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## United Nations Development Programme

### Project Document for projects financed by the various GEF Trust Funds

<b>Project title: BRA/20/G31 - Seventh Operational Phase of the GEF Small Grants Programme in Brazil</b>		
<b>Country:</b> Brazil	<b>Implementing Partner:</b> Instituto Sociedade, População e Natureza – ISPN	<b>Execution Modality:</b> NGO Execution
<b>Contributing Outcome (UNDAF/CPD, RPD, GPD):</b> Outcome 3. 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.		
<b>UNDP Social and Environmental Screening Category:</b> High		<b>UNDP Gender Marker:</b> 2
<b>Atlas Award ID:</b> 00127140		<b>Atlas Project/Output ID:</b> 00121074
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<b>LPAC meeting date:</b> Expected July 2020		
<b>Latest possible date to submit to GEF:</b> December 11, 2020		
<b>Latest possible CEO endorsement date:</b> June 11, 2021		
<b>Planned start date:</b> December 2020		<b>Planned end date:</b> December 2025 (60 months)
<b>Expected date of posting of Mid-Term Review to ERC:</b> March 2023		<b>Expected date of posting Terminal evaluation report to ERC:</b> March 2025

**Brief project description:**

The changes in land use, natural resource management practices, and agricultural practices in the Cerrado and Caatinga biomes have resulted in biodiversity loss and an increase in greenhouse gas emissions, with devastating impacts on communities dependent on healthy ecosystems for their survival. The loss of natural vegetation has reduced, and in some areas, eliminated and polluted water supply, eliminated forage for local livestock and wildlife, impacted soil quality for production and affected communal tenure and access to natural resources. Changes in land use result in loss of landscape resilience thereby negatively impacting families' well-being, often resulting in increased poverty, weakened food security and rural outmigration.

Achieving goals for landscape restoration requires the collaboration of local communities and the recognition of their knowledge of the functioning of ecosystems and the behavior of plant and animal species. As such, in order for national policies to be effective in achieving landscape resilience and connectivity through sustainable land use systems, communities must work through regional networks and local community-level organizations, with a holistic landscape vision, where sustainable activities can be aggregated, synergistic, and mutually beneficial in order to bring about larger-scale impacts. However, many of these community-based organizations lack capacity, technologies and resources to carry out adaptive and sustainable activities.

SGP Brazil during its Seventh Operational Phase will support community organizations to achieve landscape resilience and sustainable development at the scale of rural landscapes, with the aim of progressively acquiring critical mass to reach a tipping point of adoption by rural and urban constituencies of adaptive practice and innovation for resilience-building. To achieve this, the project will foster adaptive management capabilities by enhancing technical know-how, developing planning and organizational skills, and strengthening innovation and experimentation capacities to enhance their agency in developing plans and priorities and carrying them out for landscape resilience. The project will also invest in strategic projects, which build knowledge and capacity, and generate synergies among other smaller local actions, with the aim of building long-term ecological social and economic resilience in rural landscapes. The project has a strong commitment to attending the specific needs of vulnerable sub-groups within the communities that often tend to be placed on the margin of social processes: women, youth and traditional communities (quilombolas, indigenous, etc.), through supporting their productive and sustainable initiatives.

**(1) FINANCING PLAN**

GEF Trust Fund	USD 4,481,210
<b>(1) Total Budget administered by UNDP</b>	<b>USD 4,481,210</b>

**(2) CO-FINANCIERS THAT WILL DELIVER PROJECT RESULTS INCLUDED IN THE PROJECT RESULTS FRAMEWORK**

Confirmed cash co-financing	
National Steering Committee on behalf of Community Organization	USD 750,000
ISPN (Amazon Fund through Brazilian Development Bank; Cerrado Landscape Management through WWF and EU)	USD 4,045,000

Centro de Trabalho Indigenista (CTI)- Indigenous Territorial Management Project/USAID	USD 2,000,000	
Confirmed In-Kind co-financing		
National Steering Committee on behalf of Community Organizations	USD 2,150,000	
Brazilian Agriculture Research Corporation (EMBRAPA)	USD 1,000,000	
UNDP TRAC resources	USD 400,000	
<b>(3) Total confirmed co-financing</b>	<b>USD 10,345,000</b>	
<b>(4) Grand-Total Project Financing (1)+(2)</b>	<b>USD 14,826,210</b>	
<b>SIGNATURES</b>		
<b>Signature:</b> print name below	<b>Agreed by</b> <b>Government</b> <b>Development</b> <b>Coordination</b> <b>Authority</b>	<b>Date/Month/Year:</b>
<b>Signature:</b> print name below	<b>Agreed by</b> <b>UNDP</b>	<b>Date/Month/Year:</b>
<b>Key GEF Project Cycle Milestones:</b>  <b>Project document signature:</b> within 25 days of GEF CEO endorsement <b>First disbursement date:</b> within 40 days of GEF CEO endorsement <b>Inception workshop date:</b> within 60 days of GEF CEO endorsement <b>Operational closure:</b> within 3 months of posting of TE to UNDP ERC <b>Financial closure:</b> within 6 months of operational closure		

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## Acronyms

AATR	Associação de Advogados/as de Trabalhadores/as Rurais (Lawyers Association for Rural Workers)
ABC	Brazilian Agency of Cooperation
ASA	Semi-Arid Articulation
CAV	Rural Workers Union of Veredinha and Turmalina and Center for Alternative Agriculture Vicente Nica
CBO	Community-Based Organization
CFM	Centro de Formação Mandacaru (Mandacaru Training Center)
CMN	Casa da Mulher do Nordeste (House for Women of the NorthEast)
CSO	Civil Society Organization
COMDEKS	Community Development and Knowledge Management for the Satoyama Initiative
CTI	Centro de Trabalho Indigenista (Indigenous Work Centre)
EVAF	Family school in Veredinha
GEF	Global Environment Facility
GHG	Greenhouse Gas
ICCA	Indigenous Peoples' and Local Communities Conserved Territories and Areas
ISPN	Instituto Sociedade, População e Natureza (Institute for Society, Population and Nature)
KM	Knowledge Management
MCTIC	Ministry of Science, Technology, Information and Communication
M&E	Monitoring and Evaluation
ME	Ministry of Economy
MMA	Ministry of Environment
NSC	National Steering Committee
NTFP	Non-timber forest product
SGP	Small- Grants Programme
SSTrC	South-South and Triangular Cooperation
UNDP	United Nations Development Programme
WHO	World Health Organization

## II. Development Challenge

### 2.1 Context and Baseline Scenario

Brazil is one of the most megadiverse countries in the world. It hosts between 15 and 20 percent of the world's biological diversity with more than 120,000 species of invertebrates, 9,000 vertebrates and more than 4,000 plant species.<sup>1</sup> While, the Amazon and the Atlantic Forest receive great international attention, Brazil has other significant biomes which play a key role in hosting Brazil's biodiversity, including the Cerrado, the Caatinga and the Southern Grasslands (Pampas) biomes, which have been largely ignored.

#### 2.1.1 The Cerrado and Caatinga Biomes

The **Cerrado** is Brazil's second largest biome, after the Amazon, with an area of more than 2 million km<sup>2</sup>, approximately 22% of the Brazilian territory. Although best known for containing the most biodiverse savannah in the world, it also comprises a variety of unique ecosystems that are particularly rich in species and are important for maintaining carbon stocks and water resources. The Cerrado landscape is characterized by extensive open savannahs crossed by gallery forests along stream valleys, humid "veredas" dominated by the buriti palm (*Mauritia flexuosa*), "cerradão", a taller and more closed canopy variant of tree savannah, patches of dry forests, as well as a number of other open vegetation types.

The system of gallery forests provides links to the Atlantic Rainforest and Amazonian biomes, with a number of shared tree species. They are also wildlife corridors for important species such as tapirs and jaguars. The number of vascular plants is estimated at around 11,000 species, of which 44% are endemic. Over 1,600 species of mammals, birds and reptiles have been recorded in the Cerrado. The number of freshwater fish species is around 800, of which around 25% are endemic. Many large mammals that range widely throughout South America have the Cerrado as one of their principal habitats. One of the best known of these species is the maned wolf (*Chrysocyon brachyurus*), while two of the most unusual species are the rare giant armadillo (*Priodontes maximus*) and the giant anteater (*Myrmecophaga tridactyla*), which is the largest anteater in the world and can grow up to 1.9 meters in length. The Cerrado biome is still poorly represented in the protected areas system of Brazil with only 8.7% of the total land area protected in federal, state and municipal conservation areas, with 2.85% under strict protection and 5.36% in sustainable use categories.

Throughout Brazil's history, the Cerrado region was largely regarded as the country's hinterland, the home of a number of ethnic groups who roamed across large territories as part of their seasonal trekking and foraging activities and practiced itinerant slash-and-burn agriculture in areas of gallery and dry forests. Although some of these ethnic groups had a first, and often violent contact with the expeditions of the gold-seeking "bandeirantes" in the XVII century, this led to the establishment of a number of towns and associated activities such as farming and ranching. A great portion of the region was only connected to the rest of Brazil in the first decades of the 20<sup>th</sup> century, with the construction of telegraph lines connecting the cities of the coast with towns in the interior.

Pressure on these indigenous peoples took on greater force in the 1940's, with the government-sponsored "March to the West" aimed at colonizing supposedly empty territories. However, significant expansion of mechanized agriculture in the Cerrado began only in the 1960's and 70's, with the availability of technologies and inputs such as liming and fertilizers that permitted production of grain crops in the region's typically acidic and aluminum rich soils.

Although many indigenous lands were officially demarcated in an attempt to contain the advance of the agricultural frontier, for the most part they represent only a fraction of these peoples' original territories.

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<sup>1</sup> UN Environment

In comparison to neighboring areas, indigenous lands, along with conservation areas, represent very significant portions of the Cerrado's remaining natural areas.

The **Caatinga** – the only biome that is exclusively Brazilian, the Caatinga occupies 850,000 square kilometers in 10 states of northeast Brazil, approximately 11% of the national territory. The Caatinga is the largest dry forest region in South America and one of the richest dry forests in the world. Biotic interchange over evolutionary time with surrounding biomes – i.e, Cerrado, Atlantic Forest and Amazonia, has led to significant biodiversity. Although the Caatinga's biota is poorly known, studies so far have identified at least 1,200 species of vascular plants, 185 fish species, 44 lizards, 9 amphisbaenians (worm lizards), 47 snakes, 4 turtles, 3 crocodylia, 49 amphibians, 350 birds, and 80 mammals. The percentage of endemics is very high among vascular plants (around 30%). Two of the ten most threatened birds in the world, the indigo macaw (*Anodorhynchus leari*) and little blue macaw (*Cyanopsitta spixii*) can be found there. Distinctive and endemic plant species include *Godmania dardanoi*, *Cordia globosa*, *Billbergia fosteriana*, *Cereus jamaru*, *Melocactus oreas*, *Pilosocereus gounellei*, *Copernicia prunifera*, and *Ziziphus joazeiro*. Other examples of endemics include the spiny rat (*Proechimys yonenagae*), and several lizards, *Tropidurus amathites*, *Tropidurus divaricatus*, and *Tropidurus cocorobensis*.

Although federal, state and municipal protected areas now represent approximately 9.06% of the Caatinga biome, it is still one of the least protected biomes in Brazil, with little more than 1% under more strict protection.<sup>2</sup>

The Caatinga region was occupied early in Brazil's colonial history, with extensive cattle herding providing a source of hides and dried beef to the people living in the coastal regions of the Northeast. The region's indigenous people, with some notable exceptions, were mostly driven extinct or absorbed into the contingent of peasant agriculturalists. Nevertheless, recent years have seen the resurgence of a number of indigenous groups who were forced to hide their cultural identity and heritage because of persecution and prejudice, and are now struggling to recuperate at least parts of their traditional territories.

While there are many threats to the ecosystems of the Caatinga biome, there are a number of sustainable forms of use that are possible. Beekeeping of both *Apis* and native bees, for example, relies on areas of natural vegetation for bees to forage, and is a strong incentive for conservation of the Caatinga. Many plant species from this biome are used both for commercial and subsistence purposes. For example, fruit of palms such as *babaçu*, *tucum* and *licuri* are used for food and oil production, and the leaves of the carnauba palm are used both for fiber and for production of high-quality wax. Many trees, especially those of the dry forests, are used for lumber including species such as *Anadenanthera macrocarpa*, *Ziziphus joazeiro*, *Amburana cearensis*, *Astronium fraxinifolium*, *Myracrodruon urundeuva*, *Handroanthus impetiginosa*, *Tabebuia caraiba*, *Schinopsis brasiliensis*, *Cedrela odorata*, *Dalbergia variabilis*, and *Pithecellobium polycephalum*.

Caatinga trees in general are strong sprouters, and if they are accordingly managed, they can be used both for fuel production as well as low levels of grazing. The sabiá tree (*Mimosa caesalpinifolia*) is now being extensively planted as in 4-5 years it can provide very durable fence posts, and once harvested, resprouts from the stump.

Besides indigenous peoples and “*quilombos*” – afrodescendant communities now accorded recognition and rights to communally owned lands – both the Cerrado and Caaatinga biomes are unique in that traditional communities often manage common property resources for farming, grazing, gathering of extractive products and other uses. Besides family farmers and more recent rural settlements, there are other classifications of identities, such as, “*geraizeiros*”, “*quebradeiras de coco-babaçu*”, “*Pescadores/ribeirinhos*”, “*comunidades de fundo e fecho de pasto*”, “*veredeiros*”, “*apanhadores de sempre viva*”, “*catingueiros*”, and “*retireiros*”.

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<sup>2</sup> <https://www.mma.gov.br/biomas/caatinga/iniciativas-de-conservacao.html>



Although some degree of official recognition has been given to some of these communities and their tenure rights, many are threatened by outside pressures. In many cases, the lack of official land titles facilitates encroachment by powerful landowners, while political pressures for community members to be granted individual titles often results in situations where traditional land use practices and stewardship are disrupted. Such changes in land tenure and forms of resource use often result in serious impacts to ecosystems that were historically managed with sustainable harvesting of their natural resources and low levels of agricultural conversion.

It is important to note that even though traditional communities tend to be more collectively inclined in their land use and stewardship of natural resources, women have less access to resources, assets and inputs (both material and non-material), and therefore, are more vulnerable to the precariousness of the conditions of land tenure rights within these particular contexts. In the past decades, some of these traditional communities have also seen the most preserved portions of their territories become transformed into conservation areas, generating conflict over use and access to natural resources. While some of these conflicts have been mitigated through adapting rules of use, a number of communities still have to deal with this struggle.

### **2.1.2 Main Threats, Causes and Barriers**

Among the various threats faced by the Cerrado and Caatinga biomes, land use change - where native vegetation and traditionally community-managed areas are substituted by large-scale monocultures of eucalyptus plantations, pasture, soybeans, maize, and cotton - is the most serious one. Deforestation of the native Cerrado vegetation brings several impacts, ranging from loss of biodiversity to alterations in the hydrological cycle, caused by an increase in runoff, reduction in evapotranspiration and changes in soil structure and its capacity to absorb rainfall, leading to erosion and decreasing the replenishment of aquifers. The increase in center-pivot irrigation, which demands a huge volume of water, has also affected flow levels of several rivers (see Figure 1).



*A riverbed in the Jequitinhonha Valley is arid and highly fire-prone due to eucalyptus monocultures. (Photography Courtesy of: Erum Hasan)*

Besides affecting hydrological cycles, the advance of agricultural frontiers in the Cerrado has a strong impact on Brazil's greenhouse gas emissions. In 2016, deforestation in the Cerrado emitted 248 million tons of greenhouse gases, more than double the emissions from industries, and equivalent to 11% of all of Brazil's emissions.

Although the rate of clearing has fallen in the last few years, to 6,657 km<sup>2</sup> in the period of August 2017 to July 2018, down from highs of almost 30,000 km<sup>2</sup> in the period 2000-2004, the deforestation of the **Cerrado** is still a critical issue, as 51% of its total area has already been deforested. Up to 2019, the rate of deforestation was greater than in the Amazon region. The main driver of deforestation is the expansion of the agricultural frontier to the center and north of the country, with large scale monoculture at the heart of it, and historically favored/stimulated by public policies. These policies and fiscal incentives have resulted in enormous crop production in the Cerrado from very large farms, mostly for export. In 2017, the Cerrado was responsible for around 60% of Brazil's grain production, including 58% of the country's total soybean production. In 2016, the Cerrado's ranches held approximately 35% of Brazil's cattle, on the order of 70 million head, and steady growth is projected in the agriculture and cattle sectors.

While agricultural expansion in the Cerrado has had a positive impact in the Brazilian economy, the negative effects on the environment and local communities are significant. Land use change with conversion to monoculture or pasture has led to deforestation and landscape fragmentation, dislodging and isolating rural communities. Many traditional territories are now surrounded by monocultures, and several communities have seen their water courses dry up or become contaminated by agricultural inputs. In addition to the loss of biodiversity resulting from forest clearing and degradation, the agricultural

practices of large-scale farms decrease soil infiltration capacity, causing erosion and increasing rainwater runoff, thus carrying sediments and pollutants to water courses. The silting up of water courses aggravates water scarcity during the dry season and contributes to flooding during the rainy season. Large-scale agriculture also leads to loss of traditional crop seed varieties and genetic erosion.

Unless they are able to diversify production of food crops and find local markets for small-scale production, crop production by local communities generally cannot compete with large-scale farms and cattle ranches in either national or international markets. As a result, outmigration and land sale to larger farmers has become more common. 69% of all rural properties in the Cerrado are still owned by small farmers, representing 9% of the total area of the Cerrado (some 180,000 km<sup>2</sup>). However, unless local communities receive support, the concentration of land in large farms is likely to continue, increasing land use and conversion and native vegetation loss.





*Example of eucalyptus monoculture planted in rows across thousands of hectares, replacing indigenous biodiversity (Photograph courtesy of: Erum Hasan)*

Land use change in the **Caatinga** is also quite significant, with an estimated 45% of the native vegetation already deforested or significantly altered by human activities. One of the most populated semi-arid areas in the world, the Caatinga has 27 million inhabitants and is considered the poorest region of Brazil; only 4.6% of the municipalities have human development index (HDI) scores equal or higher than 0.5. The annual rainfall average of 600 mm characterizes a semi-arid climate, which makes most of the region unfit for large-scale agriculture and cattle ranching, except for areas with irrigation schemes. Irrigation policies, however, are concentrating land and water in the hands of major companies, while the small farmers who depend on agriculture for their basic subsistence are not benefiting as much from it. In some areas, improper irrigation practices have led to soil salinization. As in the Cerrado, land property concentration is high in the Caatinga, with 89% of the properties/farms owned by small farmers, but covering only 37% of the total area.

Extensive goat and sheep raising, the main economic activity for local communities, has been practiced in the region for centuries with rudimentary management techniques, which means animals feed on natural vegetation, eliminating new plants and sprouts and affecting the natural regeneration in disturbed areas. A study by Instituto Nacional de Pesquisas Espaciais (INPE) found that the area of degraded soils vegetation cover between 2007 and 2016 totaled more than 70,000 km<sup>2</sup>. More than 50% of the Caatinga biome is now considered as being affected by desertification, and around 10 to 15% is threatened by severe desertification. The Areas Subject to Desertification (ASD) cover an estimated 1.34 million km<sup>2</sup> in the nine states of the Northeast region and two states in the Southeast (parts of Minas Gerais and Espírito Santo), potentially affecting more than 30 million people (17% of the Brazilian population).

Besides the reduction in their territories, traditional Caatinga communities face water scarcity, soil erosion, and impoverishment, which are the main reasons for rural outmigration and for unsustainable use of natural resources. Other threats to the biome are unsustainably-grown eucalyptus and crop plantations, wood extraction for fuel and unsustainable charcoal production<sup>3</sup>, forest fires and hunting. At least 28 animal species in this threatened ecosystem are endangered.

For the Cerrado, as well as the Caatinga, the projected scenarios of climate change are troubling, with declines in the volume of rainfall or its concentration in a shorter period, resulting in impacts on urban areas, agricultural and livestock production and, especially, the lifestyles and well-being of small-scale farmers.

Besides deforestation, wildfire contributes significantly to greenhouse gas (GHG) emissions in Brazil, and these unwanted fires may increase with climate change. In the Cerrado and Caatinga, fire is traditionally used by local inhabitants to open new areas for small-scale agriculture and to stimulate pasture regrowth during the dry season. In some cases, it is also used to manage plants for economic interest, like the golden grass (*Syngonanthus nitens*), used for crafts. However, it is common for fires to become uncontrolled and reach other areas causing loss of biomass and nutrients and death of animals and trees. Nonetheless, Brazilian agencies are questioning whether a policy of “zero fire” is a viable paradigm in ecosystems where fire is a naturally occurring ecological factor, such as in the savanna ecosystems of the Cerrado. As such, there is now an increasing interest in integrated fire management, in which prescribed burning of open vegetation types early in the dry season prevents the more severe late dry season fires from invading gallery forests and dry forests. As part of this policy shift, more attention is being given to the fire management practices of traditional communities that have coexisted with fire for 11,000-13,000 years

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<sup>3</sup> Sustainable charcoal production is challenging, but it is feasible. In many countries, the charcoal industry is largely informal, and often results in poor natural resource management. Nevertheless, sustainable charcoal production can deliver multiple development and climate benefits, such as improved forest management, livelihood opportunities, and health improvements due to less air pollution through improved practices. Support can be provided across different elements of the charcoal value chain, from forest management, to how charcoal is then carbonized, transported, distributed and burned. The use of renewable charcoal provides an alternative development path to mitigate large quantities of global greenhouse gas emissions by improving resource efficiency during the charcoal conversion process and by offsetting the use of mineral cokes for pig iron production; the effects of monoculture must also be considered and how that interacts with sustainable production.

or more.<sup>4</sup> According to the National Center for Prevention and Combat of Forest Fires (Prevfogo/Ibama), associated to the Ministry of Environment, there are now more than 32 indigenous fire brigades in the Cerrado that offer seasonal employment. One of the ways of addressing this threat is to burn in the beginning of the dry season which can have a positive effect on the production of Cerrado fruits and in reducing GHG emissions.

