of relatively small companies. The European Feed Manufacturers Federation which represents the national associations of animal feed producers in 23 EU member states includes no less than a total of 4,500 processing units. The Brazilian association of animal feed producers, Sindirações, represents some 140 members.

The soy sector in Brazil employed some important initiatives to ban deforestation and to promote sustainable production. The most important was the above mentioned implementation, in 2006, by the association of vegetable oils industries (Associação Brasileira das Indústrias de Óleos Vegetais -ABIOVE) and the association of cereal exporters (Associação Nacional dos Exportadores de Cereais - ANEC) and civil society of a moratorium on the processing and commercialization of soy from Amazon forest converted after 2006. Abiove (representing: ADM, Algar Agro, Amaggi, Binatural, Baldo, Bunge, Cargill, Fiagril, Imcopa, Louis Dreyfus, Noble Group, Óleos Menu, Santa Rosa) also created together with members of civil society (Amigos da Terra, Conservation International, Greenpeace, Imaflora, Ipam, STTR, TNC, WWF) a working group on sustainable soy which also includes representatives of the Ministry of Environment and the Banco do Brasil. The current focus of the working group is on the Soy Moratorium but it may in the near future become a platform for discussing sustainable production in Brazil.

Another relevant initiative is the “Soja Plus” programme ⁽¹¹³⁾ which provides trainings to farmers with a view to: addressing the demand of the market for more sustainable production through transparent management of the rural property and the promotion of gradual improvement of environmental, social and economic aspects of production.

¹⁰⁴ Archer Daniels Midland (ADM); Cargill, Bunge, Louis Dreyfus

¹⁰⁵ For example: AB Agrobrasil; ABC Inco; Agrícola Cantelli, Algar Agro, Baldo S.A., Caramuru, Amaggi, Fiagril

¹⁰⁶ Largest export traders in Brazil according to Brown-Lima, Carrie; Melissa Cooney, David Cleary (2010). An Overview of the Brazil-China soybean trade and its strategic implications for conservation. The Nature Conservancy: 1. Bunge Alimentos s/a; 2. ADM do Brasil Ltda; 3. Louis Dreyfus Commodities Brasil s.a.; 4. Cargill Agrícola s.a.; 5. Nidera sementes Ltda.; 6. Multigrain s.a.; 7. CHS do Brasil - grãos e fertilizantes Ltda.; 8. Amaggi Exportação e importação Ltda.; 9. Noble Brasil s.a.; 10. Caramuru alimentos s/a; 11. Bianchini s.a. Indústria comércio e agricultura; 12. Coamo agroindustrial cooperativa; 13. AWB Brasil trading s.a.; 14. Sendas distribuidora s/a; 15. Cceagro Agronegócios s.a.; 16. Moinho Iguaçu Agroindustrial Ltda.; 17. Seara-ind. e comércio de produtos agro-pecuários Ltda.; 18. C.Vale - cooperativa agroindustrial; 19. ABC-indústria e comércio s/a-abc-inco; 20. Fiagril Ltda.

¹⁰⁷ In 2014, national production totaled 86 million tons. 52% of that was exported directly and 44% crushed domestically. At: <http://www.abiove.org.br>

¹⁰⁸ WWF (2002). Corporate Actors in the South American Soy production chain. A research paper prepared for World Wide Fund for Nature, Switzerland

¹⁰⁹ <http://www.abiove.org.br>

¹¹⁰ WWF (2002). Corporate Actors in the South American Soy production chain. A research paper prepared for World Wide Fund for Nature, Switzerland

¹¹¹ <http://www.anec.com.br/estatisticas.html>

¹¹² *ibidem*

¹¹³ an initiative that involves several important representatives of the sector: Associação dos Produtores de Soja e Milho do Estado de Mato Grosso –

Finally, some traders are preparing a system that cross-references data on the level of compliance of farms with existing legislation with the list of their suppliers. This gives those traders a better capacity to monitor the conditions under which soy is produced

Although demand for commodities is volatile, world soybean use has grown from 172 million metric tons in 2000 to 289 million metric tons in 2014 ⁽¹¹⁴⁾. China's slowing economic growth and slowing growth in soybean use may change these trends somewhat, but overall the expectation is that the growing world population and rising average incomes will continue to translate into growing demand for beef and poultry and, consequently, in a growing demand for soy as the basis of animal feed.