Some of the more systemic barriers include the following:

- **Poverty**- The populations in the given landscapes are prone to poverty and reliant on natural resources for agriculture and livestock. Long-term sustainability measures would not be successful if they did not account for people's short-term survival and livelihoods.
- **Migration** – Due to a shortage of livelihood options, and the decrease of water in the selected landscapes, many of the youth tend to leave. This has created social and labour gaps, and led to a lack of continuity in some of the sustainability practices that have been initiated by community groups. There is also less adherence or commitment to sustainability measures that have a long-term vision, given that many don't see themselves living there in the future.
- **Commercial Pressures and Monoculture Production**– The commercial pressures, supported by national policies, are powerful agents that use natural resources for monoculture production and export. There is not a consolidated vision between large commercial entities and smaller community organizations on how to protect shared resources.
- **Uneven policy frameworks**- Some state and national policies leave gaps, or conflict in how to protect natural resources in the selected landscapes. In particular, some do not account for communally managed territories and do not account for tenure properly, particularly when these communal lands become occupied by large agricultural commercial enterprises. In order to overcome this challenge, it would be necessary to have mechanisms that can feed up to policy processes, and relate local experiences and lessons learned.
- **Lack of financial resources for improved land and natural resource management, in civil society sector**- While there is cultural tendency to organize into community groups and unions in these regions, the resources of these entities are very limited and they are unable to effectively implement many of the best practices they have identified as benefiting the landscape. Moreover, due to the lack of resources, they are unable to consolidate, or work together. Given the large expanse of the landscapes, the expensive costs for travel, it is difficult for many of these groups to work together and benefit from each other's experience, knowledge and technology.
- **Lack of natural resources**- Dwindling natural resources have created severe barriers for people wanting to implement sustainable practices. In particular, the shortage of water has created water stress, diverting attention from sustainable practices, and from sustainable agriculture, to the more immediate threats of the day. Given the dwindling tree and plant life, along with reduced wildlife due to monoculture, many of the communities have reverted to leading their livestock to remaining biodiversity, or exploiting remaining natural resources for sustenance. There has been little incentive in protecting these due to daily hardship. The small farms which have begun agroecology appear to be managing these threats better, but these are few and far between and many do not have the initial capital to invest in changing their agricultural practices.
- **Lack of capacities to innovate, diversify and commercialize green/sustainably produced goods and services that improve landscape resilience by small enterprises and community groups**- The lack of employment, poor livelihoods and ongoing migration to urban centres because they are unable to generate sufficient income on their family farms has dampened economic opportunities for many. On the other hand, there is great creativity and interest in strengthening and building

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<sup>4</sup> ISPN



up small-scale enterprises that use sustainable means of production and can strengthen local economies. Innovation, scaling-up of previous experiences, accessing financial resources and market opportunities for raw products that may have an added value in niche markets are other alternatives that are not being sufficiently promoted for rural communities. Generally, community groups lack marketing skills, business-development opportunities, private-sector partnerships, digital platforms, and difficulties in achieving production at sufficient scale across landscapes, and an absence of value addition to their raw products.

- ***Lack of access to more sustainable technologies*** – Dissemination of more modern sustainable technologies and capacity building have the potential to deliver multiple development and climate benefits to local communities, such as improved forest management, livelihood opportunities, including employment for women, and health improvements due to less air pollution through improved practices. Support can be provided across different elements of the productive chain and connect these communities to new opportunities and markets.
- ***Knowledge from project experience with innovation/experimentation is not systematically integrated by policy makers or other communities, organizations and programmes***- SGP projects have been particularly innovative and led to successful project results, best practices and lessons learned. While the Implementing Partner, ISPN has been effective in collecting this information, consolidating it in communication pieces, it is unclear how much of this has been upscaled at the policy level, or at the state government level. Communities, even when they are relatively close to each other do not necessarily have the possibilities to visit these experiences or replicate them with guidance.

### 2.1.3 Main Problem and Proposed Solution

In the Cerrado and Caatinga biomes, the loss of biodiversity and negative impacts on ecosystem services are largely tied to changes in unsustainable land use conversion, as traditional management practices increasingly give way to agribusiness and extensive monocultures. Besides resulting in biodiversity loss, as well as increased emissions of greenhouse gases, these changes in land use and encroachment on traditional territories have had devastating impacts on communities depending on natural resources for their survival. Particularly, the conversion of natural vegetation to monoculture has reduced, polluted and in some cases eliminated water supply and limited forage for local livestock and wildlife, impacted soil quality for production and affected communal tenure. Although advances have been made with regard to some recognition of traditional communities' rights to their territories and natural resources use, local and regional economic interests (e.g. for ranching, agribusiness, mining and infrastructure development) are commonly more privileged.

Priority is commonly given to supplying export markets of beef and grains and this means incentives are increasingly steered towards agribusiness, resulting in decreasing competitiveness of small-scale agricultural holdings. There is also a tendency for small-holders to replicate non-sustainable practices, often stimulated by extension agencies. Agricultural loan programs are generally limited to financing technological packages and conventional chemical-based agriculture, and agricultural extension, when available, generally follows this approach.

With different interest groups competing for the same land resources, traditional communities and family farmers are often at a disadvantage, and their organizations generally do not have the capacity to both advocate for their rights and at the same time establish initiatives for developing more sustainable land use practices. Changes in land use result in loss of landscape resilience and, thereby, negatively impacting families' well-being, often resulting in increased poverty, weakened food security and rural outmigration. There are a number of challenges, therefore, in transitioning to more sustainable agricultural practices, such as agroecology, which involve investments and adoption of new practices and technologies. Furthermore, conventional technical extension services can often exclude the most marginalized,

especially women. There is the tendency of providing extension support to male members of families in technical trainings and meetings, with the assumption that they are solely responsible for all forms of agricultural production within the family units.

**The preferred solution is:**

Collective action is required by communities to build ecological, social and economic resilience of rural landscapes. This involves building community capacities, resources, knowledge and motivation as the critical factor in addressing the environmental threats and problems in a sustainable manner. The preferred solution, therefore, involves the empowerment of community organizations to develop and implement landscape strategies, build resilience and sustainability through the generation of global environmental and sustainable development benefits, while supporting national priorities. Community organizations build their capacities by implementing and coordinating concrete projects aimed at achieving and maintaining landscape-level outcomes affecting biodiversity and ecosystem services, agroecosystems and sustainable livelihoods, and climate change mitigation that take into account the specific needs of women, youth and traditional communities. These capacities include technical skills, planning, experimentation and strengthening organizational abilities of community organizations through learning-by-doing (projects) framed within and supported by a landscape level strategy and plan.

Brazil has a solid backdrop of policy and legal frameworks, including commitment to the Rio Conventions, that seek to support natural resource management, increase protected areas and reduce greenhouse gas emissions. Additionally, Brazil has assumed national commitments calling for significant efforts in terms of restoring forests in degraded areas, with a goal of 12 million hectares, a task in which the participation of rural communities, family farmers and their organizations is fundamental. Many of these policies are currently in transition due to changing priorities of the present federal government, although state and local governments have their own policy instruments and approaches. The project can build on these local instruments while supporting national objectives, to support sustainability goals.

Besides finding common grounds between the various political actors at different levels, achieving goals for landscape restoration requires the collaboration of communities and the recognition of their fine-tuned knowledge of the functioning of ecosystems and the behavior of local plant and animal species. It is also important to be attentive to the special skills and capabilities of certain social groups, such as women, when it comes to climate smart agriculture and agroforestry practices, since studies show that women tend to introduce and lead innovative practices in rural communities, such as the collection and sale of non-timber forest products (NTFPs). As such, in order for national policies to be effective in achieving landscape resilience and connectivity through sustainable land use systems, they must work through regional networks and local community-level organizations. These, in turn, need essential adaptive management capabilities such as the technical know-how, the planning skills, the innovation and experimentation capacities and the organizational abilities to become effective agents for coordinated, long term development and maintenance of landscape resilience built on global environmental and local sustainable development outcomes. The combined approach of government leadership with execution at the regional and local levels would be optimal in achieving landscape-level impacts.

In terms of common property resources or ICCAs (Indigenous Peoples' and Local Communities Conserved Territories and Areas), which is the context for many families for whom non-timber forest products (NTFPs) are an important component of livelihoods and culture, continuing management of these natural resources requires mechanisms that allow communities to practice governance over these resources and their territories. This requires community empowerment, by providing instruments and opportunities for their organizations and representatives to participate in broader networks where they can influence policy, while sharing knowledge and learning from other counterparts.



One of the key factors to be considered is that community organizations are empowered not only by exercising agency in determining priorities and measures for action, developing strategies and plans, carrying them out and reflecting on impacts and knowledge gained, but also by increasing their economic influence, i.e. developing and improving value chains and increasing incomes and food security of their members. Ensuring landscape sustainability thus involves improving productivity of existing, traditional agricultural systems through various appropriate technologies, along with improving farmers' access to markets through participation in cooperatives, as well as support for processing of agricultural products and NTFP and their value chains. This can increase family incomes and allow farmers to think and act on long-term goals, including a healthier environment. In order for communities to successfully work together and aggregate their results, it is necessary that the notion of livelihoods be central, both for long-term sustainability of the project and to enhance the quality of life for participants.

The forms of agriculture and land use practiced by family farmers in the target landscapes represent, for the most part, farming systems that have been crucial in feeding people and maintaining rural livelihoods for decades, if not centuries, and are generally well adapted to the characteristics and constraints of local environments. They are complex systems that integrate farming, animal husbandry and gathering of products from areas of native vegetation, and rely on a backbone of crops such as manioc, maize, and beans that were domesticated and/or improved by Brazil's indigenous peoples before colonial contact. The animal components, on the other hand, principally cattle, goats, sheep, pigs and chickens, were introduced in colonial times, gradually becoming part of farming systems that combine cropping and livestock raising, often with extensive grazing in natural areas as part of the systems. Besides providing food in the form of meat, eggs and milk, the animals provide other services to the farmers, ranging from transport and power for sugar cane mills to the provision of manure, widely used in traditional agriculture and an essential component in agroecological practices and for organic certification. The preferred solution will thus take traditional knowledge into account, ensuring that traditional best practices are incorporated into activities.

A number of traditional practices, such as the use of crop residues and byproducts of maize and manioc meal production as animal feed, when allied with new technologies, have resulted in more resilient farming systems and increased productivity. Examples include protein or fodder banks that greatly assist in maintaining animals in times of scarcity, such as prolonged dry seasons, representing technologies that improve productivity without significantly altering the configuration of farming systems in regard to their social and environmental aspects. These will be respected to achieve the objectives of the project.

In regard to extractive products (NTFPs), these rural communities and their livelihood systems, which combine farming with extensive use of natural areas for gathering, represent the front line for the development and improvement of technologies to make use of Brazil's rich biodiversity, generating new products and value chains. While the number of researchers working on any given extractive product is limited, there may be dozens of organizations (and thousands of people) collecting and processing the same product. Through their associations and institutional partners they can explore and develop new products and value chains. This work and its potential needs to be better recognized and supported, so that in tandem with conventional research initiatives a better understanding and use can be obtained of Brazil's megabiodiversity.

#### **2.1.4 Landscape Profiles**

The project will focus in these two important Brazilian biomes (Cerrado and Caatinga), having a concentrated effort in four landscapes, where a 'landscape approach' will be applied. The definition of landscape used in this project is that of a biophysical as well as cultural and political entity<sup>5</sup> with

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<sup>5</sup> Buck, L.E, Milder, J.C, Gavin, T.A, Mukherjee, I. *Understanding Ecoagriculture: A Framework for Measuring Landscape Performance*. EcoAgriculture Discussion Paper Number 2. 2006

overarching problems of ongoing environmental degradation, economic production, and social cohesion. The landscapes' boundaries are defined for the most part by municipal borders—the municipalities in each landscape are highlighted below. The methodology of using municipal borders as boundaries for the landscape allows the project to use the resources that exist within these entities to monitor impact and change and leverage existing organizational structures for support.

The four landscapes in this project were identified through criteria established by the SGP National Steering Committee<sup>6</sup> (NSC), which include:

- Presence of strong local partners that can support the execution of the project
- Possibility to leverage support and mobilize community organizations around shared socio-environmental concerns
- A regional socioenvironmental situation that needs to be remedied
- Logistical capabilities (access facility)

### **Cerrado Biome:**

**(1) Western Bahia** - The Western region of the state of Bahia comprises 24 municipalities on the left bank of the São Francisco River with 1.2 million inhabitants. The Cerrado of Bahia represents a highly endangered landscape, characterized by a native vegetation with a huge diversity of plants that are important for local communities and for fauna, along with an enormous number of water courses, springs and riparian areas. As Protected Areas are not abundant in this region, it is very important that private areas and traditional territories contribute to the conservation of biodiversity and maintenance of ecosystem services.

The region has been intensely occupied by large farms for the production of soybeans, maize and cotton, in which still few producers have concerns with environmental sustainability. Several municipalities are prominent in the production of commodities in the national context: São Desidério, Formosa do Rio Preto, Barreiras, Luís Eduardo Magalhães and Correntina, with the presence of the main soybean traders and processors. The agribusiness scenario of Western Bahia is considered part of a broader strategy for development of the Cerrado region of what is known as the MATOPIBA regions, an acronym for the states of Maranhão, Tocantins, Piauí and Bahia, all of which have portions of Cerrado. Although a specific agency with a development plan was created for the MATOPIBA region in 2015, its funding was discontinued in 2016.

These development pressures have increased conflicts over land tenure in the region, as much of the territories originally occupied and used by traditional communities are untitled, and are considered to be public lands. As a result, these lands have often been ceded to agribusiness interests by the state or simply taken over, leading to land conflicts between powerful producers and local communities in Western Bahia. At the same time, extensive areas under monoculture, along with use of water for irrigation, have affected the region's hydrology and communities' water supplies. Movements such as MAB- Movement of those Affected by Hydroelectric Dams – and Local commissions of ASA – Network for Semiarid Region, have organized to increase water access and territorial rights while fortifying agroecological production efforts.

The largest remaining Cerrado areas in the region are under serious threat, since the Native Vegetation Protection Law (Law 12.651/2012) authorizes the deforestation of 65% of private areas. Meanwhile, local communities, have effectively carried out sustainable practices with the Cerrado, such as collection of non-timber forest products (NTFPs), and small-scale, low-input agricultural systems for food production. Besides their vulnerability to land tenure uncertainties, shortages of water, these traditional communities and family farmers face other challenges such as the lack of

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<sup>6</sup> The National Steering Committee is a project committee composed of representatives of civil society organizations, government agencies and UNDP.

information and the absence of applicable technical assistance and education, which leads to further isolation of rural communities and youth exodus. Youth are often unable to foresee work and income options in their communities. The absence of public power, rare presence of civil society and little participation of local communities in governance forums aggravates the situation.

The project will have as the target landscape in this region the Arrojado River Basin and the two neighboring Correntina and Formoso River basins, located wholly or partially in the municipalities of Correntina, Jaborandi, Coribe and Cocos.

- (2) **Upper Jequitinhonha Valley** - In Minas Gerais state, the region is composed of extensive tablelands, originally covered with wooded savanna vegetation of the Cerrado and *vereda* wetlands, separated by valleys, and intersected by rivers and streams (many of which have dried up due to unsustainably-grown eucalyptus, mostly planted in the 1970's, and other monoculture crop plantations). The rural communities generally occupy the valleys, where family farming within small properties dominates, producing both livestock and crops (grain, root crops, fruit, meat, milk, etc.) for subsistence, with surplus sold in local markets. The tablelands are vital areas of water recharge for the Santo Antônio, Fanado and Itamarandiba Rivers - tributaries of the greater Araçuaí and Jequitinhonha Rivers.

With the increasing expansion of unsustainably-grown eucalyptus plantations on the tablelands in the region since the 1970's, populations historically practicing agriculture on the hill slopes and valley bottoms and using the tablelands for collection of NTFPs and cattle grazing were forced to limit all their productive activities to the valleys. Overgrazing on the valley slopes resulted in high levels of soil erosion, further pressuring the Cerrado and destroying natural springs, with increasing runoff resulting in siltation of watercourses. Deforestation for unsustainable charcoal production and incorrect use of fire for pasture regeneration further contributed to erosive processes, loss of biodiversity and drastic alteration of hydrologic cycles. Increased evapotranspiration by the fast-growing eucalyptus and other crop plantations on the tablelands has lowered the overall water table, reducing waterflow in springs on the valley slopes. Water supplies have been further impacted by the damming of the *vereda* wetlands on the tabletops, as water is needed to supply eucalyptus nurseries, plantations and for cooling charcoal ovens.

These impacts on the landscape have reduced overall food production, income, and the availability of water for human consumption. This scenario is further aggravated by the rural exodus of the younger generation, which consequently reduces both the family labor force and also ruptures the intergenerational transmission of traditional knowledge. Fragile social organization limits smallholder family capabilities to alter the exodus. Therefore, existing community organizations are assisted by local partners such as AFAVE, Escola Família (Family School) in Veredinha (EFAV), Rural Workers Union of Veredinha and Turmalina and Center for Alternative Agriculture Vicente Nica (CAV). Women have also organized around artisan handicraft work, derived from local natural resources such as clay, wood, cotton and bamboo. In recent years, three associations made up of rural female artisan craft workers and agricultural workers of different municipalities were created to strengthen their voice and representation within the region and beyond and fortify their access to markets.

The project will have as the target landscape in this region the municipalities of Veredinha and Turmalina.

### **Caatinga Biome:**

- (3) **Sertão do Pajeú** - In the state of Pernambuco, the region has a semi-arid climate and is composed of 20 municipalities in the Caatinga biome. The project will work with a subset of 7 municipalities, which are currently where the strategic partner Casa da Mulher do Nordeste and associated organizations (Diaconia, Rede de Mulheres Produtoras do Pajeú and Centro Sabiá), carry out activities. These municipalities are: Ingazeira, Afogados da Ingazeira, São José do Egito, Tabira, Carnaíba, Flores and

Iguaracy. Among the economic activities developed in the region, agriculture, commerce and services sector are dominant. The total population of the region is 395,000 inhabitants, with 39% living in the rural area. There are 34,000 family farmers, 1,810 settled families, 16 quilombola communities and an indigenous reserve.

The native vegetation in the region has long been exploited in an uncontrolled and unsustainable way, which has led to losses of floristic and faunistic diversity, acceleration of erosion, and decline in soil fertility and water quality. Caatinga remnants are highly fragmented, making clear the urgency of actions aimed at connectivity to contribute to the conservation of this biome.

The energy matrix is based on the use of firewood for food processing and unsustainable production of charcoal, combined with the use of fire to burn crop residue or forest biomass in the preparation of the soil for cultivation. These are aggravating factors for the degradation of the ecosystem. Although family-based agriculture has the potential for sustainable farming practices, the high level of poverty of this population and the lack of contextualized education and technical assistance for coexistence with semi-arid conditions are two risk factors for the conservation of this biome and consequently for survival of local communities.

In addition, firewood accounts for more than 80% of the energy matrix used to prepare food for families in the region. Firewood, which is scarcer today, so that in order to obtain a quantity of 20-30 kg of firewood, women generally travel more than 6 km distances every 2-3 days to collect it, pressuring the remnants of native Caatinga vegetation, as well as causing negative effects on women's health and well-being. The wood stoves used in food preparation are mostly old and rustic, based on inefficient and polluting technologies, and consequently cause great damage to human and environmental health in a permanent and cumulative manner, with especially negative impact on women who are the primary cooks. Currently, the exposure and inspiration of smoke and soot of firewood during food preparation is the 8th cause of death in the world and the 4th in developing countries, according to the World Health Organization (WHO).

Gender and race inequalities strongly confront women in the Pajeú region, expressed in the invisibility of women's work in family farming and in the domestic environment, as well as forms of sexual and physical violence. In this context, women farmers face great difficulties in accessing land and other means of production, quality technical assistance, and markets for their production. For these women, the Caatinga is the irreplaceable source of wood, food, herbal medicines, and several other non-wood products. However, it is worth noting that this is also a region where women's organizations are stronger, and where many initiatives led by female agricultural workers have been stimulated through local projects.

- (4) **Upper Poti River Basin** - In the state of Piauí, this landscape includes the municipalities of Pedro II, Milton Brandão and Juazeiro do Piauí. The landscape has smooth, wavy to undulating reliefs, with the presence of hill formations with altitudes of 200 to 600m and is characterized by a semi-arid climate with an average annual rainfall of 700mm. The native vegetation is composed of different types of dry forest, with concentrations of carnauba palms in seasonally moist low-lying areas. The Poti river is an important river for the water supply of several municipalities, including the capital of the state (Teresina). It is an important tributary of the river Parnaíba, the main river of the state of Piauí.

Most of the landscape is occupied by small farmers practicing subsistence agriculture. Local communities and small producers face water scarcity for their production activities and little access to public policy instruments, such as credit for investments in social technologies and technical assistance for supporting production practices compatible with the semi-arid climate. Most smallholder farmers are only able to make modest investments in their livelihoods, since households have very little income. Raising goats, one of the most important activities in the region, depends on the native vegetation of the Caatinga for an important part of the food supply, which further degrades

the Caatinga while generating little additional income. Wood for fuel as well as unsustainable charcoal production is also extracted from the local vegetation. These and other practices have accelerated the erosion process, soil degradation and declining availability of water. In addition, there have been challenges for the communities to access markets for agricultural products. There are also gender and race inequalities, which pose challenges in an already vulnerable community. However, despite the social inequalities, there are organizations (CF Mandacaru, CERAC and ASA) which have promoted the use of technologies (e.g. cisterns), promoted the cultivation of an agroecological garden, with produce being linked to an agroecological market held weekly in Pedro II. Rural women have played a major role as beneficiaries and producers of these goods.

Some of the key features on each landscape are summarized in the table below:

*Table 1: Landscape Features*

Feature	Upper Poti River Basin (Piauí)	Upper Jequitinhonha Valley (Minas Gerais)	Arrojado River Basin and surroundings (Bahia)	Sertão do Pajeú (Pernambuco)
<b>Biome</b>	Caatinga	Cerrado	Cerrado	Caatinga
<b>Rainfall (average)</b>	1137 mm	1203 mm	939 mm	676 mm
<b>Commons</b>	Some unfenced Caatinga areas used for goat grazing; agricultural settlement projects have “reserves” which are common areas generally used for grazing and NTFP gathering.	Grazing cattle and gathering fruits on the Chapadas (plateaus), affected by extensive and unsustainably-grown eucalyptus plantations.	Grazing cattle and gathering fruits on the Chapadas (plateaus), affected by extensive mechanized agriculture.	“Reserves” of agricultural settlement projects only.
<b>Predominant agricultural systems for subsistence and income</b>	Slash-and-burn of Caatinga forest (manioc, corn, beans); irrigated vegetables with stored rainwater or wells.	Continuous cropping (rainfed) on better soils in valleys (corn, beans, manioc, sugar cane); some irrigated vegetables with stored rainwater. Strong tradition of artisanal processing for local sale (cheeses, brown sugar, manioc and corn flours).	Rainfed cropping on better soils (corn, manioc, beans); ditch irrigation systems for up to 15 families; some cultivation in humid valley bottoms (veredas). Families living near rivers use waterwheels to pump water for household use and some irrigation.	Slash and burn of Caatinga forests; some irrigated vegetables with stored rainwater.

Feature	Upper Poti River Basin (Piauí)	Upper Jequitinhonha Valley (Minas Gerais)	Arrojado River Basin and surroundings (Bahia)	Sertão do Pajeú (Pernambuco)
<b>Animal husbandry</b>	Goat grazing in Caatinga forest and on crop residues; supplemental feeding practices are spreading. Chickens are kept for household consumption and sale.	Tradition of grazing cattle on common Chapada areas has ceased and farmers have greatly reduced their herd size (often to one or two cows), fed mostly on silage and feed from crop residues.	Transhumant grazing, with cattle kept on planted pastures in the dry season, with some supplemental feed, moving to common Cerrado areas in the rainy season.	Goats forage in Caatinga forest; cattle are kept on planted pastures and fed with supplements during the dry season. Sheep are also kept and chickens are for household consumption and sale.
<b>Fruit tree cultivation</b>	Native and introduced species; cashew cultivated for nuts and animal feed.	Native and introduced species; native trees of the Cerrado now cultivated on farms.	Native and introduced species;	Native and introduced species;
<b>Extractive forest products</b>	Harvesting of leaves of the carnauba palm for wax extraction is an important source of employment in the dry season.	Gathering of extractive products much reduced by conversion of Cerrado to extensive and unsustainably-grown eucalyptus plantations. Some native fruit trees now introduced in agroforestry systems.	Gathering of extractive products is mostly for household consumption, medicinal use and some crafts.	Some fruit gathering for household use mainly; umbu fruit processed and frozen for sale.

Feature	Upper Poti River Basin (Piauí)	Upper Jequitinhonha Valley (Minas Gerais)	Arrojado River Basin and surroundings (Bahia)	Sertão do Pajeú (Pernambuco)
<b>Water issues</b>	Cisterns for storing rainwater from roofs and slabs are critical for household maintenance in the dry season, and support some irrigated vegetables.	Springs and rivers have been drying up because of extensive and unsustainably-grown eucalyptus plantations on plateaus, and rainwater cisterns are now essential for many families. Some communities have managed to maintain reserve areas for spring recharge. Wetland areas (veredas) on plateaus have been dammed for use by bioenergy companies, with great impacts on original vegetation.	Large-scale agricultural activities on plateaus, as well as removal of water for extensive irrigation has affected hydrology, causing tensions. Traditional ditch irrigation systems have been affected.	The region is recovering from a multi-year drought with below average rainfall. Cisterns are critical for family well-being and minimal vegetable production. Existing reservoirs are affected by cropping on their margins, with use of chemicals (i.e. commercial tomato production). Vegetation in riparian areas and around springs has been degraded.
<b>Major environmental problems</b>	Degradation of Caatinga vegetation for agriculture and charcoal making.	Loss of Chapada Cerrado habitat to unsustainably-grown eucalyptus plantations and ensuing hydrological impacts; degradation of slope vegetation and soils by excessive grazing; pollution by smoke from industrial unsustainable charcoal production.	Loss of dry forest to farming activities; loss of Cerrado habitat to industrial agriculture and ensuing hydrological impact; contamination of rivers with agricultural chemicals.	Degradation of Caatinga vegetation for agriculture (pasture) and unsustainable charcoal making; degradation of rivers.
<b>Existing technologies to be further replicated and disseminated</b>	Rainwater collection; agroecological farming practices and organic certification; fodder banks; seed banks.	Rainwater collection; small dams and terraces to control erosion; agroecological farming practices and organic certification; agroforestry with native species; fodder banks; biodigestors; seed banks.	Rainwater collection; irrigated vegetables; protection of springs.	Rainwater collection; fuel-efficient stoves; greywater systems; agroecological farming practices; fodder banks; seed banks.

Feature	Upper Poti River Basin (Piauí)	Upper Jequitinhonha Valley (Minas Gerais)	Arrojado River Basin and surroundings (Bahia)	Sertão do Pajeú (Pernambuco)
<b>New technologies to be tested</b>	Cajuina (processed and bottled cashew fruit juice), graywater systems, fuel-efficient stoves.	Satoyama approach; planting of native tree species as part of restoration efforts.	Management plans for common lands; discussion of fire as management tool, restoration with native species; use of graywater systems.	Underground dams, dried fruit.
<b>Green marketing potentials</b>	Expand agroecological fairs; fruit processing.	Improve access to traditional fairs; increasing digital presence; providing artisanal products to bigger cities.	Cerrado fruits, crafts from buriti palm leaves.	Access to fairs, dried fruit
<b>Green marketing barriers</b>	Low price of cashew nuts.	Regulations regarding artisanal food products.	Access and control over Cerrado areas.	Difficulties in meeting sanitary regulations (ex: honey).

### III. Strategy

#### 3.1 The Community-based Landscape Planning Approach

The project will be based on the lessons learned and methodology of the Community Development and Knowledge Management for the Satoyama Initiative (COMDEKS) programme. The COMDEKS programme seeks to improve landscape-level resilience through community action, while recognizing the interconnectedness of ecosystem services, local food production, natural resource use, income opportunities and culture<sup>7</sup>.

There are three defining aspects of the COMDEKS programme, which the SGP Brazil design will integrate into its own programming:

- Community-based organizations drive rural development strategies through project planning, governance, execution and monitoring.
- Participatory landscape governance represents an effective foundation for the organization of community-based, multi-stakeholder approaches to land and resource management.
- Integrated solutions are effectively addressed through the landscape level, as the scale is large enough to include various communities, processes and systems that underpin ecosystem services, rural economic production and local cultures.

<sup>7</sup> United Nations Development Programme. 2018. Assessing Landscape Resilience: Best Practices and Lessons Learned from the COMDEKS Programme”. UNDP, New York.



The strategy of implementing the COMDEKS approach will involve assisting community-based organizations in carrying out and coordinating projects in pursuit of outcomes they will identify in landscape plans and strategies. Coordinated community projects in the landscape will generate ecological, economic and social synergies that will produce greater and potentially longer-lasting global environmental benefits, as well as increased social capital and local sustainable development benefits. Multi-stakeholder groups will also take experience, lessons learned, and best practices from prior initiatives and implement a number of scaling up efforts during this project's lifetime. This is an approach that is now part of all SGP Upgraded Country Programmes (UCPs) in order to achieve global-level results.<sup>8</sup>

The concept of the "landscape" is used in this project as it takes into account biodiversity value, land use trends and patterns, opportunities for application of renewable energy technologies, previous SGP-supported initiatives, poverty and inequality levels, disposition of communities and local authorities, and potential partnerships with NGOs, the private sector and others, as well as other factors. Targeting landscape resilience allows for the various types of community action to be catalyzed to advance multiple global environmental and local development goals synergistically in the same geographic space.

Through a thematic approach, focused on the intervention landscapes, the SGP will support community organizations to achieve impacts at the local scale on rural and their neighboring urban landscapes (when applicable), with the aim of progressively acquiring critical mass to reach a tipping point of adoption by rural and urban constituencies of adaptive practices and innovation for resilience-building, as well as their support by municipal, state and federal agencies. To achieve this, the project will foster adaptive management capabilities by enhancing technical know-how, developing planning and organizational skills, and promoting innovation and experimentation capacity to enhance their agency in developing plans and priorities and carrying them out for landscape resilience. The project will also invest in strategic projects, which build knowledge, capacity, and allow synergies among other smaller local actions.

In each of the four target landscapes the project has identified a strategic local partner with which it will work closely to implement project actions. Through a "strategic grant" the partner will promote training, maintain a multi-stakeholder platform and assist in supporting grantees to implement their activities, as well as provide organizational and administrative support and help ISPN to monitor results. This is essential as many of the smaller organizations may not have the administrative and organizational capacity and require the accompaniment to upgrade their own skills and capabilities in this area. This will also support the civil society sector as a whole, to collaborate together, to receive support from fellow civil society partners. As such, the strategic partners have been identified by communities as those that have the interest of the community at heart, and perceived as positive partners that support other groups, which by-passes any possible conflicts between the strategic partner and grant recipient. However, they still have to undergo the process of submitting proposals and have to undergo a formal review and selection process by the National Steering Committee (NSC)/Project Board. After all, the strategic partner is there to ensure that grantees are able to implement the activities that they have identified themselves, and to support them in monitoring their results.

Seventy percent of the funding for small grants will be apportioned to the four target landscapes; the remaining thirty percent will be open to other organizations in the Cerrado and Caatinga biomes. This is in keeping with previous SGP efforts in Brazil, which worked at the biome level and were able to also support broader initiatives that link local organizations. From the experience of implementing SGP-05, there was a lesson learned on the importance to work in different regions, since communities have

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<sup>8</sup> GEF Small Grants Programme: Implementation Arrangements. GEF/C54/Of/Rev.01, 2018. Available online at: [https://www.thegef.org/sites/default/files/council-meeting-documents/EN\\_GEF.C.54.05.Rev\\_01\\_SGP.pdf](https://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.54.05.Rev_01_SGP.pdf)

great potential to contribute to innovations, potentialize the sustainable use of resources, expand improved practices and upscale activities through public policies. This strategy has received inputs from the NSC to prioritize traditional communities and socioeconomic networks in a broader approach, enabling the exchange of experience and the involvement of other important regions.

In the Validation Workshop for this project design, the participants (Validation Workshop report in annex) indicated some priorities for this strategy (30% other regions), such as to support projects benefitting traditional peoples (including indigenous, quilombola, etc) and networks that uphold social movements, proposing and negotiating public policies and improved knowledge management systems through capacity building events (courses, seminars, workshops), exchange and upscaled communication strategies.

The small grants provided through the SGP will support those communities and CSOs that are vulnerable to develop their capacity to take measured risks in testing new methods and technologies, to innovate as needed, and to build synergies and collaborations as per their comparative advantage. In particular, SGP-07 will support local initiatives that enhance livelihoods while combating environmental degradation, and provide opportunities for vulnerable groups such as traditional communities<sup>9</sup>, women, youth with few opportunities, and the poor. Specifically, small grants will aim to support initiatives that originate from specific groups within these landscapes, such as women's and youth groups, thereby giving voice to segments of the population which are often under-represented in collective efforts.

In addition to the landscape approach fostered by the COMDEKs approach, the project will include the following as part of its methodology for implementation:

- **Participatory approach:** from the consultations during the PPG, which involved workshops and meetings with local stakeholders in each landscape (please see Annex 10 for landscape profiles which include summaries of workshop results); the process has been and will be participatory in nature. As recognized in the evaluation for SGP-05, the Brazil SGP programme is highly effective in this regard. It is able to convene a variety of stakeholders, including the most marginalized, and can create synergies and links with national, state and local governments and the private sector. The thrust of GEF-07 is to give organizations a sense of agency over their environmental and sustainable development problems while facilitating partnerships, sharing of resources and knowledge and multi-stakeholder collaborations.
- **Gender and human rights:** SGP-07 and its grants will ensure that the project does not discriminate against women, indigenous groups, traditional communities socioeconomically disenfranchised and other marginalized groups. SGP-07 will support smaller civil society groups that may not have the capacity to develop sophisticated proposals, through organizational accompaniment by the strategic partners in each landscape, and through ISPN's ongoing support. Efforts will be taken to ensure that SGP-07 is well-understood at a deep level within a landscape, so that there is local-level commitment and buy-in, and that the project reflects the needs at landscape level, in all of their dimensions (social, political, economic and environmental) without discrimination. The different opportunities that men and women have as well as the impediments faced by women, especially racialized or indigenous women from traditional communities, are folded into the logical framework and proposed activities.
- **Iterative Learning and Knowledge Management-** The entire process of SGP-07 will be iterative in nature and will promote both the generation of knowledge and its incorporation into other activities. There will be numerous knowledge development prospects such as cross-landscape peer learning opportunities. This phase will also actively involve women in peer-to-peer

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<sup>9</sup> While the target landscapes do not have the presence of indigenous peoples, they have traditional communities which have specific rights and recognition in Brazil.

exchanges, especially in the process of replicating innovations (technological and otherwise). For instance, one landscape is far more advanced in fuel-efficient technologies, and can share their experiences with communities in other landscapes where uptake has been low. The process of developing proposals, articulating landscape strategies, and sharing lessons learned among community groups will all be done with a strategy to both build capacities and increase knowledge. The knowledge management approach will ensure that the project is able to recover key experiences and generate replicable lessons. The SGP experience in Brazil, as indicated in the evaluation of SGP-05 project, that the implementing partner has an effective replication and knowledge management strategy of working with local and regional organizations to develop and share methodologies, practices and technologies. It was noted that the “SGP Brazil Lessons and Experiences Seminars” have made great contributions in promoting replication of best practices at the local level.<sup>10</sup>

- **Theory of change principle:** The project’s chain of results is projected to be mutually reinforcing. It is understood that landscapes will not be completely sustainable at the end of the five-year project duration. Rather, the expectation is that as local organizations implement small grants, with a landscape strategy cohering the work, these discrete interventions will aggregate, and generate landscape level changes, while facilitating new knowledge, partnerships and experience. As noted in the SGP-05 implementation phase, the pilot sites where COMDEKS was applied, yielded great results (along with others) at the end of the four-year project duration, giving credence and yielding confidence for the landscape approach. This approach will now be extended beyond the initial pilot zones, with an eye to upscale successes. A critical aspect of the design of this project is to further systematize this process of change through the identification of activities that can be synergized, mutually benefit one another, and cross-pollinate different initiatives and landscapes.

### 3.2 Lessons Learned from SGP-05

This project has in large part been designed through lessons learned under SGP-05. In particular, SGP-05 was highly successful in implementing the COMDEKS approach in some communities of the Jequitinhonha Valley. These communities took holistic sustainable development into account, and now there is a request by neighbouring municipalities and communities to implement similar strategies so that they too may benefit from a more holistic approach with synergistic activities that create impacts on a broader scale. Given the success of the initiative and the uptake of the integrated concept by pilot local communities, SGP-07 will reach a greater number of communities in the Jequitinhonha Valley, and also upscale the COMDEKS approach to other target landscapes. As noted during PPG consultations, residents found that the integrated approach to their environmental and sustainable development problems helped them to better manage their natural resources and increase their agricultural production. Some of the key lessons learned from SGP-05 include the following:

- Beneficiaries’ participation took place throughout the project’s design, development, implementation and monitoring phases; “planning and implementation were excellent”<sup>11</sup> as SGP envisaged and incorporated a great diversity of stakeholders including CSOs, NGOs (local, regional and national).<sup>12</sup> This lesson was incorporated in the present project’s PPG phase and is built into all phases of implementation. Field-level inception workshops were held to ensure active

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<sup>10</sup> Terminal Evaluation of the Fifth Operational Phase of the GEF Small Grants Program in Brazil  
- BRA 12/G32 / PIMS 4578

<sup>11</sup> Lessons Learned, Evaluation of Brazil SGP-05

<sup>12</sup> Lessons Learned, Evaluation

participation from those impacted by future interventions, and to ensure that landscape level stakeholders are engaged from the beginning and can inform project design. Community-members were given opportunities to identify, vote and select the priority needs and the interventions that they would like to implement to address said needs. SGP-07 will continue to promote its bottom-up approach that has been highly successful: it will continue to support community-based organizations to identify, design and implement grants that produce Global Environmental Benefits and local sustainable development benefits. The bottom-up approach applied by the Brazil SGP Country Programme is fully aligned with the GEF Small Grants Programme's approach in 126 countries of "thinking globally, acting locally" i.e. working to empower local communities by providing financial and technical support to their projects for sustainable development with global environmental impacts.

- "ISPN's role in orientation and coordination of the base organizations and its flexibility for being an execution NGO stand out."<sup>13</sup> Given ISPN's success in implementing SGP-05, conducting effective financial management, scaling up best practices, sharing knowledge, and effectively managing stakeholder relations among government, CSOs etc., ISPN will once again be the implementing agent for the project.
- "Women led organizations' participation promoted a gender assessment during the project's execution. This is expected to encourage a gender approach in the design of future projects." The inclusion of women, and their leadership will be enhanced in this phase of GEF-07. The project design ensures that it's not only participation that is monitored, but that projects supported by SGP-07 yield tangible benefits to women and female-led households. The project has specific gender indicators to measure results and seeks to mitigate against factors that discourage women's participation. Moreover, the project will support organizations in their own gender analysis and help them to monitor gender-responsive results through specific tools.
- "Including a monitoring system from the beginning of execution contributed to achieving the expected results. The monitoring strategy, with operational meetings, management developed tools, field visits and permanent contact (telephone, e-mail) is remarkable."<sup>14</sup> This phase will include the aforementioned monitoring tools; one thing to be added will be to monitor more effectively impacts on gender roles and relations and to note unanticipated impacts.
- "More clarity and quantification are required on some results in order to identify impacts on biodiversity, calculation of dollar per capita, per ton, per family, by income, economic return. It is a challenge to develop quantitative data, since it's a constant changing process. The efforts to calculate this data is a process for transmitting base organizations that permanent efforts are required." Collecting accurate and quantitative data on results and impacts is a permanent challenge for projects that work with families, communities and local NGOs. Nevertheless, this lesson learned has been applied to the design stage in order to allow for use of indicators that are SMART in nature. The project has sought baseline and target figures through collaboration with key NGOs in each landscape to arrive at realistic estimates of the number of communities, households, individuals and hectares that will be positively affected by the small grants. To further maintain gathering of data throughout the duration of the project, ISPN will work with strategic partner organizations, to support smaller grantees in monitoring results. Specifically, given that each strategic partner is located in each landscape, they will follow up regularly to train smaller CBOs on how to gather data, and what kind of data. This accompaniment will begin from the project development stage so that CBOs have a good idea of how they will monitor results and

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<sup>13</sup> Evaluation Report, SGP-05

<sup>14</sup> Ibid.

what kind of resources are required to do so. The strategic partners will be larger organizations that have the know-how and the administrative capacity to carry on this work.