In addition, investments in infrastructure in ports in Porto Velho (Rondônia), Itacoatiara (Amazonas), Santarém (Pará), Itaqui (Maranhão) and Santos (São Paulo), along the Amazon or its tributaries or on the Atlantic coast are likely to make soy from Brazil more competitive. The same is true for the new Ferronorte railway from Mato Grosso to the port of Santos and the recently completed North-South railway, which connects the Center-West to the port of Itaqui, in São Luis, Maranhão, by way of the Carajás railway, built in the 1970s.

To meet this growing demand, the production of soy initially replaced less productive cattle ranching in the South and moved into the Cerrado when new soil treatment technologies made lands in this biome highly suitable for the production of soy and other commodities. Cattle ranching play an important role in the advancing frontier as it requires relatively little investment and without maintenance and management of pastures it constantly needs to open up new pastures leaving behind degraded pastures which may be converted into arable land for the production of crops. Figure 2 shows that cattle ranching increased in the Centre-west of the country from the mid-1970s until around 2003 and in the North from the 1990s until 2014. Figure 3 shows a steep rise in the area under cultivation for soy in the South and in the Centre-west from 1990 until 2014. This suggest a trend in which cattle ranching in the South was substituted by agricultural production of commodities and that cattle ranching moved from the South first to the Centre-west and later to the Amazon ⁽¹¹⁵⁾, in particular the State of Rondônia, where the area covered by pastures increased 2000%, and the states of Amazonas and Acre. In other words, what these figures suggest is: (i) a substitution of pastures for the production of agricultural commodities in the South; (ii) the opening of a new frontier for cattle ranching in the Amazon; (iii) the opening of new agricultural frontiers for the production of commodities in the Cerrado biome

Roughly half of the Cerrado has already been cleared. Estimates suggest that conversion of native vegetation into pastures or arable land occurred from 1990 to 2010 at an average annual rate of -0.61%. In this period, the Cerrado lost, approximately, 12 million hectares of natural vegetation and a considerable part of the remaining vegetation is fragmented, often in remnants that are unsustainable in terms of biodiversity conservation. Reliable data about deforestation and degradation are sparse. Although efforts to create a system for better monitoring are underway, the figures currently available are estimated projections based on detailed evaluations in the period 2002-2009 ⁽¹¹⁶⁾ and the period 2010-2011 ⁽¹¹⁷⁾.

APROSOJA; Associação Brasileira das Indústrias de Óleos Vegetais -ABIOVE; Associação de Agricultores e Irrigantes da Bahia -AIBA; Federação da Agricultura e Pecuária de Mato Grosso do Sul -FAMASUL; Federação da Agricultura e Pecuária do Estado de Minas Gerais- FAEMG; Banco do Brasil e Serviço Nacional de Aprendizagem Rural - SENAR

¹¹⁴ Zulauf, Karl (2015). Some Key trends in the World Soybean Market. Department of Agriculture, Environmental and Development Economics. Ohio State University. <http://farmdocdaily.illinois.edu/2015/03/some-key-trends-in-the-world-soybean-market.html>

¹¹⁵ Valentim, Judson Ferreira & Carlos Maurício Soares de Andrade (2009). Tendências e Perspectivas da Pecuária Bovina na Amazônia Brasileira. In: Amazonia: CI & Desenv. Belém. V4, n. 8 jan/jul 2009

¹¹⁶ Rocha, Genival Fernandes Rocha; Ferreira, Laerte Guimarães; Ferreira, Nilson Clementino; Ferreira, Manuel Eduardo. (...). Detecção de desmatamentos no bioma cerrado entre 2002 e 2009: padrões, tendências e impactos. Universidade Federal de Goiás Instituto de Estudos Sócio-Ambientais Laboratório de Processamento de Imagens e Geoprocessamento – www.lapig.iesa.ufg.br Campus II, Cx. Postal 131, CEP 74001-970, Goiânia - GO, Brasil {laerte, manuel}@iesa.ufg.br; gfernandesr@gmail.com; ncferreira@uol.com.br

¹¹⁷ IBAMA/MMA (2015). Monitoramento do Desmatamento nos Biomas Brasileiros por Satélite, Cerrado 2010-2011. Brasília