## **IV. Results and Partnerships**

### **4.1 Expected Results**

#### **4.1.1 Theory of Change**

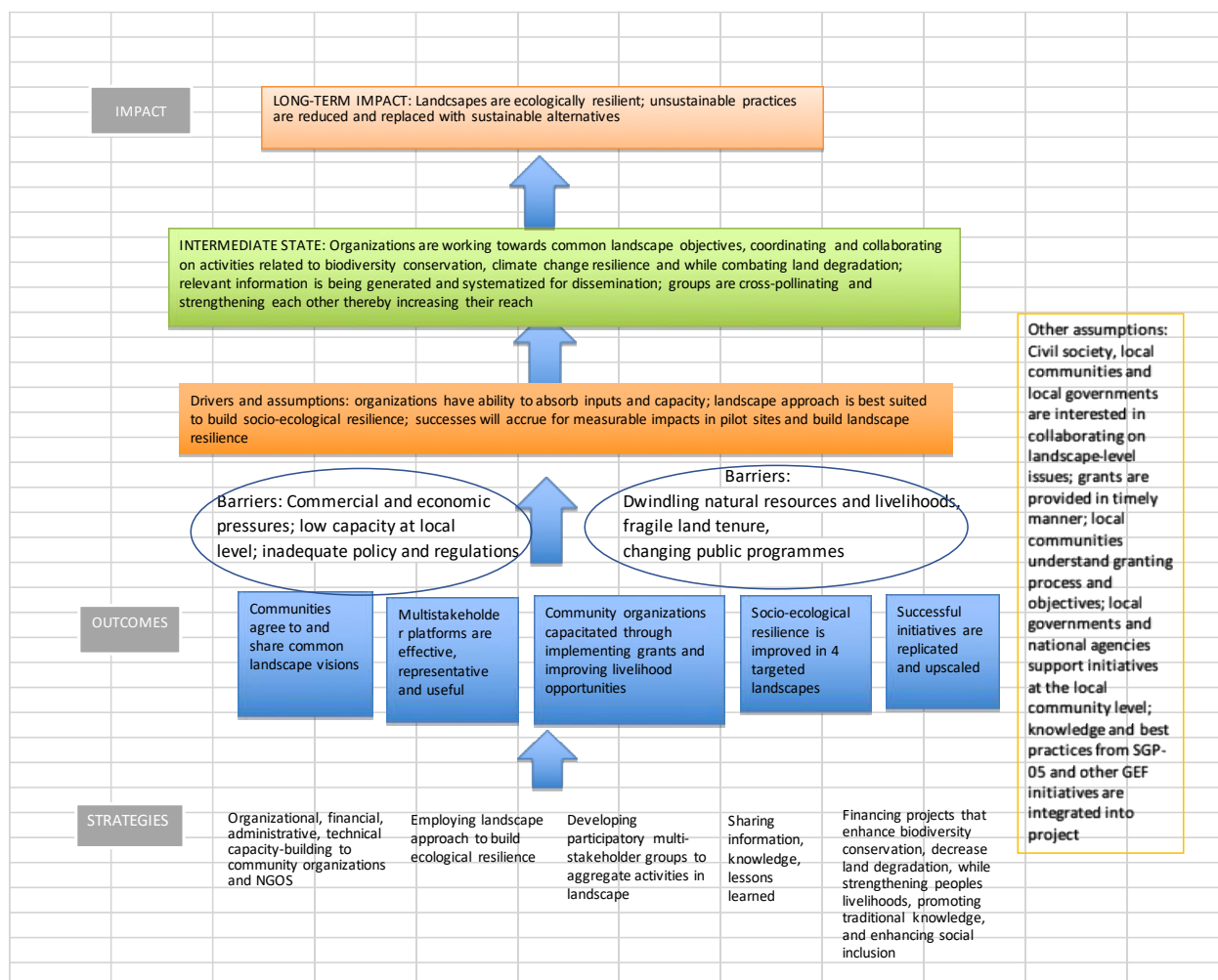
The project objective is to build socio-ecological and economic resilience in the Cerrado and Caatinga biomes through community-based activities for global environmental benefits and sustainable rural development.

The GEF-funded alternative to the baseline will address the existing barriers to community-based measures leading to biodiversity conservation and climate change mitigation. In doing so, the project will support community-based capacities and resources to promote and build ecosystem resilience through resource management planning at the landscape level, while supporting livelihoods. The initiatives will be identified and implemented in support of landscape-level strategies formulated by multi-stakeholder groups comprised of representatives of landscape communities, local government authorities, NGOs and the private sector. Successes and achievements will be upscaled and replicated, through effective knowledge management measures and participation with the national government and NGOs.

By focusing on targeted communities in the aforementioned landscapes, the project seeks cost-effective delivery of community-level investments, processes and tools, within a measurable, limited geographic scope. The project also seeks to build synergies and linkages among various community-level interventions, so as to harmonize them, increase value-added of existing initiatives, promote social cohesion and generate greater impacts and results on the landscape through cumulative interventions. This project's strategy is to build on this by consolidating past gains in community-based conservation and scaling-up efforts to reach more communities across the landscapes.

The essential story of the project is the following: the project will seek to empower and support local community organizations, NGOs and CBOs, so that they may pilot and carry out sustainable interventions that support livelihoods and reverse biodiversity loss and implement mitigative activities against climate change. A landscape approach, reinforced through multi-stakeholder collaboration, will help achieve a cohesive and coherent vision, under which development actors, local partners and governments will execute synergistic and complementary activities to achieve a tipping point in each landscape. Five years may not be sufficient in achieving complete transformation, but promoting synergistic and complementary activities can create aggregate benefits. As is captured in the evaluation report from SGP-05 and through anecdotal accounts from community gatherings in the Jequitinhona Valley, the communities in which the COMDEKs approach was piloted led to observable results which have made more municipalities request similar pilots.

To achieve these goals, the project will facilitate capacity building, sharing of technical expertise, the dissemination of resources through small grants, and opportunities for networking and knowledge sharing. The lessons learned from this project will enable upscaling of best practices, inform policy development, improve baseline data in the country, and provide models to be replicated elsewhere. The underlying theory of change for the project is captured in the following diagram:



#### 4.1.2 Expected Results

The objective of the project is to build social, economic, and ecological landscape resilience in the Cerrado and Caatinga biomes through community-based activities for global environmental benefits and sustainable rural development.

The GEF-funded alternative will be delivered through two Components:

- **Component 1-** Resilient landscapes for sustainable development and global environmental protection
- **Component 2-** Landscape governance and adaptive management for upscaling and replication

Under **Component 1**, the following **Outcomes** are anticipated:

- 1.1 Ecosystem services within Cerrado and Caatinga biomes are enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities.
- 1.2 The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices.
- 1.3 Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.

- 1.4 Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level.

Under **Component 2**, the following **Outcomes** are anticipated;

- 2.1 Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological resilience
- 2.2 Mainstreaming and upscaling the contribution of local communities to landscape resilience, conservation and connectivity

Under **Outcome 1.1 Ecosystem services within Cerrado and Caatinga biomes, are enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities**, the project recognizes that one of the effective means of engaging various levels of community and government is through improved and integrated land use, while ensuring connectivity. This involves strategies of rehabilitating degraded ecosystems, fostering a shared understanding on the importance of ecosystem services and how best to manage them, and contributing to improved and sustainable land use. Interventions under this outcome will require restoration as well as a shared vision of how to rehabilitate and maintain natural resources. The landscape strategy will require various community groups to work together, supporting actions in different ecosystems so that they may yield collective benefits. This outcome will be delivered by **Output 1.1.1 Community-level small grants that restore degraded landscapes, improve connectivity, support innovation regarding biodiversity conservation and optimization of ecosystem services, including sustainable use of biodiversity; recovery of native vegetation; integrated fire management.**

The activities carried out under this output will include:

- Restoration of native vegetation, including riparian forests. This will be especially relevant for supporting 'vereda' wetlands, riverbanks and natural springs which are under pressure from encroaching commercial activities.
- Establishing local fire management plans to manage widespread forest fires and degradation of productive lands.
- Capacity building/training initiatives for engaging women and youth in landscape resilience activities. This will also address the growing challenge of youth exodus and lack of opportunities for including youth in planning.
- Disseminating best practices on sustainable use of biodiversity.

Under **Outcome 1.2 The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices-** the project acknowledges that agricultural production offers an entry by which sustainability measures can be promoted, while supporting livelihoods. It is also a sector where there is room for innovation and sharing of best practices. Given that the project is primarily targeting rural communities, agriculture is the most relevant sector to address, as it is directly connected to livelihoods, sustenance, connection to the land and to traditions, supports the sense of community and is most closely associated to the use of natural resources. Within the rural communities, baseline assessments have shown that women play a critical role in the transition to more sustainable land management systems, such as agroecology, leading the way in introducing innovations in techniques and procedures. In the baseline, it was revealed that communities are facing greater challenges given the lack of water, poor quality of soil and lack of know-how on how to increase production given these constraints. The following output and associated activities will help address these challenges:

**Output 1.2.1 Targeted community projects enhancing the sustainability and resilience of production systems, including soil and water conservation practices, silvopastoral and agroforestry systems, increased on-farm arboreal coverage, conservation of agrobiodiversity; agro-ecological practices and cropping systems.**

The activities under Output 1.2.1 include:

- Increasing rainwater harvesting, cisterns, and other water technologies that can address water shortages.
- Applying land management practices which promote diversification and agroforestry
- Conserving local crop varieties through seedbanks
- Establishing protein and fodder banks for livestock
- Intercropping, mulching, and composting,
- Erosion control through contouring and terracing of slopes in degraded areas

Under **Outcome 1.3-** Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access, the project seeks to strengthen communities' livelihoods by promoting and upscaling sustainable enterprises. With its rich cultural heritage and diverse landscapes, the communities under this project have a plethora of activities at the local scale that could yield greater socioeconomic benefits. These enterprises need accompaniment, organizational development, and support in business planning to make initiatives profitable. They also require the opportunity to pilot various activities to see which can be managed by the communities, and which can be viable. Initiatives under this outcome will assist organizations to carry out sustainable production, while establishing the necessary market linkages. Most importantly, activities under this outcome are directly linked to strengthening livelihoods, which is a key factor in ensuring sustainability. It also gives the space to smaller CBOs to test initiatives, or upscale them which they have not been able to do previously due to the lack of resources.

One **output** is anticipated under this outcome, **1.3.1 Targeted community projects promoting sustainable livelihoods, green businesses and market access, including socio-biodiversity products, beekeeping; green value-added agro-businesses integrated into value chains, micro-processing.**

The activities that intend to deliver this output include the following:

- Upscaling artisanal/handicraft products—increasing access to buyers through digital means
- Beekeeping- increasing access to certification
- Manioc and sugarcane processing capabilities
- Supporting green business to meet compliance standards accreditation/labelling
- Supporting associations in establishing cooperatives and accessing revolving credit
- Building relationships with supermarkets, schools and public entities to sell fruits and agricultural goods
- Harvesting non-timber products
- Supporting packaging/marketing, quality control
- Providing capacity-building for developing management skills for entrepreneurs

Under **Outcome 1.4- Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level, the project will promote interventions that mitigate the negative impacts of climate change.** There is both an interest and an opportunity in these landscapes



of piloting innovative and energy efficient technologies at the community level. In cases where one landscape may be more ahead in using renewable energies, there is an opportunity for landscape-to-landscape exchanges, and peer-to-peer learning. There is one output foreseen under this outcome:

**Output 1.4.1 Targeted community projects implementing energy efficient technologies in each landscape, including biogas, fuel-efficient stoves, etc.** Activities under this output include:

- Piloting bio-digesters
- Promoting use of fuel-efficient stoves
- Piloting solar energy applications
- Piloting graywater technologies

The first component under **Component 2** is **Outcome 2.1 Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological resilience.**

Under this outcome, in the GEF alternative, activities will focus on establishing recognizable, functioning local governance platforms in the selected landscapes. Under SGP-05, a number of organizations came together in a pilot to convene and implement various environmental activities. Under SGP-07, this work will be further enhanced, cover a greater area, include new partners, and seek to include the private sector whose activities impact the landscape, but are usually outside of the planning process. The governance platform in each landscape will serve as a point of collaboration, knowledge-sharing, assessing progress against various environmental indicators, responding to environmental shocks and most importantly, planning on how to protect valuable natural resources while ensuring livelihoods. Partners will be able to disseminate information through this platform, adapt landscape goals and objectives and collect lessons learned. The platform will also serve a socio-cultural role in bringing together people of different livelihood activities, genders, and socioeconomic class. The platform will be situated at the landscape level, allowing local organizations to determine their landscape priorities, objectives and strategies. The question of tenure and territorial rights of traditional communities and families is a central issue in these landscapes. In some communities, people enjoy communal lands which lends itself well to the community-based management of landscapes. However, a lack of political recognition can often hamper the rights of some of these communities. The multi-stakeholder model offers a platform through which some of these issues can be articulated, and can provide a venue for communal needs and concerns to be expressed. In order to ensure that all voices are considered in the multi-stakeholder platform, efforts should be made to reach out to existing women's grassroots groups and organizations, as well as youth-based groups in each one of the landscapes so that they are incorporated in these regional networks.

There are two outputs planned under this outcome:

- **Output 2.1.1- A multi-stakeholder governance platform in each target landscape develops and monitors landscape level agreements; promotes advocacy for the territorial rights of traditional communities, family farmers and women agricultural workers; supports value-chain development strategies for NTFP and agroecological products; develops adaptive landscape management plans and policies, including enhanced community participation in river basin commissions and other relevant forums.** The core activities under this output include:
  - Establishing a representative multi-stakeholder platform in each landscape that includes participation of women, private sector partners, local governments, local community organizations and other stakeholders
  - Facilitating platforms for regular meetings, reporting, incentivizing participation
  - To ensure participation of women, considerations should be taken into account, such as the scheduled meeting times and how this may conflict with women's labour or

household/childcare responsibilities; location, and whether this poses risks to women; as well as the need to provide childcare services of some sort.

- **Output 2.1.2- A landscape strategy developed by the corresponding multi-stakeholder platform for each target landscape to enhance socio-ecological resilience through community grant projects.** The PPG phase identified important issues and concerns in each landscape, as well as key institutional actors, who will be invited to participate in and support multi-stakeholder platforms. The strategic partner organization in each landscape will have the role of convening and supporting the respective multi-stakeholder platform in the development of a landscape strategy, including a shared vision, while acknowledging shared challenges and activities needed to be addressed. The key activities under this output will include:
  - Identify landscape-level priorities in accordance with different visions of the stakeholders, and specifically including the perspectives of women and youth;
  - Clarify roles and responsibilities of various stakeholders in contributing to landscape resilience;
  - Establish timelines for activities.
  - Plan and carry out “baseline assessment” in each landscape against which results can be measured.
  - Include gender considerations in the baseline assessment

Under **Outcome 2.2 Mainstreaming and upscaling the contribution of local communities to landscape resilience, conservation and connectivity**, the project recognizes that some larger initiatives can upscale results beyond landscapes. One of the priorities under this output is to strengthen regional organizations that support smaller NGOs, community groups, through organizational accompaniment/ development, business development, integration of activities, so that they may reach more community groups and help consolidate and align their activities.

Under this outcome it is also necessary that the many lessons learned through individual grants are brought to the fore and shared with other communities, organizations, and replicated as needed. The aggregate activities at the landscape level can also serve as potential for upscaling at the state and national level. Opportunities will be sought with research institutes, government entities and national-level NGOs to share some of the lessons learned and best practices identified by the project. Activities under this outcome can also help leverage other funds, and support South-South partnerships. There are already examples of initiatives from SGP-05 that have attracted interest and funding from other donors.

There are two outputs planned under this outcome:

- **Output 2.2.1- Knowledge from project innovation experience is shared for replication and upscaling across the landscapes, across the country, and to the global SGP network.** Under this output, activities will include:
  - Prepare landscape-level knowledge management (KM) and information, education and communication strategy to guide generation and use of SGP best-practices
  - Conduct learning sessions and exchanges with other local communities, including cases that feature women in key leadership roles
  - Support school-based learning programs to support early understanding of key issues in landscapes
  - Participate in relevant regional and national level dialogues on landscape level initiatives and share experiences, e.g. annual conferences/regional meetings
  - Establish partnerships with similarly oriented projects to promote cross-pollination of innovations

- **Output 2.2.2- Strategic initiatives are supported to upscale successful SGP project experience and practice.** Activities under this output will include:
  - Design a Communications Strategy which has specific approaches to reaching different audiences and which includes a Knowledge Management component.
  - Support institutions that assist local-level associations in strengthening their organizational capacities, administrative practices, gender-responsive approaches and sensitivity to gender, racial and ethnic inequalities, ability to leverage funds, and upscale their sustainable practices
  - Support environmental management plans for communally managed resources
  - Upscale and increase visibility of sustainable products

The aforementioned outcomes, outputs and activities have been designed while keeping in mind the risks that the project can face (see Annex 5: Risks). However, given the evolving situation with the COVID-19 pandemic, and its potential to exacerbate other risks, it will be necessary to review risk mitigation strategies at the inception of the project, to ensure safeguarding of vulnerable groups and communities, of critical sites and of peoples' livelihoods. An Environmental and Social Management Framework will thus be developed at inception to take into account the latest circumstances to ensure the project is delivered with an adaptive approach, taking into consideration the vulnerabilities and ensuring that the project provides safeguards against risks.

Given that project activities are highly dependent on development and submissions of proposals, it is not foreseen that the ESMF will cause any delays. In fact, grants are not foreseen in the first calendar year of the project (4 months), and the ESMF will be part of the process of creating the enabling environment under which the project outputs and activities can unfold and be monitored. The only activities which may be slightly influenced may be the manner in which the inception workshop is carried out. Yet, regardless, this will be conducted electronically, following COVID-19 best practices and guidelines to avoid posing any risks to communities. The risks and strategies identified in the ESMF will be monitored through the life of the project.

## 4.2 Partnerships

### 4.2.1- Partnerships with other stakeholders and organizations

Several partnerships will be sought to achieve successful project implementation. These include partnerships with the following:

***Community-based organizations (CBOs) and local communities*** who receive grants to produce benefits to local sustainable development and to global environment. Civil Society Organizations (CSOs), Non-Governmental Organizations (NGOs): CSO/NGOs, whose work has been to support CBOs and communities in pursuing local sustainable development in the areas, are important partners. These include NGOs who have the interest and capacity to provide key support services to community-based projects, including technical assistance and capacity development. Large partner organizations who will support smaller local organizations will be identified as **strategic partners**. Local communities will also be principal participants in landscape planning exercises; first-order partners in the multi-stakeholder partnerships for each landscape; signatories to community level partnership agreements;

implementing agents of community and landscape level projects. Further, the Cerrado Network, Semi-Arid Articulation (ASA), as well as Women's movements and feminist organizations and Indigenous Peoples and traditional communities' movements and organizations will play a partnership role in implementation, landscape planning, and multi-stakeholder platform participation. The project will give special attention to organizations run by and for women, ethnic minorities and youth.

- **Government Agencies**, such as the Ministry of Environment, (MMA), Ministry of Science, Technology, Information and Communication (MCTIC), Ministry of Economy (ME), and the Brazilian Cooperation Agency (ABC) will be key partners in the project and will provide participation at the federal level. Agencies of the Ministry of Environment such as Ibama (responsible for natural resources and the implementation of integrated fire management in indigenous reserves and quilombola territories) and ICMBio (responsible for protected areas and the implementation of integrated fire management in those areas), will be primary participants in landscape planning exercises when these are in their areas of jurisdiction and may be first-order partners in the multi-stakeholder partnerships for each landscape, as well as partners in landscape level projects and policy platforms. State environmental agencies will also be involved, especially when links with state-level protected areas are necessary.
- **Local government and watershed committees:** Municipal governments generally channel commitments to communities in regard to agricultural and land use topics through their secretaries of agriculture or environment, and these will be partners in baseline assessments and landscape planning, including multi-stakeholder partnerships for each landscape. With regard to land use planning, of particular interest is improving participation in watershed committees, established as part of the National System for Management of Water Resources in 1988. Other relevant local committees that will be involved in the multi-stakeholder platform are Municipal Councils for Sustainable Rural Development, for Environment and for Food Security.
- **Private sector** will be involved as appropriate, participating in multi-stakeholder partnerships in the landscapes, but particularly in regard to developing links for improving value chains for agroecological products and NTFPs. Opportunities for liaising with large commercial actors using natural resources will also be sought to ensure a more integrated approach.
- **Academic institutions** will be invited to be partners in multi-stakeholder partnerships for each landscape and potential participants on policy platforms when appropriate. They may also assist in participatory baseline assessments, landscape planning processes and in providing technical assistance to community organizations for implementation of their projects. They will also be engaged in looking for solutions for communities' challenges and removing bottlenecks for marketing of socio-biodiversity products.
- **National Steering Committee (NSC) or Project Board** is composed of representatives of civil society organizations, government agencies. Besides its role in overseeing the project, it also provides links to other projects and initiatives taking place in the Cerrado and Caatinga biomes, and to their networks of experts, who may be consulted as needed, especially in areas of technological pilots, or testing of resilient varieties. The NSC will also be key in disseminating information about the call for small grants that will be open to organizations in these biomes that are outside the target landscape and which will receive an estimated 30% of small grant funds.

The sustainability of the landscapes depends on a major planning and coordination effort between all the actors. The definition of a common vision for the regions addressed in the project, with well-defined

objectives and goals, and strategies that involve the overcoming of the main challenges in an articulated and cooperative manner is important.

#### 4.2.2- Linkages and Synergies with other Projects and Initiatives

The proposed project will collaborate with and build on the lessons of a range of related initiatives. The National Steering Committee of the Brazil SGP has consistently promoted the collaboration of the Country Programme with GEF and government financed projects and programmes for many years. Achievements under SGP have been noted and often integrated into other initiatives; one such example is ISPN supporting environmental and territorial management plans in 15 indigenous lands in the Caatinga and Cerrado Biomes, through resources and support of the Ministry of Environment's Climate Fund.

Members of the National Steering Committee have endorsed collaborative arrangements and partnerships to maximize the efficiency of the GEF SGP investment, with SGP-sponsored technologies, experience and lessons learned disseminated and absorbed by government programmes and institutions. Opportunities for synergies with other projects will be actively sought to share resources, best practices, leadership, lessons learned.

##### **GEF Projects**

- **AVACLIM : Agro-ecology, Ensuring Food Security and Sustainable Livelihoods while Mitigating Climate Change and Restoring Land in Dryland Regions-** This is a regional project, but given that the initiative is focused specifically on drylands and the SGP-07 initiatives will be focused on semi-arid environments, there are opportunities from learning from the research and lessons learned generated from this project.
- **Amazon Sustainable Landscapes Project-** As noted in the baseline section, there are strong linkages between the Caatinga/Cerrado biomes and the Amazon. The landscape approach under the Amazon project will be useful to learn from. In particular, the management approaches to communal lands will be particularly informative.
- **Sustainable, Accessible and Innovative Use of Biodiversity Resources and Associated Traditional Knowledge in Promising Phytotherapeutic Value Chains in Brazil-** Part of the SGP-07 initiatives seek to increase market access and strengthen business development in the area of green value chains. This project will be a useful one to learn from in terms of the trainings and resources needed to strengthen the market development aspect of SGP-07.
- **Sustainable Multiple Use Landscape Consortia, Vertentes Project-** This is a project that has strong synergies with SGP given that its objective is to promote sustainable value chains and land restoration and management in selected landscapes in Brazil. This project will be conducted in Araguaia-Taquari watershed in the States of Goiás, Mato Grosso and Mato Grosso do Sul; Tocantins and Paranaíba watersheds in the States of Goiás and Federal District; Tocantins, São Francisco and Paranaíba watersheds in the States of Bahia and Minas Gerais. It is currently under development but it is anticipated that it will unfold around the same time as SGP.

##### **Non-GEF Initiatives**

- **The Terramar Project (GIZ)** is an ongoing initiative that supports an integrated approach to environmental and spatial planning of the Costa dos Corais and Abrolhos regions. This includes the Rio Doce Basin, where the biggest mining disaster in Brazil occurred in 2015. Sustainable management capacities of local stakeholders are strengthened through training activities,

institutional support, increased knowledge management and networks in the region applying participatory approaches. There are opportunities to learn about participatory approaches and the training initiatives that are pursued under this project.

- The proposed Project is consistent with the **World Bank Group's Country Partnership Framework (CPF) 2018–2023 for Brazil (Report N° 113259-BR)**. The CPF proposes a reorientation of new lending and advisory services and analytics toward supporting the Government in addressing the main development constraints identified in the Systematic Country Diagnostic, including natural resources management. The Project is directly related to the third focus area of the FY18-23 CPF, Objective 3.1- Support the achievement of Brazil's NDC with a particular focus on land use.

The proposed project will also coordinate and build partnerships with other relevant initiatives, including SGP partners that are associations, cooperatives and NGOs that represent or assist local communities from the Cerrado and Caatinga biomes. The Cerrado Network (Rede Cerrado) and the Semi-Arid Articulation (ASA) are special stakeholders in this regard because they congregate hundreds of CBOs and NGOs present in those biomes. They will be represented in the NSC and will contribute to disseminate information about SGP. Other important stakeholders are the Cerrado Central, which is a network that congregates about 30 initiatives working with marketing of Cerrado and Caatinga products. Cerrado Central was created as a result of the SGP Brazil work and was formalized as a cooperative in 2010, and is able to access formal markets and new possibilities of financial support. Other initiatives of interest include:

- **National Campaign for the Cerrado** - an articulation among about 30 NGOs and CBOs acting within the Cerrado biome bringing awareness to society about the threats the Cerrado and its peoples are facing with the expansion of agribusiness.
- **Mapeamento dos Invisíveis** - coordinated initiatives by the Public Attorney (Public Defense), the Institute for Environmental Research in the Amazon (IPAM), ISPN and others in order to produce information through mapping by local communities and protecting traditional territories, which are essential for Cerrado conservation.
- Other articulations with NGOs acting in the Cerrado, such as 'Cerrativo'.

## 4.3 Stakeholder Engagement Plan

### 4.3.1 Introduction

The Stakeholder Engagement Plan (SEP) is designed to ensure effective engagement with and among various stakeholders throughout the lifecycle of the SGP project, ranging from the grassroots associations that are grant recipients, their local and regional NGO partners, as well as relevant agencies from municipal, state and federal governments. This plan will build on and complement other project aspects related to monitoring and evaluation.

The SEP involves three key components: consultation (in the project design phase); establishment of multi-stakeholder platforms in each landscape; and communication and dissemination of project results. These components are described below.

### 4.3.2 Consultation: public engagement undertaken during project development

As part of the project preparation phase (PPG), local strategic partners assisted in setting up one-day consultation meetings in each target landscape, bringing together farmers, representatives of community associations, and other local NGO partners, while ensuring representation from women, youth and

racialized groups. Municipal governments and state extension agencies were invited and in some cases their representatives attended the meetings. The PPG team also visited local farmers and met with local associations, consulted with women to understand the challenges and activities they carry out relative to natural resources.

The methodology used in the consultations consisted of two or three focus groups (depending on the number of participants), divided according to the categories of male farmers, female farmers and representatives of institutions. The focus groups identified and discussed positive and negative aspects of the following themes: environment; agriculture and animal husbandry; extractive production; and social organization, projects and partners, as well as actions that could address the problems identified. These actions were organized into broader topics by the facilitators and were “voted” on (each participant received stickers) to obtain a general view of the priorities in each landscape, from a gender perspective, given that women and men received different kinds of stickers so as to distinguish their interests and needs. All the results therefore include a strong gender perspective. Further details as to the individual consultations and their results are given in the target landscape profiles in Annex 12. A broad view of the priorities identified in the four consultations is given in the table below.

### Consultations in target landscapes

LANDSCAPE	Date of consultation	Priority themes (in order of importance)
Upper Poti River Basin (Piauí)	Sept. 4, 2019	<ul style="list-style-type: none"> <li>– Improve animal husbandry;</li> <li>– Strengthening Community-Based Organizations;</li> <li>– Rainwater collection technologies;</li> <li>– Homegardens/vegetable gardens;</li> <li>– Wells for irrigation;</li> <li>– Traditional seeds;</li> <li>– Processing of Caatinga products (carnaúba);</li> <li>– Marketing of crafts;</li> <li>– Tree planting and seedling nurseries;</li> <li>– Agroecological practices and agroforestry systems;</li> <li>– Beekeeping (<i>Apis</i> and native stingless bees);</li> <li>– Fruit and nut processing</li> </ul>
Arrojado River Basin and surroundings (Bahia)	Sept. 22, 2019	<ul style="list-style-type: none"> <li>– Strengthening Community-Based Organizations;</li> <li>– Agroecology and food security;</li> <li>– Processing of Cerrado fruits;</li> <li>– Water and biodiversity;</li> <li>– Rural family school (emphasis on youths and women);</li> <li>– Crafts;</li> <li>– Community health and rural sanitation;</li> <li>– Communication</li> </ul>

Upper Jequitinhonha Valley (Minas Gerais)	Nov. 5, 2019	<ul style="list-style-type: none"> <li>– Water: rainwater storage, protection of springs, etc.;</li> <li>– Youths: specific programs and support for rural schools;</li> <li>– Support for agricultural production and marketing;</li> <li>– Advocacy: improved compliance with environmental regulations;</li> <li>– Animal husbandry;</li> <li>– Crafts;</li> <li>– Communication/information about the environment</li> </ul>
Sertão do Pajeú (Pernambuco)	Nov. 13, 2019	<ul style="list-style-type: none"> <li>– Women's empowerment;</li> <li>– Strengthening local organizations;</li> <li>– Agroecological production;</li> <li>– Water;</li> <li>– Access to markets;</li> <li>– Animal husbandry;</li> <li>– Traditional seeds;</li> <li>– Environmental education;</li> <li>– Trash</li> </ul>

### 4.3.3 Multi-stakeholder governance platforms in target landscapes

The establishment of a multi-stakeholder governance platform in each target landscape has the following objectives:

- Provide a channel of communication and engagement with the varied social and institutional actors involved in the project;
- Support establishment of networks of local and regional organizations for knowledge exchange and increased capacity to influence relevant public policies;
- Promote advocacy for the territorial rights of traditional communities, family farmers and women agricultural workers;
- Strengthening of local organizations for improved governance, technical capacity and social participation in platforms for dialogue and increased capacity to access and influence relevant public policies, including enhanced participation in river basin commissions and other relevant forums;
- Promote participatory decision-making processes to establish agreements in support of multi-functional land-use systems, more resilient landscapes and ecological connectivity, in the context of sustainable development and global environmental protection;
- Promote value-chain development strategies for NTFP and agroecological products;
- Provide a forum for the presentation, discussion and dissemination of project results.

The establishment of multi-stakeholder platforms will have as its first step the identification of one local or regional partner in each target landscape who will take on the responsibility of setting up the multi-stakeholder platform in that landscape and guaranteeing its operation. This identification was carried out in the PPG phase, and the strategic partners selected are listed below, along with other regional institutions and partners as well as local organizations whose participation – direct or indirect – in project activities are important for success and innovation, sustainability and potential for scaling up.



**Multi-stakeholder platforms in target landscapes: Strategic, regional and local partners identified during consultations**

<b>Landscape</b>	<b>Strategic partner</b>	<b>Regional Partners*</b>	<b>Local associations</b>
Upper Poti River Basin (Piauí)	Centro de Formação Mandacaru (CFM)	Articulação do Semi-Árido (ASA); Centro Regional de Assessoria e Capacitação (CERAC); Obra Kolping; Fórum Piauiense de Convivência com o Semi-Árido (FPCSA)	Tamboril Settlement Project, Comunidade Esperança; Descoberto Settlement Project, Pedra Branca Settlement Project, Thomas a Kempis EcoSchool; Syndicate of Rural Workers (STTR); Associação de Mulheres Organizadas (AMOR, Juazeiro); Associação Mãe Manuca;
Arrojado River Basin and surroundings (Bahia)	Associação de Advogados de Trabalhadores Rurais no Estado da Bahia (AATR)	10envolvimento; Movimento dos Atingidos por Barragens (MAB); Comissão Pastoral da Terra (CPT); Comissão Nacional de Desenvolvimento Sustentável dos Povos e Comunidades Tradicionais (CNPCT); Universidade Federal do Oeste Baiano (UFOB, Santa Maria)	EFA Padre André; Fecho de Gado Bravo (Carrerinha); Fecho do Clemente, Fecho do Capão do Modesto; Comunidade de Tabua da Serra; Comunidade Couro de Porco; Fecho de Brejo Verde, Fecho de Bonito, Comunidade de Silvânia; Comunidade Tatu.
Upper Jequitinhonha Valley (Minas Gerais)	Centro de Agricultura Alternativa Vicente Nica (CAV)	Emater; Aplante; Articulação do Semi-Árido (ASA); Universidade Federal de Minas Gerais (UFMG); Universidade Federal do Vale do Jequitinhonha e Mucuri (UFVJM); Instituto Federal do Norte de Minas Gerais (IFNMG)	Escola Família Agrícola de Veredinha; Comunidade de Grota do Porto; Comunidade de Campo Alegre; Comunidade de Buriti; Comunidade de Poço D'Água; Comunidade de José Silva; Comunidade de Campo Buriti; Comunidade de Gentio; Comunidade de Caquete; Comunidade de Macaúbas; Comunidade de Pindaíba; Comunidade Córrego do Tanque; Comunidade de Gameleira Ribeirão das Posses;
Sertão do Pajeú (Pernambuco)	Casa da Mulher do Nordeste (CMN)	Diaconia; Fórum de Mulheres do Pajeú; Articulação do Semi-Árido (ASA); Movimento da Mulher Trabalhadora Rural de Pernambuco (MMTR - PE); Federal Rural University of Pernambuco.	Comunidade de Grota do Porto; Comunidade do Retiro; Sindicato dos Trabalhadores Rurais; Grupo de Mulheres de Fortuna; Comunidade de Barreiras; Comunidade de Minadouro, Associação de Ingazeira

\*Several state government agencies were invited to participate in the consultations and did not attend, for various reasons. Nonetheless, it is expected that they will participate in the multi-stakeholder platforms once these are formally established.

This is a preliminary list and in order to ensure inclusive participation and consultation, additional stakeholders will be identified on an on-going basis, observing that it is in the best interests of the project to expand the stakeholder base to ensure dissemination of results and scaling-up.

In the Upper Jequitinhonha Landscape, strategic partner CAV supports a network of six communities (with their respective associations) working together with Emater (the state extension agency), the Municipal government, the rural workers' union and the NGO Aplante.

In the Upper Poti River Landscape, besides working with other NGOs, CBOs and agencies, the strategic partner CFM has an enhanced outreach due to its close relationship with the Thomas a Kempis Eco School, which receives students from 30 communities in the region and has an active parent association, along with close ties to the Rural Development Secretary of Piauí State, as well as smaller CBOs.

In the Sertão do Pajeú Landscape, the CMN participates in formal networks such as the Articulação do Semi-Árido (ASA Brasil), with extensive work in the Semi-Arid region, and the Pajeú Agroecology Network, as well as having strong links with the Network of Female Farmers of the Pajeú, the Pajeú River Basin Committee and municipal councils.

In the Arrojado Basin and Surroundings Landscape, the project will collaborate with strategic partner AATR and with a network council for a Critical Ecosystems Protection Fund (CEPF) project in the region

Following the establishment of the multi-stakeholder platform, a baseline assessment will be carried out as part of the design of a landscape strategy that will describe main socioenvironmental problems, identify desired landscape level outcomes, and define typologies of the grants and eligibility criteria. This exercise will be participatory in nature to ensure buy-in from local partners. This diagnosis will use the COMDEKS Initiative's resilience indicators, with some slight adaptations, based on ISPN's prior experience with COMDEKS in SGP-5. The methodology to be used in this diagnosis should incorporate a gender perspective, in such a way that distinct points of view (women, men, youth, racial and ethnic groups) should be made clearly visible.

**Strategic partners** in each landscape will receive a "strategic grant" to fund its activities in regard to organizing and promoting meetings of the multi-stakeholder platforms, with discussions, workshops and other events in which landscape-level planning is at the forefront, and including the development of the landscape strategy in each target landscape. They will have to undergo the process of responding to call to proposals by the NSC, and be reviewed as per the vetting process. They will also be responsible for monitoring and providing technical and administrative assistance to community organizations in their landscapes, to ensure that individual CBOs can monitor the impact of their activities, and support them to design project proposals and appropriate SMART indicators. Other activities led by the strategic partner are farmer-to-farmer exchanges, local or regional seed fairs and thematic workshops. In accordance with the diagnosis of the landscape strategy, the partner will also promote links with private enterprises to improve value chains for NTFPs and products of traditional agriculture or create new chains with eco-friendly small-scale community enterprises. As part of this exercise, the strategic partners will be responsible for upscaling activities at the landscape level by coordinating trainings, sharing lessons learned and feeding into municipal, state and NSC processes. These different activities and responsibilities on the part of the strategic partner in building stakeholder engagement throughout the project cycle and, where applicable, for related capacity-building to support this engagement, is planned in the budget for the strategic grants. All foreseen activities should be guided by a gender perspective, in such a way that women's groups, even those that are at an initial stage of organization, can be privileged among the organizations that make up the multi-stakeholder platforms.

Although the strategic partners in each landscape will be responsible for implementation and maintaining the operations of the multi-stakeholder platforms, ISPN will monitor this process to guarantee the regularity and timing of the engagement throughout the project cycle as well as timely reporting. To measure stakeholder engagement during project implementation, the key indicators considered will be the number of meetings held by the multi-stakeholder platforms, the extent of participation in terms of

number of institutions, organizations present and gender representation. A qualitative analysis will also be made of progress and issues that arise, as well as the effectiveness of dissemination of project information and results.

#### 4.3.4 Communication and dissemination of project results

While the multi-stakeholder platforms have a fundamental role in communicating project progress and results in accessible language to a variety of audiences, other forms of access to information are also necessary. In this regard, ISPN's website will be essential in ensuring free access to information about the project for various groups. For this, the website will have a tab specific to the project. The NSC, whose composition is made up of representatives from government, civil society and research institutes, will also leverage its own mechanisms of communication to ensure that audiences are being reached appropriately.

#### 4.4 Traditional Communities

Brazil has ratified the Indigenous and Tribal Peoples Convention of the International Labour Organization (Convention 169). As such, any involvement of indigenous and tribal peoples in the project must necessarily observe the principles of prior consultation, carried out in a form appropriate to their cultural circumstances, with the objective of providing for informed consent. In the case of the participation of indigenous people or quilombola (Maroon) communities in any of the project's activities, appropriate measures will be taken in terms of their providing adequate information in a culturally appropriate manner, respecting their modes of social organization. The PPG did not identify indigenous communities in the 4 target landscapes, but partner organizations indicated the presence of quilombo communities. It is essential to note that Brazil has its unique way of classifying indigenous communities. While indigenous people are not in these landscapes, *traditional* communities are. Moreover, indigenous communities will be impacted by the 30% of projects to be funded outside the target landscapes. These will be larger initiatives, that will impact populations beyond the target landscapes, with policy-level implications.

While the land rights of indigenous people and quilombola communities were recognized in Brazil's constitution in 1988, the rights of other traditional communities were only legally established in 2007, with the creation of the National Policy for Sustainable Development of Traditional Peoples and Communities (Decree nº 6.040/2007). As such, much needs to be done in terms of guaranteeing their rights. The project will actively work with regard to supporting the advocacy necessary to boost this recognition.

#### 4.5 Project Stakeholders: Roles in Project Implementation

ORGANIZATION/INSTITUTION	AREA OF WORK/Role in Project
<b>Upper Jequitinhonha Valley, Minas Gerais</b>	
Aplante	Save the Children, works with CAV will play a role in discussing sustainability issues and engagement of youth.
Articulação do Semi-Árido (ASA)	Network with extensive work with the Semi-Arid region, with around 1000 associated organizations. This will be a crucial network by which to glean and disseminate information

	and knowledge; it will play a role in identifying common concerns of the region.
Associations of communities, Fairs, and Artisans	Local associations, working with people that develop handicrafts. This network will be useful to support
Centro de Agricultura Alternativa Vicente Nica (CAV),	CAV supports local farmers and their families by encouraging alternative and sustainable farming practices. They will be playing a crucial role in disseminating techniques, and supporting proposal writing for smaller organizations.
Centro di Volontariato Internazionale (CeVI)	This organization provides international cooperation, will provide assistance on socioeconomic matters.
E-Changer /COMUNDO	This organization provides international cooperation and assistance, will provide assistance on social matters.
Emater-MG (Empresa de Assistência Técnica e Extensão Rural do Estado de Minas Gerais)	State agricultural extension agency with office in Turmalina; these will be liaised with to discuss various sustainable agricultural techniques.
Fundo Cristão/Child Fund Brasil	This organization provides international cooperation and assistance, and will provide advice on social matters.
Instituto Federal do Norte de Minas Gerais (IFNMG)	Federal Institute for high school and technical education, research and extension. These will be liaised with for knowledge on technical matters and trainings.
Manos Unidos	This organization provides international cooperation and assistance, and will provide advice on social matters.
Ministério Público (MP-MG)	Public Ministry (Attorney General)- Stakeholder on key legal issues.
Misereor	This organization provides international cooperation and assistance, and will provide advice on socioeconomic matters.
Municipal governments (Prefeitura) of Turmalina and Veredinha	Veredinha provides transportation for farmers to take their produce to the weekly fair. They will play a role when speaking on improved marketing and distribution for sustainably produced products.
Rede Cerrado	Network of more than 50 NGOs, works in defense of the Cerrado biome and its peoples.
Rural Schools of José Silva and Buriti	These schools will be useful on training issues and engaging youth.
Sindicato de Trabalhadores Rurais	Rural workers syndicate, advises on associations' and farmer documentation,

	supports farmers 'markets. This union will reflect interests/concerns/needs of farmers.
Universidade Federal de Minas Gerais (UFMG)	Federal University conducting Multidisciplinary study of impacts of eucalyptus. This will be a key partner to promote native rehabilitation and biodiversity.
Universidade Federal do Vale do Jequitinhonha e Mucuri (UFVJM)	Carries out research and extension in the region. Partner for knowledge sharing and training opportunities.
Universidade Federal de Viçosa (UFV)	Carries out research on sustainable charcoal production.
<b>Upper Poti River, Piauí Landscape</b>	
AGESPISA	This is the state water agency, and useful to liaise with with regard to improved access to water, and water resource management by small community groups.
Articulação do Semi-Árido (ASA Brasil)	Network with extensive work with the Semi-Arid region, with around 1000 associated organizations; useful for knowledge sharing, technical expertise sharing.
Associação Comunitária de Moradores Mãe Manuca	Community association in Milton Brandão municipality; will provide advice on socioeconomic matters.
Associação de mulheres organizadas – AMOR, Juazeiro do Piauí	Women's organization in Juazeiro do Piauí municipality; will highlight women's needs, interests and concerns.
Associações Comunitárias	Community associations; key stakeholders and beneficiaries to the Project.
Banco do Nordeste	Regional bank, supports agricultural activities. This will be a useful partner for supporting groups to make their sustainable activities more beneficial.
Centro de Formação Mandacaru,	NGO based in Dom Pedro II, Piauí working with education, agroecology and adaptation to the semiarid conditions of the Caatinga. They will provide technical expertise and trainings.
Centro Regional de Assessoria e Capacitação (CERAC)	Associated with ASA, works with rainwater cisterns and open-pollinated seeds.
Emater (Empresa de Assistência Técnica e Extensão Rural do Estado de Piauí)	State agricultural extension agency; information sharing on agro-ecology.
Fórum Piauiense de Convivência com o Semi-árido (FPCSA)	Network of 17 civil society organizations supporting adaptation to the semiarid conditions of the Caatinga region of Piauí; will share concerns/needs/ideas for landscape rehabilitation and resilience building.
Obra Kolping do Piauí	NGO based in Teresina, with work in 70 municipalities, including Dom Pedro II; can support knowledge dissemination

Piauí State Government	Support for the Program Seeds of the Semi-Arid, in partnership with ASA; liaison for upscaling best practices and lessons learned at the policy level.
Sindicatos de Trabalhadores Rurais de Pedro II e Milton Brandão (Rural Workers' Syndicate)	Support youth groups, advise on associations' and farmer documentation, support farmers' markets; will support project with youth and farmer interventions.
<b>Arrojado River Basin and Surroundings, Bahia Landscape</b>	

Associação de Advogados/as de Trabalhadores/as Rurais	Provides legal assistance with land rights; will ensure Project supports communal and indigenous lands rights.
Associações de Fecho de Pasto	Associations that are stewards of the communal pasture areas of Cerrado; will support project through knowledge sharing.
Comissão Pastoral da Terra (CPT)	Catholic Church commission that supports family farmers' land rights, based in Bom Jesus da Lapa and Santa Maria; ensuring support for farmers.
Escola Família Agrícola (EFA) Padre André (and its association)	Agricultural school affiliated with the Catholic Church; possibility of engaging youth and farmers.
Government of Bahia	State government that will be liaised with to feedback into policy process, share lessons learned and best practices.
Movimento dos Atingidos por Barragens (MAB)	Movement that works with communities affected by dams; will inform project of community risks and challenges.
Sindicatos de Trabalhadores Rurais de Santa Maria	Rural Workers' Syndicate in Santa Maria, more women involved; will inform project on how women can be engaged
Universidade Federal do Oeste da Bahia (UFOB)	Federal University of Western Bahia in Santa Maria de Correntina; provider of data,
Agência 10envolvimento	NGO based in Barreiras working with municipal councils and rural workers' associations, with ties to Diocese
<b>Sertão do Pajeú, Pernambuco</b>	

Articulação do Semi-Árido (ASA Brasil)	Network with extensive work with the Semi-Arid region, with around 1000 associated organizations.
Casa da Mulher do Nordeste	working with women's empowerment, agroecology and adaptation to the semiarid conditions of the Caatinga
Cecor – Centro de Educação Comunitária Rural	NGO working with human rights and civic participation in Serra Talhada, Pernambuco

Diaconia	Aid organization linked to Lutheran, Adventist and Presbyterian churches, can provide support on social issues, reaching communities.
Fórum de Mulheres do Pajeú	Forum that Works with women's empowerment and prevention of violence against women
Local community associations	Associations of rural communities which will be both stakeholders and beneficiaries.
Instituto Federal de Pernambuco	Federal Institute for high school and technical education, research and extension, potential partner for research on fruit processing
Movimento da Mulher Trabalhadora Rural de Pernambuco (MMTR - PE)	NGO that is part of the broader rural women agricultural workers of the Northeast (Movimento da Mulher Trabalhadora Rural do Nordeste - MMTR-NE)
Rede Pajeú de Agroecologia	Network of NGOs, rural workers' syndicates, agroecological associations, and research unit of the Rural Federal University of Pernambuco (UFRPE)
<b>National Government</b>	
Ministry of Agriculture, Livestock and Supply	Will provide support on issues related to farming, extension services and training. Will also provide an avenue through which best practices and lessons learned can be channelled up and shared.
Ministry of the Environment	Will provide support on environmental issues in particular loss of biodiversity, land degradation, climate change impacts.
Ministry of the Economy- Planning, Development and Management	Project will interact with the Ministry to feedback into development plans and to obtain support.
Ministry of Foreign Affairs	The project will be accompanied by Brazilian Cooperation Agency in line with its activities. It will form part of the international development project portfolio.
Ministry of Science, Technology, Innovation and Communication	The project will benefit from the scientific and technological inputs from the ministry and feedback into the ministry's knowledge base with new information on innovations, and piloted technologies.

#### 4.6 Gender equality and Women's Empowerment

The vulnerability of rural women to climate change impacts is linked to other social inequalities (race, ethnicity, class), their level of access to resources, and their capacity to cope with problems associated with climate change, reflected in such factors as their state of health and migration patterns (Adger, 1999). Women in rural areas of Brazil also face social, economic, and political barriers that hinder their capacity

for adaptation, as they tend to have limited access to effective and lasting programs that address social and environmental adversities. A complete Gender Action Plan and Analysis is in Annex 11.

In each one of the four landscapes, environmental problems have become more severe over the past 10 years, which has led to an intensification in women's workload, exacerbated by the fact that they normally act as the major caretakers for the most vulnerable segments of the population (children and elders), while facing deforestation, degradation of vegetation and soils, pollution by smoke from unsustainable charcoal production, contamination from heavy use of chemical fertilizers and scarcity of water sources. Gender inequality is acutely revealed in water resources management, conditions that are aggravated by erratic climate patterns in the Caatinga and Cerrado biomes. When water becomes more scarce, as it is shown to be in all four landscapes in the target area, women are the ones who must travel longer distances to look for water sources, carrying water in pots or cans for long distances, as they put their safety and health at risk, or as was reported, they must give up bathing or washing their clothing.

Other social and economic problems can be identified as severely affecting rural women in the target area such as:

- reduction of public policies aimed at small-scale agriculture, and difficulties in gaining access to many of them, due to organizational impediments;
- technical assistance services that are devoid of gender sensitive approaches and that tend to exclude female agricultural workers from technical, production oriented activities;
- rigid sanitary requirements that impede the commercialization of processed products, many of which are produced by female agricultural workers;
- a high level of food and nutritional insecurity partly due to the lack of diversification of crops in production systems, which could play a key role in combatting malnutrition and chronic-degenerative diseases.

At the same time, it is noteworthy that many of the community-based organizations in these four landscapes report innovations being introduced by rural women, when it comes to farming practices, land systems and the collection and use of non-timber forest products (NTFPs). Such indications show the potential of channeling women's knowledge and skills to guarantee the sustainable use of natural resources.

The SGP project will prioritize a thorough diagnosis of "gender gaps" within each of the 4 landscapes that constitute the target area, to be integrated in the landscape baseline studies. These will aim to identify social vulnerabilities experienced by women in each of the following thematic areas: (i) Access and control over resources and benefits; (ii) Forms of leadership and decision making processes; (iii) workload and division of tasks; (iv) state of "well-being" and health conditions.

The resulting gender gaps and their causes and consequences, will be integrated into the programming carried out by strategic partners and by CBO grantees. The multi-stakeholder platform, to be established in each landscape at this initial stage, will include existing women's organizations and provide a space where stakeholders can discuss ideas, strategies and report back on their progress. Strategic partners will support smaller CBOs to meet their gender M&E considerations included in the Gender Action Plan (see Annex 11).

Considerations from the Gender Action Plan should be fully incorporated in the landscape strategy that will be established by the multi-stakeholder group. CBOs will be supported by strategic partners to include gender considerations in small-scale project proposals—this will be an opportunity for both capacity building and learning-by doing, so that the gendered approach to proposal development and implementation is a learning exercise.



Implementing affirmative actions that ensure the autonomy of rural women -- both in terms of qualifying technical assistance, carrying out capacity building and investing in women's active participation in public policy spaces (councils and forums) -- is an essential step towards promoting greater gender equality in social relations. The gender action plan seeks to overcome signs of gender inequality and encourage women's empowerment within project outcomes in the following ways:

- gender-sensitive trainings with staff members and technical service providers in the target project areas so that they incorporate gender mainstreaming mechanisms in small-scale projects;
- training sessions held with rural women with a "learning by doing" approach for use and replication of energy efficient and renewable technologies;
- systematization of women's unique contributions to innovative environmental sustainability practices, to be upscaled by strategic partners and ISPN through their knowledge management work;
- creation of mechanisms for awareness raising, publications and audiovisual materials that incorporate a gender and racial/ ethnic focus;
- support for income-generating enterprises involving rural women, such as production and commercialization of a wide array of socio-biodiversity products (processed and "in natura"), imbued with rich nutritional value;
- support for short-circuit commercialization spaces and practices, where rural women tend to play a crucial role, such as agroecological markets;
- support for women's participation in political spaces, such as Territorial Commissions and Rural Development Committees, to further their engagement in designing and monitoring policies that promote access to land, credit, and technologies adapted to different landscapes from a gender perspective; and
- supporting exchanges among women's groups across various landscapes, for opportunities of sharing best practices.

#### **4.6 South-South and Triangular Cooperation (SSTrC)**

Learning opportunities and technology transfer from peer countries will be further explored during project implementation. To present opportunities for replication in other countries, the project will codify good practices and facilitate dissemination through ongoing South-South and global platforms, such as the UN South-South Galaxy knowledge sharing platform and PANORAMA<sup>15</sup>.

In addition, to bring the voice of women and small rural communities to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on agroecology, innovative renewable technologies, sustainable water use technologies, and restoring semi-arid landscapes. The project will furthermore provide opportunities for regional cooperation with countries that are implementing initiatives on small grants projects in geopolitical, social and environmental contexts relevant to the proposed project on biodiversity and climate change issues.

In addition, it will be useful for the Brazil SGP project to connect with various Upgraded Country Programmes to learn of their experiences, particularly in upscaling activities. The SGP Global programme will be sought as a resource through which global exchanges can be organized, tools and methodologies can be accessed, and lessons learned can be shared.

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<sup>15</sup> <https://panorama.solutions/en>

## 4.7 Innovativeness, Sustainability and Potential for Scaling Up

Multi-stakeholder platforms which bring different interests together for landscape strategy development, will be an innovative aspect of this project. In most of the project sites, there has not been this type of holistic planning exercised, one which includes government and private sector actors. Civil society has worked on its own issues without there being an organized mechanism around which various stakeholders consult.

The promotion of the COMDEKS approach, where it has not been implemented yet, will support a changing perspective in how natural resources are viewed, and the ways in which participatory community engagement can support their governance. Because there are some successful pilots, there are opportunities for other landscapes to innovate and bring this holistic development planning to their own activities and plans.

The project will further support local enterprises that wish to expand or upscale their sustainable practices and products. One of the proposed innovations is to increase a digital presence of handicraft producers, the majority of whom are women, so that they may access larger markets, without the added costs of setting up shops. This is a way by accessing different customers, creating linkages to supply bigger stores in Sao Paulo or Rio de Janeiro with their goods. Many also want to establish ways of receiving payment electronically and add credit card machines for ease of transactions.

The project will also test out gender inclusion tools and methodologies to increase female participation in projects. One way of doing this will be to capacitate the strategic partners in each landscape, which can then support smaller organizations in applying for grants and developing proposals, all the while folding gender considerations into the design.

The project will also partner with schools as well as with youth organizations to increase youth involvement in project activities. One of the major concerns is youth exodus in search of jobs in cities, a clear reflection of their lack of motivation to involve themselves more fully in productive activities within the rural sector. The project will seek innovative, cultural and social methods, to increase youth interest in the natural environment that surrounds them, and to find activities that they can participate in to promote sustainability. Part of this is also to increase environmental programming at the schooling level to highlight the kinds of sustainable jobs and opportunities that can exist in the region.

Water has been identified as an extreme need. The project will pilot cisterns, water harvesting techniques, the building of small tanks and reservoirs, greywater systems and support revegetation of watersheds to help improve infiltration and maintenance of soil moisture. Soil and water conservation practices pioneered in SGP-05 such as small dams and terraces showed very positive results and acceptance and can be applied in new areas and landscapes.

In the Cerrado biome, integrated fire management with controlled burns is an up and coming topic, as there is now the realization that in savanna environments, the zero fire policies of the past have only worsened the impacts of fires on natural resources and ecosystems. Involving communities with traditional knowledge of burning is an important and fundamental step for fire management and will be a critical contribution of the project towards landscape-level planning.

### 4.7.1 Sustainability

The SGP Country Programme, through the landscape approach, seeks to foster sustainability in the long-term through the following means:

- **Promoting the learning-by-doing approach:** CSOs/CBOs and NGOs put their work into practice with supervision from ISPN. This allows them to test practices, achieve results and develop

capacities in implementing their work. Through learning-by-doing they are able to build capacities that can be utilized in the long-run, especially in regard to adaptive management. This pedagogical approach also facilitates the participation and empowerment of local community groups, as can be shown in the methodology adopted for implementing technologies in which by participating directly in the process of their construction, traditionally seen as “a male” trade, women learn to replicate them on a local and regional level.

- **Knowledge management systems in place:** This phase of the project will formalize best practices and lessons learned to develop training modules from successful interventions, develop case studies, promote peer-to-peer learning for knowledge-sharing purposes. Knowledge-sharing with a wide variety of stakeholders will increase chances that sustainable practices will be replicated.
- **Promoting the livelihoods approach:** The project recognizes that there will be little uptake of sustainable practices unless and until beneficiaries can see socio-economic benefits as a result. For that reason, the SGP is anchored in principles to enhance livelihoods whether it is through demonstrations, trainings, alternative livelihood opportunities or access to markets and loans. As such, the project will support initiatives that seek to increase the economic viability of communities, such as the biodiversity-friendly enterprises.
- **Multi-stakeholder policy platforms:** The SGP will inform the policy environment of its successes and ventures in increasing sustainable practices. By including national government representatives and the private sector, information analyzed initially from a gender perspective, can be up-scaled to a national level and may inform higher-level decision-making. The sustainability of the SGP Country Programme beyond this project’s life will depend on how the principles, processes and benefits of landscape management and planning approaches, including a gender focus, have been interwoven and mainstreamed into the development and governance framework, plans and processes of government at the local, state, and national levels.
- **Including local-level practitioners:** The SGP is grounded on action at the local level. This means that it is working directly with farmers and technicians to contribute to their processes of innovation and action. Instead of working at a higher level, the day-to-day interventions are focused on the actual work that requires transformative changes. There are higher chances for sustainability if the project can directly influence, impact and provide demonstrations on the ground.
- **Trainings and concrete capacity building:** The project will promote capacity building activities that respond to the specific need of local communities and certain sub-groups (women, youth). Some of these include participatory mapping and land use planning; monitoring of natural resources and ecosystems; agroecological practices; biodiversity-friendly transformation of raw materials; enhancing marketing of sustainably-produced products; identifying GMO (genetically modified organisms)-alternatives; measuring for results, through a gendered lens.

#### 4.7.2 Upscaling

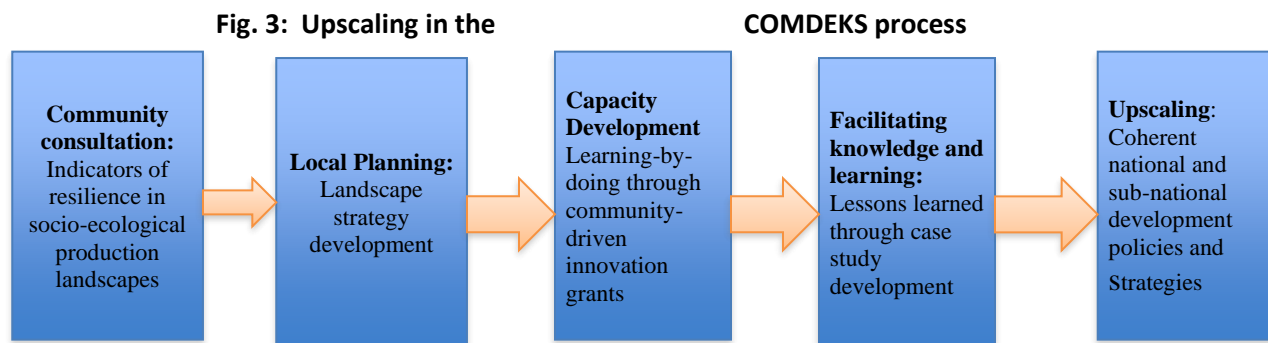
Project funding has been set aside for four “strategic projects”, in line with SGP’s operational guidelines. Besides guaranteeing the operation of the multi-stakeholder platforms, the strategic projects aim to bring broader adoption of specific successful SGP-supported technologies, practices or systems to a tipping point in each landscape through engagement of potential financial partners, policy makers and their national/subnational advisors and institutions, as well as the private sector. These projects will be defined in the first year of implementation, as feasible. Case studies highlighting the process, obstacles to and opportunities for upscaling through the strategic projects will be produced with the costs of external experts and participatory analysis workshops incorporated into each strategic project’s budget.

The project will also upscale any lessons learned on gender inclusion in landscape strategy-making, effective methodologies for multi-stakeholder collaborations as well as successful initiatives in attracting

youth and engaging them in landscape resilience. Technical and practical achievements in landscape rehabilitation and agroecology will be shared with neighboring communities/landscapes and upscaled to appropriate ministries to influence the policy environment. These lessons learned will also share and highlight the particular needs, demands and abilities of traditional communities to address environmental challenges, thereby displaying and accounting for the cultural diversity in the landscapes and in strategies for addressing sustainability.

The composition of the SGP National Steering Committee (see Section on Governance and Management Arrangements) is also diverse and includes people with access to larger networks whether in the government, civil society or academic institutions. These members can act as conduits for carrying information upstream.

The project will also apply the COMDEKS process. This process, depicted in the figure below, highlights how the iterative and adaptive management process leads to up-scaling over the long-term:



#### 4.8 Risk Management

As per standard UNDP requirements, the Country Programme Manager/Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP Risk Register; Risks will be reported as critical when impact and probability are high. Management responses to critical risks will also be reported to the GEF in the annual PIR. The complete SESP is in Annex 13.

## V. Project Results Framework

<b><i>This project will contribute to the following Sustainable Development Goal (s): 1, 2, 3, 5, 6, 7, 10, 11, 13, 15</i></b>				
<b><i>This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD): Outcome 3. 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.</i></b>				
	<b><i>Objective and Outcome Indicators (no more than a total of 21 indicators)</i></b>	<b><i>Baseline Must be determined during PPG phase</i></b>	<b><i>Mid-term Target Expected level of progress before MTR process starts</i></b>	<b><i>End of Project Target Expected level when terminal evaluation undertaken</i></b>
<b><i>Project Objective:</i></b>  <i>To build social, economic, and ecological landscape resilience in the Cerrado and Caatinga biomes through community-based activities for global environmental benefits and sustainable rural development</i>	<b><i>Mandatory Indicator 1: # direct project beneficiaries disaggregated by gender (individual people)</i></b>	<i>There were 64,200 beneficiaries (including indirect) under SGP-05,</i>	<i>6,000;  at least 3,000 of which are women</i>	<i>12,000;  at least 6,000 of which are women</i>
	<b><i>Mandatory Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people)</i></b>	<i>There were 64,200 beneficiaries (including indirect) under SGP-05.</i>	<i>10,000;  at least 5,000 of which are women</i>	<i>20,000;  At least 10,000 of which are women</i>

	<b><u>Mandatory GEF Core Indicators::</u></b>			
	<b>Mandatory Indicator 3: Area of land restored (hectares) - Corresponding to GEF Core Indicator 3.</b>	1,000 hectares of land were restored under SGP 5	800 hectares	2,000 hectares
	<b>Mandatory Indicator 4: Area of landscapes under improved practices (hectares; excluding protected areas).</b>	952,600 hectares under improved practices were noted under SGP-05. However, it is worth noting that any activities taken in Indigenous Reserves in SGP-05, took into account the whole, large, area of the reserve, due to its tenure arrangements. These were in different regions than the landscapes selected in this project.	80,000 hectares <sup>16</sup>	200,000 hectares
	<b>Mandatory Indicator 5: Greenhouse Gas Emissions Mitigated (million metric tons of CO2e)</b>	Direct: 72,000 ton CO2e; Indirect: 15,521,269 ton CO2e	Direct: 11,367 ton CO2e, Indirect: 486,752 ton CO2e	Direct: 45,467 ton CO2e; Indirect: 1,216,876 ton CO2e

<sup>16</sup> 30% of the grants will be in the larger Cerrado and Caatinga biomes, beyond the selected landscapes, for purposes of connectivity and to upscale activities. Some of these interventions will be in Indigenous territory, however the methodology for calculating the hectares covered will be different from SGP-05 which took the area of entire communal areas into account.

<b>Project Component 1</b>	<i>Resilient landscapes for sustainable development and global environmental protection</i>			
<b>Project Outcome 1.1</b> <i>1.1 Ecosystem services within Cerrado and Caatinga biomes, are enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities.</i>	<i>Indicator 6: Number of community associations participating in strengthening ecosystem services within the Cerrado and Caatinga (of which 40% have women in leadership positions)</i>	<i>97 community associations participated in strengthening ecosystem services under SGP-05</i>	<i>40</i>	<i>65</i>
	<i>Indicator 7: Percentage of women with improved participation and decision-making in national resource governance</i>	<i>Unknown</i>	<i>20 % of total beneficiaries</i>	<i>50% of total beneficiaries</i>
<b>Outputs to achieve Outcome 1</b>	<b>1.1. Community-level small grants that restore degraded landscapes, improve connectivity, support innovation regarding biodiversity conservation and optimization of ecosystem services, including sustainable use of biodiversity; recovery of native vegetation; integrated fire management; etc.</b>			

<b>Outcome 1.2</b>  1.2 The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices.	Indicator 8: Number of households (disaggregated by female-led or male-led) adopting sustainable practices (agroforestry, intercropping, harvesting of native species, mulching)	4,616 households recorded under SGP-05 (figures were not disaggregated by male-led and female-led households)	2,000	4,900
<b>Outputs to achieve Outcome 2</b>	<b>1.2.1 Targeted community projects enhancing the sustainability and resilience of production systems, including soil and water conservation practices, silvopastoral and agroforestry systems, increased on-farm arboreal coverage, conservation of agrobiodiversity; agro-ecological practices and cropping systems.</b>			
<b>Outcome 1.3</b>  1.3 Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.	Indicator 9: Number of small-scale community enterprises with improved market access (at least 50% of which benefit women)	20 small-scale community enterprises had improved market access under SGP-05	5	10
	Indicator 10: Number of families reporting improved income from small-scale community enterprises	This indicator was not evaluated under SGP-05, however it was noted that 5,000 families were generating some income under SGP-05.	40	At least 90
	Indicator 11: Number of women benefitting from economic benefits and services from SGP projects	Unknown	At least 100	At least 300



<b>Outputs to achieve Outcome 3</b>	<b>1.3.1 Targeted community projects promoting sustainable livelihoods, green businesses and market access, including socio-biodiversity products, beekeeping; green value-added agro-businesses integrated into value chains, micro-processing</b>			
<b>Outcome 1.4</b> Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level.	Indicator 12: Number of community organizations piloting or adopting renewable and energy efficient technologies by technology type	1	5	At least 10
<b>Outputs to achieve Outcome 1.4</b>	<b>1.4.1 Targeted community projects implementing energy efficient technologies in each landscape, including biogas, fuel-efficient stoves, etc.</b>			
<b>Project component 2</b>	Landscape governance and adaptive management for upscaling and replication			
<b>Outcome 2.1</b> Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological resilience	Indicator 13: Number of landscape-based multi-stakeholder platforms established and operational	0	4	4
	Indicator 14: Number of women-led community organizations participating in multi-stakeholder platforms	0	12	15
	Indicator 15: Number of landscape strategies produced through a multi-sectoral process	1 strategy was developed under SGP-05 but it was not produced through a	4 in process	4

		<i>multi-stakeholder process</i>		
<b>Outputs to achieve Outcome 2.1</b>	<p><b>2.1.1 A multi-stakeholder governance platform in each target landscape develops and monitors landscape level agreements; promotes advocacy for the territorial rights of traditional communities, family farmers and women agricultural workers; value-chain development strategies for NTFP and agroecological products; adaptive landscape management plans and policies, including enhanced community participation in river basin commissions and other relevant forums.</b></p> <p><b>2.1.2 A landscape strategy developed by the corresponding multi-stakeholder platform for each target landscape to enhance socio-ecological resilience through community grant projects.</b></p>			
<b>Outcome 2.2</b> <i>Mainstreaming and upscaling the contribution of local communities to landscape resilience, conservation and connectivity</i>	<i>Indicator 16: Number of landscape case studies including gender results</i>	0 Previous landscape studies under SGP-05 did not include gender results which is why the baseline is 0.	0	4
	<i>Indicator 17: Number of cross-landscape peer-to-peer capacity building exercises (involving at least 50% women)</i>	0	5	10
	<i>Indicator 18: Number of Communications Strategy including a Knowledge Management component</i>	0`	1	1
<b>Outputs to achieve Outcome 2.2</b>	<p><b>2.2.1 Knowledge from project innovation experience is shared for replication and upscaling across the landscapes, across the country, and to the global SGP network.</b></p> <p><b>2.2.2 Four Strategic initiatives are supported to upscale successful SGP project experience and practice</b></p>			

Table 5- Outputs and Activities

<b>Component 1: Resilient landscapes for sustainable development and global environmental protection</b>	
<b>Outcome 1.1 Ecosystem services within Cerrado and Caatinga biomes, are enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities.</b>	
<b>Outputs</b>	<b>Activities</b>
<b>1.1.1 Community-level small grants that restore degraded landscapes, improve connectivity, support innovation regarding biodiversity conservation and optimization of ecosystem services, including sustainable use of biodiversity; recovery of native vegetation; integrated fire management; etc.</b>	<p>1.1.1.1 Restoration of native vegetation, including riparian forests. This will be especially relevant for supporting 'vereda' wetlands, riverbanks and natural springs which are under pressure from encroaching commercial activities.</p> <p>1.1.1.2 Establishing local fire management plans to manage widespread forest fires and degradation of productive lands.</p> <p>1.1.1.3 Capacity building/training initiatives for engaging women and youth in landscape resilience activities. This will also address the growing challenge of youth exodus and lack of opportunities for including youth in planning.</p> <p>1.1.1.4 Disseminating best practices on sustainable use of biodiversity.</p>
<b>Outcome 1.2 The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices.</b>	
<b>1.2.1 Targeted community projects enhancing the sustainability and resilience of production systems, including soil and water conservation practices, silvopastoral and agroforestry systems, increased on-farm arboreal coverage, conservation of agrobiodiversity; agro-ecological practices and cropping systems.</b>	<p>1.2.1.1 Increasing rainwater harvesting, cisterns, and other water technologies that can address water shortages.</p> <p>1.2.1.2 Applying land management practices which promote diversification and agroforestry</p> <p>1.2.1.3 Conserving local crop varieties through Seedbanks</p> <p>1.2.1.4 Establishing protein and fodder banks for livestock</p> <p>1.2.1.5 Intercropping, mulching, and composting, erosion control through contouring and terracing of slopes in degraded areas</p>
<b>Outcome 1.3 Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.</b>	

<p><b>1.3.1 Targeted community projects promoting sustainable livelihoods, green businesses and market access, including socio-biodiversity products, beekeeping; green value-added agro-businesses integrated into value chains, micro-processing</b></p>	<p>1.3.1.1 Upscaling artisanal/handicraft products—increasing access to buyers through digital means</p> <p>1.3.1.2 Beekeeping—increasing access to certification</p> <p>1.3.1.3 Supporting manioc and sugarcane processing capabilities</p> <p>1.3.1.4 Supporting green business to meet compliance standards accreditation/labelling</p> <p>1.3.1.5 Supporting associations in establishing cooperatives and accessing revolving credit</p> <p>1.3.1.6 Building relationships with supermarkets and schools to sell fruits and agricultural goods</p> <p>1.3.1.7 Harvesting non-timber products</p> <p>1.3.1.8 Supporting packaging/marketing, quality control</p> <p>1.3.1.9 Providing capacity-building for developing management skills for entrepreneurs</p>
<p><b>Outcome 1.4- Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level.</b></p>	
<p><b>1.4.1 Targeted community projects implementing energy efficient technologies in each landscape, including biogas, fuel-efficient stoves, etc.</b></p>	<p>1.4.1.1 Piloting bio-digesters</p> <p>1.4.1.2 Promoting use of fuel-efficient stoves</p> <p>1.4.1.3 Piloting solar energy applications</p> <p>1.4.1.4 Piloting graywater technologies</p>
<p><b>Component 2 Landscape governance and adaptive management for upscaling and replication</b></p>	
<p><b>Outcome 2.1 Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological resilience</b></p>	
<p><b>2.1.1 A multi-stakeholder governance platform in each target landscape develops and monitors landscape level agreements; promotes advocacy for the territorial rights of traditional communities, family farmers and women agricultural workers; value-chain development strategies for NTFP and agroecological products; adaptive landscape management plans and policies, including enhanced community participation in river basin commissions and other relevant forums.</b></p>	<p>2.1.1.1 Establish a representative multi-stakeholder platform in each landscape that includes participation of women, private sector partners, local governments, local community organizations and interests.</p> <p>2.1.1.2 Facilitate platforms for regular meetings, reporting, incentivizing participation. To ensure participation of women, considerations should be taken into account, such as the scheduled meeting</p>

	times and how this may conflict with women's labour or household/childcare responsibilities; location, and whether this poses risks to women; as well as the need to provide childcare services of some sort.
<b>2.1.2 A landscape strategy developed by the corresponding multi-stakeholder platform for each target landscape to enhance socio-ecological resilience through community grant projects.</b>	<p>2.1.2.1 Identify landscape-level priorities in accordance with different visions of the stakeholders, and specifically including the perspectives of women and youth</p> <p>2.1.2.2 Clarify roles and responsibilities of various stakeholders in contributing to landscape resilience;</p> <p>2.1.2.3 Establish timelines for activities.</p> <p>2.1.2.4 Plan and carry out "baseline assessment" in each landscape against which results can be measured.</p> <p>2.1.2.5 Include gender considerations in the baseline assessment</p>
<b>Outcome 2.2 Mainstreaming and upscaling the contribution of local communities to landscape resilience, conservation and connectivity</b>	
<b>2.2.1 Knowledge from project innovation experience is shared for replication and upscaling across the landscapes, across the country, and to the global SGP network.</b>	<p>2.2.1.1 Videos, documents, pamphlets, training materials prepared for appropriate audiences</p> <p>2.2.1.2 Policy-relevant recommendations are developed</p> <p>2.2.1.3 Partnerships with universities and research institutes are sought to upscale innovations</p>
<b>2.2.2 Four Strategic initiatives are supported to upscale successful SGP project experience and practice</b>	<p>2.2.2.1 Design a Communications Strategy which has specific approaches to reaching different audiences and which includes a Knowledge Management component.</p> <p>2.2.2.2 Support institutions that assist local-level associations in strengthening their organizational capacities, administrative practices, gender-responsive approaches and sensitivity to gender, racial and ethnic inequalities, ability to leverage funds, and upscale their sustainable practices.</p> <p>2.2.2.3 Support environmental management plans for communally managed resources.</p>

	2.2.2.4 Upscale and increase visibility of sustainable products
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## VI. Monitoring and Evaluation (M&E) Plan

The project results, corresponding indicators and mid-term and end-of-project targets in the results framework will be monitored annually and evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. The Monitoring Plan included in Annex 3 details the roles, responsibilities, frequency of monitoring project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements.

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the [GEF Monitoring Policy](#) and the [GEF Evaluation Policy](#) and other [relevant GEF policies](#)<sup>17</sup>. The costed M&E plan included below, and the Monitoring plan in Annex, will guide the GEF-specific M&E activities to be undertaken by this project.

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.

### **Additional GEF monitoring and reporting requirements:**

**Inception Workshop and Report:** A project inception workshop will be held within 60 days of project CEO endorsement, with the aim to:

- a) Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
- b) Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
- c) Review the results framework and monitoring plan.
- d) 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 (Operational Focal Point) and other stakeholders in project-level M&E.
- e) Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
- f) Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
- g) Plan and schedule Project Board meetings and finalize the first-year annual work plan.

<sup>17</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

h) Formally launch the Project.

GEF Project Implementation Report (PIR):

The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR. The PIR submitted to the GEF will be shared with the Project Board. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

GEF Core Indicators:

The GEF Core indicators included as Annex 8 will be used to monitor global environmental benefits with a gender focus (through disaggregated data) and will be updated for reporting to the GEF prior to MTR and TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent ground-truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF [website](#).

Independent Mid-term Review (MTR):

The terms of reference, the review process and the final 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 \(ERC\)](#).

The evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired by UNDP evaluation specialists to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the consultants should not be in a position where there may be the possibility of future contracts regarding the project under review.

The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate.

The final MTR report and MTR TOR will be publicly available in English and will be posted on the UNDP ERC by March 2023. A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report's completion.

Terminal Evaluation (TE):

An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. 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](#).

The evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired by UNDP evaluation specialists to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the consultants should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate.

The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by (March, 2025). A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

#### Final Report:

The project's terminal GEF 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.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: 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 Policy and the GEF policy on public involvement.

*Table 4- Monitoring and Evaluation Budget*

<b>Monitoring and Evaluation Plan and Budget:</b> This M&E plan and budget provides a breakdown of costs for M&E activities to be led by the Project Management Unit during project implementation. The oversight and participation of the UNDP Country Office/Regional technical advisors/HQ Units is not included as it is covered by the GEF Fee. These costs are included in the Results Framework and TBWP.		
<b>GEF M&amp;E requirements</b>	<b>Indicative costs (US\$)</b>	<b>Time frame</b>
<b>Inception Workshop</b>	10,230	Within 60 days of CEO endorsement of this project.
<b>Inception Report</b>	None	Within 90 days of CEO endorsement of this project.
<b>M&amp;E of GEF core indicators and project results framework</b>	31,000	Annually and at mid-point and closure
<b>GEF Project Implementation Report (PIR)</b>	None	Annually typically between June-August
<b>Monitoring of stakeholder engagement plan</b>	10,000	On-going.



**Monitoring and Evaluation Plan and Budget:**

This M&E plan and budget provides a breakdown of costs for M&E activities to be led by the Project Management Unit during project implementation. The oversight and participation of the UNDP Country Office/Regional technical advisors/HQ Units is not included as it is covered by the GEF Fee. These costs are included in the Results Framework and TBWP.

GEF M&E requirements	Indicative costs (US\$)	Time frame
Monitoring of gender action plan	10,000	On-going.
Supervision missions	None	Annually
Environmental and Social Management Framework	7,000	Preparation at Inception, monitoring ongoing
Contract evaluator to conduct Independent Mid-term Review (MTR)	30,000	March 2023
Contract evaluator to conduct Independent Terminal Evaluation (TE)	45,000	September 2025
<b>TOTAL indicative COST</b>	<b>143,230</b>	

## VII. Governance and Management Arrangements

### 7.1 Roles and responsibilities of the project's governance mechanism

**Implementing Partner:** The Implementing Partner for this project is Instituto Sociedade População e Natureza – ISPN.

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. 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 and generated by the project supports national systems.
- Sign grant agreements with grantees;
- Risk management as outlined in this Project Document;
- Procurement of goods and services, including human resources;
- Financial management, including overseeing financial expenditures against project budgets;
- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

**Project beneficiary Groups** - CBOs, CSOs and NGOs in the target landscapes: These stakeholders, with support of state institutions – principally ABC– as well as, technical assistance from the SGP, will design and implement the projects to generate global environmental benefits and community livelihood benefits.

**UNDP:** UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is responsible for the Project Assurance role of the Project Board/SGP National Steering Committee.

#### Project stakeholders and target groups:

The main stakeholders of the Project are:

**Local Communities, groups and associations:** These include local communities from the Caatinga and Cerrado areas in the four landscapes, which will design and implement projects under the SGP guidelines. GEF-SGP partners include associations, cooperatives, community-based organizations, syndicates and NGOs that represent or assist local communities that comprise CSOs representative of indigenous peoples, quilombolas and traditional communities, as well as rural women. The four key organizations that will support the implementation of this project include:

- Centro de Formação Mandacaru (CFM) in the Upper Poti River Basin, Piauí Landscape
- Centro de Agricultura Alternativa Vicente Nica (CAV) in the Upper Jequitinhonha Valley, Minas Gerais Landscape
- Casa da Mulher do Nordeste (CMN) in the Sertão do Pajeú, Pernambuco Landscape
- Associação de Advogados/as de Trabalhadores/as Rurais (AATR) in the Arrojado River Basin, Bahia Landscape

The Cerrado Network (Rede Cerrado) and the Semi-Arid Articulation (ASA) networks are also key stakeholders as they represent the interests of CBOs and NGOs in the landscapes. They also play a role in the NSC and disseminate information and lessons learned on GEF-SGP throughout their networks. The Cerrado Central is also an important network that supports the marketing and promotion of Cerrado and Caatinga products. Cerrado Central itself is a product of SGP Brazil work, and was formalized as a cooperative in 2010. It will be used as a mechanism to share sustainably produced products being able to access formal markets and new possibilities of financial support.

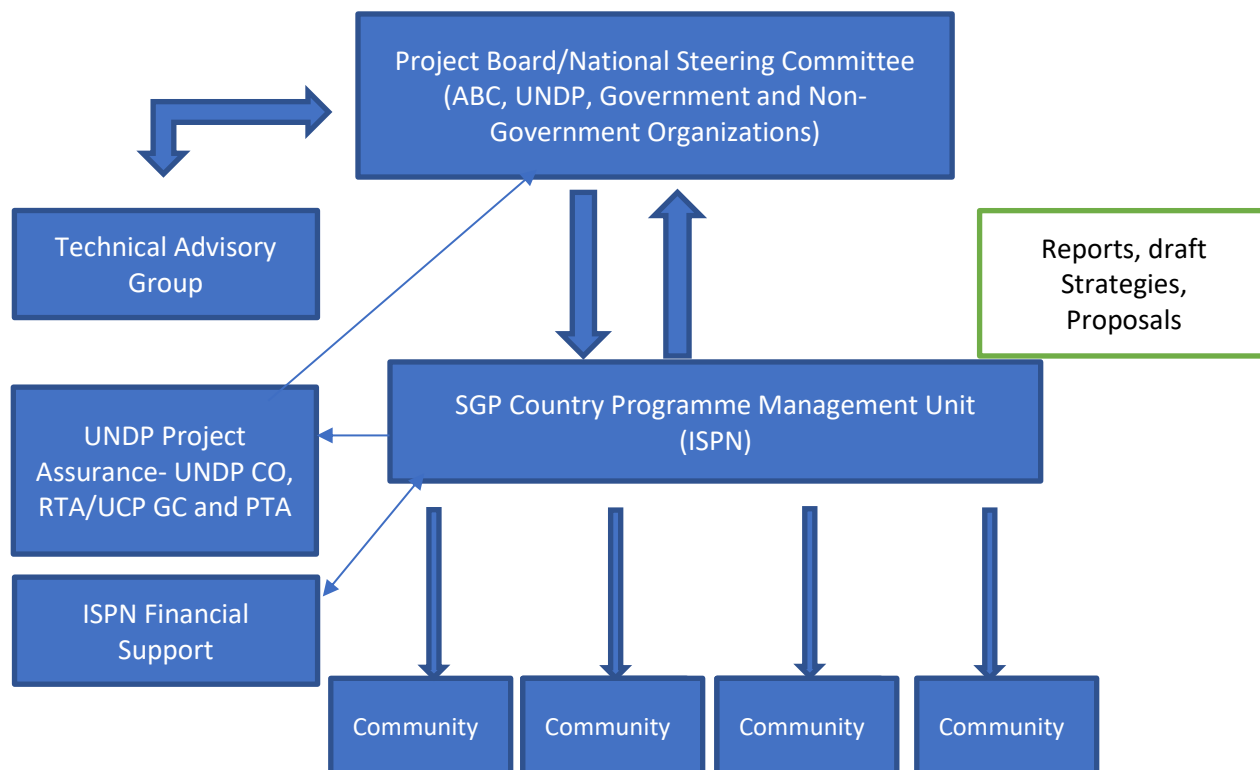
**Government-** National, state and local governments will play a key role in supporting the implementation of the project and helping to achieve the landscape strategies. The main government agencies include:

- Ministry of Environment (MMA)
- Ministry of Science, Technology, Information and Communication (MCTIC)
- Ministry of Economy (ME)
- Brazilian Agency of Cooperation (ABC)

**Universities and Research Institutes-** University of Brasília plays a key role in knowledge management activities, sharing of best practices and lessons learned. It is also active on the NSC. Others include:

- Federal University of Minas Gerais (UFMG) in Montes Claros
- Federal University of Jequitinhonha and Mucuri Valley (UFJVM) in Diamantina, Minas Gerais state
- University of Serra Talhada
- Federal University of Western Bahia (UFOB)
- Federal Rural University of Pernambuco

**Figure 2: Project organisation structure:**



**The diagram above shows the project organizational structure (Figure 2).** The roles and responsibilities of the various parties to the project are described in the SGP Operational Guidelines (See Annex 13).

**Project Board:** The Project Board (also called SGP National Steering Committee) is responsible for taking corrective action as needed to ensure the project achieves the desired results. 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 for money, fairness, integrity, transparency and effective international competition. Establishment and operations of SGP National Steering Committees are carried out in accordance with the SGP Operational Guidelines.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

Specific responsibilities of the Project Board (SGP National Steering Committee) include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager (also called SGP National Coordinator);

- Provide guidance on new project risks, and agree on possible mitigation and management actions to address specific risks;
- Agree on project manager's tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded;
- Advise on major and minor amendments to the project within the parameters set by UNDP-GEF;
- Ensure coordination between various donor and government-funded projects and programmes;
- Ensure coordination with various government agencies and their participation in project activities;
- Track and monitor co-financing for this project;
- Review the project progress, assess performance, and appraise the Annual Work Plan for the following year;
- Appraise the annual project implementation report, including the quality assessment rating report;
- Review combined delivery reports prior to certification by the implementing partner;
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project;
- Provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Address project-level grievances;
- Approve the project Inception Report, Mid-term Review and Terminal Evaluation reports and corresponding management responses;
- Review the final project report package during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**Project Assurance:** UNDP performs the quality assurance role and supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. UNDP provides a three – tier oversight services involving the UNDP Country Offices and UNDP at regional and headquarters levels. Project assurance is totally independent of project execution.

**Project extensions:** The UNDP Resident Representatives and the BPPS/GEF Executive Coordinator must approve all project extensions. All extensions incur costs, and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis only if the following conditions are met: one extension only for a project for a maximum of six months; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC (Project management costs) costs will be covered by non-GEF resources; the UNDP Country Office oversight costs during the extension period must be covered by non-GEF resources.

**UNDP** will provide overall Programme oversight and take responsibility for standard GEF project cycle management services beyond assistance and oversight of project design and negotiation, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF. UNDP will also provide high level technical and managerial support from the UNDP GEF Global Coordinator for the SGP Upgrading Country Programmes, who is responsible for project oversight for all SGP Upgraded Country

Programme projects<sup>18</sup>. The SGP Central Programme Management Team (CPMT) will monitor Upgraded Country Programmes for compliance with GEF SGP core policies and procedures.

In accordance with the global **SGP Operational Guidelines (Annex 13)** that will guide overall project implementation in Brazil, and in keeping with past best practice, the UNDP Resident Representative will appoint the **National Steering Committee (NSC)** members, with recommendation from the NSC. The NSC, composed of government and non-government organizations with a non-government majority, a UNDP representative, and individuals with expertise in the GEF Focal Areas, is responsible for grant selection and approval and for determining the overall strategy of the SGP in the country. NSC members serve without remuneration and rotate periodically in accordance with its rules of procedure. The Government is usually represented by the GEF Operational Focal Point or by another high-level representative of relevant ministries or institutions. The NSC assesses the performance of the National Coordinator with input from the UNDP RR, and the SGP UCP Global Coordinator. The NSC also contributes to bridging community-level experiences with national policymaking.

**Technical Advisory Group (TAG)** In accordance with the global SGP Operational Guidelines, the NSC may also establish a Technical Advisory Group (TAG) with a pool of voluntary experts on call to serve as a technical sub-committee, for review of proposals and in relation to specific areas of programming and partnership development. The TAG can also be tasked by the NSC to provide specific technical guidance in specialised areas of work, such as carbon measurement, payments for ecosystem services, marketing and certification of products, transboundary diagnostic analysis, and other relevant fields. In addition, the TAG may also be formed in response to donor and co-financing requirements mobilised for the SGP country programme. The TAG will provide technical guidance with regards to project selection and the quality of project proposals, prior to final review and approval by the NSC. In such cases, minutes from TAG meetings will be a pre-requisite and fully report on the review process and recommendations made to the NSC. In certain cases, and depending on the area of technical specialization required, the NSC may decide to invite other organisations or individual experts to assist in project review.

The UNDP **Country Office** is the business unit in UNDP for the SGP project and is responsible for ensuring the project meets its objective and delivers on its targets. The Country Office will make available its expertise in various environment and development fields as shown below. It will also provide other types of support at the local level such as infrastructure and financial management services, as required. UNDP will be represented in the NSC and will actively participate in grant monitoring activities. The CO will participate in NSC meetings, promoting synergies with other relevant Programmes, and support the design and implementation of the SGP strategy, among other things.

The **Country Programme team** composed of a National Coordinator and a Programme Assistant, appointed by the Implementing Partner. This person from ISPN will be different from the one sitting on the NSC. The Country Programme Team is responsible for the day-to-day operations of the Programme. This includes supporting NSC strategic work and grant selection by developing technical papers, undertaking ex-ante technical reviews of project proposals; taking responsibility for monitoring the grant portfolio and for providing technical assistance to grantees during project design and implementation; mobilizing cash and in-kind resources; preparing reports for UNDP, GEF and other donors; implementing a capacity development Programme for communities, CBOs and NGOs, as well as a communications and knowledge management strategy to ensure adequate visibility of GEF investments, and disseminating

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<sup>18</sup> GEF/C.54/05/Rev.01 *GEF Small Grants Programme: Implementation Arrangements for GEF-7*, approved by GEF Council.

good practices and lessons learnt. Please see TORs for the members of the Country Programme Team annexed to this document (Annex 7).

**Grants** will be selected by the NSC from proposals submitted by CBOs and NGOs through calls for proposals in specific thematic and geographic areas relevant to the SGP Country Programme strategy, as embodied in this document. Although government organizations cannot receive SGP grants, every effort will be made to coordinate grant implementation with relevant line ministries, decentralized institutions, universities and local government authorities to ensure their support, create opportunities for co-financing, and provide feedback on policy implementation on the ground. Contributions from and cooperation with the private sector will also be sought.

## VIII. Financial Planning and Management

The total cost of the project is USD 14,826,210. This is financed through a GEF grant of USD 4,481,210 and USD \$10,345,000 in other co-financing. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Confirmed 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. Co-financing will be used for the following project activities/outputs:

**Table 5- Co-Financing Sources**

Co-financing source	Co-financing type	Co-financing amount	Planned Co-financing Activities/Outputs	Risks	Risk Mitigation Measures
ISPN (Amazon Fund through Brazilian Development Bank; Cerrado Landscape Management through WWF and EU)	Cash	4,045,000	Recurrent costs of the institutional offices in the intervention area (including staff salaries, office logistics support, vehicle provision, among others). Additionally, a part-time technical assistant will also be financed from co-financing for bookkeeping accounting. Training services for community organizations executing projects, specific studies or other technical services, liaising with research institutes, identifying and collecting best practices. Accompanying civil society organizations in implementation	Insufficient costs for personnel/office space	This risk is very low. ISPN has been a long-term implementing partner and is known to manage a lean budget and execute effectively according to previous terminal evaluations
Centro de Trabalho Indigenista (CTI)- Indigenous Territorial	Cash	2,000,000	Costs on trainings, demonstrations, advocacy, indigenous issues sensitization	Project runs into financial/political challenges	Both the partner and the funder (USAID) are experienced in managing large-

Management Project/USAID					scale projects. It is not expected that the project funds will be mismanaged or decreased.
Brazilian Agriculture Research Corporation (EMBRAPA)	In-kind	1,000,000	Research, agricultural science, focus on Cerrado agriculture	State-owned corporation, may have other priorities	There is good partnership between the SGP implementing partner and Embrapa and a desire to leverage research and support pilots and innovations.
National Steering Committee on behalf of Community Organizations	In-kind  Cash	2,150,000  750,000	Direct Project co-financing in community participation in small grant projects implementation. SGP Brazil will commit to no less than 1:1 co-financing to GEF funding at portfolio level to support community initiatives. The CSOs portion of PMC cofinancing will cover the management costs of small grant execution.	Men and women from communities in target area are unwilling to participate in grant proposal and selection	SGP and institutional partners will actively promote participation of CBOs and CSOs. in all project activities.
UNDP	In-kind	400,000	Supporting project activities such as midterm and final evaluations, providing advice and guidance on best practices, supporting accountability and oversight, improving and supporting stakeholder relations.	Staff occupied by other GEF projects.	Corporate commitment has been made by UNDP to support implementation; staff time and resources have been allocated to this.

**Budget Revision and Tolerance:** As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan 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 Country Office will seek the approval of the UNDP-GEF team to ensure accurate reporting to the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

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).



Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. all costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

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. **Operational closure must happen with 3 months of posting the TE report to the UNDP ERC.** 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.

Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file. The transfer should be done before Project management Unit (team) complete their assignments.

Financial completion (closure): 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).

The project will be financially completed **within 6 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.

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Directorate in New York. No action is required at CO level on the actual refund from UNDP project to the GEF Trustee.

## IX. Total Budget and Work Plan

Total Budget and Work Plan				
Atlas Award ID:	00127140	Atlas Output Project ID:	00121074	
Atlas Proposal or Award Title:	BRA/20/G31 - 7th Phase Small Grants Programme in Brazil			
Atlas Business Unit	BRA 10			
Atlas Primary Output Project Title	BRA/20/G31-PIMS 6278 7SGP			
UNDP-GEF PIMS No.	6278			
Implementing Partner	ISPN			

Atlas Activity (GEF Component)	Atlas Implementing Agent	Atlas Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Account Description	Amount 2020	Amount 2021	Amount 2022	Amount 2023	Amount 2024	Total (USD)	Budget Note
						(USD)	(USD)	(USD)	(USD)	(USD)		
<b>Component 1.</b> <i>Resilient landscapes for sustainable development and global environmental protection</i>	ISPN	62000	GEF	71400	Service Contracts-Individuals	46,132.00	46,132.00	46,132.00	46,132.00	46,132.00	230,660	1
				71300	Local Consultants	13,478.00	-	13,478.00	-	13,478.00	40,434	2
				71600	Travel	21,544.00	21,544.00	21,542.00	21,544.00	35,794.00	121,968	3
				72600	Grants	-	648,814.00	678,817.00	678,816.00	155,250.00	2,161,697	4
				74200	Audiovisual and Print Production Costs	4,996.00	10,000.00	10,000.00	10,000.00	15,000.00	49,996	5
				75700	Trainings, Workshops and Conferences	27,328.00	22,328.00	22,328.00	22,328.00	27,328.00	121,640	6
					<b>Total Component 1</b>	<b>113,478.00</b>	<b>748,818.00</b>	<b>792,297.00</b>	<b>778,820.00</b>	<b>292,982.00</b>	2,726,395	
<b>Component 2.</b>	ISPN	62000	GEF	71400	Service Contracts-Individuals	50,930.00	50,930.00	50,930.00	50,930.00	50,930.00	254,650	7

Landscap e governan ce and adaptive managem ent for upscaling and replicatio n				71300	Local Consultants	14,580.00	14,580.00	14,580.00	14,580.00	14,580.00	72,900	8
				71600	Travel	21,544.00	16,544.00	16,544.00	16,544.00	20,790.00	91,966	9
				72600	Grants	-	220,000.00	230,000.00	230,000.00	111,559.00	791,559	10
				74200	Audiovisual and Print Production Costs	14,995.00	15,000.00	15,000.00	15,000.00	20,000.00	79,995	11
				75700	Trainings, Workshops and Conferences	23,977.00	18,977.00	18,977.00	18,977.00	28,977.00	109,885	12
					Total Component 2	126,026.00	336,031.00	346,031.00	346,031.00	246,836.00	1,400,955	
Monitorin g & Evaluatio n (M&E)	ISP	62000	GEF	71200	International Consultants	-	-	30,000.00	-	45,000.00	75,000	13
				71300	Local Consultants	0	0	0	6,000.00	6,500.00	12,500	14
				71600	Travel	0	0	10,000.00	0	11,500.00	21,500	15
				75700	Trainings, Workshops and Conferences	10,230.00	0	0	0	0	10,230	16
				71400	Service Contracts- Individuals	4,800.00	4,800.00	4,800.00	4,800.00	4,800.00	24,000	17
Total M&E						15,030.00	4,800.00	44,800.00	10,800.00	67,800.00	143,230	
Project Managem ent	ISP	62000	GEF	71400	Service Contracts- Individuals	22,326.00	22,326.00	22,326.00	22,326.00	22,326.00	111,630	18
				73400	Rental + Maintenance of other equipment	3,000.00	3,000.00	3,000.00	3,000.00	3,000.00	15,000	19
				72400	Communication & Audio Visual Equipment	600.00	600.00	600.00	600.00	600.00	3,000	20
				72800	Information Technology Equipment	1,280.00	1,280.00	1,280.00	1,280.00	1,280.00	6,400	21
				74100	Professional Services	4,800.00	4,800.00	4,800.00	4,800.00	4,800.00	24,000	22
				73100	Rental & Maintenance	10,120.00	10,120.00	10,120.00	10,120.00	10,120.00	50,600	23

					Total Project Management	42,126.00	42,126.00	42,126.00	42,126.00	42,126.00	210,630	
PROJECT TOTAL						296,660.00	1,131,775.00	1,225,254.00	1,177,777.00	649,744.00	4,481,210	

**Summary of Funds:**

		Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Total
	GEF grant	296,660	1,131,775	1,225,254	1,177,777	649,744	4,481,210
	ISPN (Amazon Fund through Brazilian Development Bank; Cerrado Landscape Management through WWF and EU)	900,000	815,000	815,000	815,000	700,000	4,045,000
	Centro de Trabalho Indigenista (CTI)-Indigenous Territorial Management Project/USAID	425,000	425,000	425,000	425,000	300,000	2,000,000
	National Steering Committee on behalf of Community Organizations	637,500	637,500	637,500	637,500	350,000	2,900,000
	EMBRAPA	200,000	200,000	200,000	200,000	200,000	1,000,000
	UNDP	0	100,000	100,000	100,000	100,000	400,000
	Total	2,459,160	3,309,275	3,402,754	3,355,277	2,299,744	14,826,210

## Budget Notes:

Budget Note	Budget Note Explanation
0	5% of each project line will be allocated to the Implementing Partner (ISPN) for management costs.
1	Personnel - <b>Country Programme Manager</b> : Provides technical inputs, conducts monitoring, evaluation and auditing of grantee projects, provides technical assistance to grantees, reports on project progress and results; convenes stakeholders, reports to NSC, upscales policy-relevant data/information, manages Project Management Unit; ensures that project meets targets and is adaptive; reviews financial reports and budget revisions. <b>Country Programme Manager Salary dedicated to Component 1 totals USD 44,000 (Total Country Programme Manager project cost is USD 223,630).</b> There will be 2 Technical Assistants as personnel for this project. They will be focal points for different grants/projects, and will support in providing technical advice, support knowledge management and documentation, produce products and revise documents, support upscaling of project findings and lessons learned into policy-relevant knowledge, they will identify tools and strategies that can be replicated by other CSOs/CBOs and support the Project Manager. <b>Technical Assistant 1 salary cost dedicated to Component 1 totals USD 59,302 over 5 years (Total Technical Assistant 1 project cost is USD 118,605).</b> <b>Technical Assistant 2 salary cost dedicated to Component 1 totals USD 83,722 (Total Technical Assistant 2 project cost is USD 167,445).</b> The totals for Technical Assistants differ due to years spent at ISPN, level of experience, and numbers of grantees they will be supporting. <b>Communications Officer</b> : will share best practices, lessons learned, leverage partnerships among different CSOs; salary cost dedicated to Component 1 is USD 43,636 over 5 years (Total Communications Officer Project cost is 111,260).
2	Short-term local consultancies are foreseen: (1) measuring socioeconomic indicators (output: assessment on change on income on project beneficiaries, supporting them to monitor and account for these changes), (2) conducting gender trainings (output: training materials), and (3) providing strategic agriculture (what to grow, where, under what conditions, what sustainable inputs to use) and forestry advice (what to plant, where, best techniques for success). <b>The cost of each consultancy is approximately USD 13,478. USD 40,434 is the total cost of local consultants allocated to Component 1.</b>
3	Travel to landscapes for monitoring, oversight, guidance, trainings and demonstrations. These costs include terrestrial tickets, freight costs, travel insurance, airfare, per diems, fuel, and health insurance.
4	Financial resources for CBO/NGO grants to fulfill outcomes under Component 1. Grants to CBOs and NGOs make up 66% of the total project budget. Component 1 accounts for 73% of total grants. It is anticipated that 70-75 grants will be awarded, including 4 Strategic Grants (one per landscape). The final number and recipients of the grants will be finalized through an application and approval process established and reviewed by the National Steering Committee. Recipients will include community organizations, NGOs, CSOs, women's associations, indigenous groups, farmer organizations. "The selection and implementation of all grants above will be done in compliance with UNDP's Policy and Operational Guidance on Low-Value Grants. All grants will be granted in accordance to UNDP Rules and Regulations on Low-Value Grants". <b>The amount of grants allocated to Component 1 equal USD 2,161,697.</b>
5	Audio visual and printing costs for booklets, videos, instructional guides to share knowledge, experience and trainings.
6	Trainings, workshops and conferences to disseminate trainings, host experts, offer peer-training exercises in four landscapes on sustainable agricultural productions. Costs include travel of small CBOs to demonstration and meeting sites.
7	Personnel - <b>Country Programme Manager</b> salary cost dedicated to Component 2 and facilitating multi-stakeholder mechanisms, landscape strategies, developing policy-relevant lessons learned is USD 44,000 (total project Country Programme Manager costs are USD 223,630). <b>Technical Assistant 1</b> salary costs dedicated to Component 2 are USD 59,303 (total Technical Assistant 1 project costs are 118,605); and <b>Technical Assistant 2</b> salary costs dedicated to Component 2 are USD 83,723 (total Technical Assistant 2 salary costs are USD 167,445). <b>Communications Officer</b> to upscale lessons learned, share knowledge and best practices, salary costs dedicated to Component 2 is USD 67,624 (total project cost for Communications Officer is 111,260).
8	Short-term consultancies Tasks will include (1) Institutional Strengthening for CBOs and (2) Support for Landscape Strategy Development; (3) Safeguards Consultant to conduct the Environmental and Social Management Framework at Inception, to review changing risks and adapt or update mitigation strategies, Consultancy 1 and 2 will be about USD 6,590 (USD 32,960 each over 5 years). Consultancy 3 will be for an estimated total of USD 7,000. <b>The total amount allocated for consultancies under Component 2 is USD 72,900.</b>
9	Travel to landscapes for monitoring, oversight, guidance, trainings and demonstrations. These costs include terrestrial tickets, freight costs, travel insurance, airfare, per diems, fuel, and health insurance.
10	Financial resources for CBO/NGO grants to fulfill outcomes under Component 2. Grants to CBOs and NGOs make up 66% of the total project budget. Component 2 accounts for 27% of total grants. It is anticipated that 70-75 grants will be awarded, including 4 Strategic Grants (one per landscape). The final number and recipients of the grants will be finalized through an application and approval process established and reviewed by the National Steering Committee. Recipients will include community organizations, NGOs, CSOs, women's associations, indigenous groups, farmer organizations.

	"The selection and implementation of all grants above will be done in compliance with UNDP's Policy and Operational Guidance on Low-Value Grants. All grants will be granted in accordance to UNDP Rules and Regulations on Low-Value Grants". The total amount allocated for grants under Component 2 is USD 791,559.
11	Audio visual and printing costs for booklets, videos, instructional guides to share knowledge, experience and trainings.
12	Trainings, workshops and conferences to disseminate trainings, host experts, offer peer-training exercises in four landscapes on sustainable agricultural productions. Costs include travel of small CBOs to demonstration and meeting sites.
13	Two international consultants to carry out the Midterm and Terminal Evaluations. The costs are USD 30,000 for the Midterm evaluation and USD 45,000.
14	One short-term consultancy for monitoring measuring carbon emissions against indicators for USD 12,500.
15	Travel to landscapes for mid-term and terminal evaluations and core indicators, to attend the Inception workshop; to UCP workshop and for monitoring of gender action plan and stakeholder engagement plan; costs include terrestrial tickets, flight costs, travel insurance, airfare, per diems, fuel, and health insurance.
16	Inception workshop
17	Country Programme Manager salary costs dedicated to Monitoring and Evaluation is USD 24,000.
18	Country Programme Manager salary costs dedicated to PMC is USD 111,630.
19	Rental of car aggregate cost for four years is Brazilian Reals 90,000 (approximately USD 17,700), fuel, vehicle insurance, phones, phone plans, computers, printers
20	Communication & Audio Visual Equipment for phones, phone plans, internet connections (particularly during COVID-19) at USD 3,000
21	Information Technology Equipment) for computers, printers, software, GIS mapping tools which amount to USD 6,400.
22	Contract to external auditing firm for annual financial audits
23	Rental & Maintenance-The rent per month for premises is USD 1590, of which USD 50,600 will be financed by the GEF and USD 44,800 by Co-financing.

## **X. Legal Context**

In Brazil, UNDP has its activities governed by the Basic Agreement on Technical Assistance (BATA) that grounds the delivery of technical cooperation by the United Nations in Brazil. The BATA was signed on December 29th, 1964 between the Government of the Federative Republic of Brazil, the United Nations Organization and its Specialized Agencies. It was approved through the Legislative Decree # 11, of 1966, and enacted by Decree # 59308, of September 23th, 1966.

The work of the UNDP in Brazil is also governed by the UN Convention on Privileges and Immunities, adopted by the UN General Assembly on February 13th, 1946, approved by the Legislative Decree # 4 of February 13th, 1948, ratified with no remarks by the Government of the Federative Republic of Brazil on December 15th, 1949, and enacted by Decree # 27784, of February 16th, 1950. This multilateral convention provides for the privileges and immunities granted to the UN offices in the respective countries.

Nothing in or relating to this Project document shall be deemed a waiver, express, or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as “the Project Document”.

This project will be implemented by Instituto Sociedade População e Natureza – ISPN (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or 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. Risk Management**

1. Consistent with the Basic Agreement on Technical Assistance (BATA), 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.
2. 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<sup>19</sup>.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no 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](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
- (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
- (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.
5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will, and will require that such sub-parties will take all appropriate measures to:
- i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

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<sup>19</sup> Use bracketed text only when IP is an NGO/IGO



- ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4, have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and such sub-parties may use the training material available at UNDP;
- iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
- iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
- v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

- 6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
- 7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
- 8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
- 9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using the UNDP funds. The Implementing Partner will ensure that its financial

management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP programmes and projects in accordance with UNDP regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
12. The Implementing Partner will promptly inform UNDP in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with the Implementing Partner, responsible parties, subcontractors and sub-recipients.

14. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in

connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management Standard Clauses” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

## **XII. Annexes**

- Annex 1- GEF Total Budget
- Annex 2- Project Map (attached)
- Annex 3- Multi-year Workplan
- Annex 4- Monitoring Plan
- Annex 5- Social and Environmental Screening Template
- Annex 6- UNDP Risk Register
- Annex 7 (a)- Overview of Technical Consultancies
- Annex 7 (b)- Terms of Reference
- Annex 8- Stakeholder Engagement Plan
- Annex 9 – GEF Core Indicators
- Annex 10- Taxonomy
- Annex 11- Landscape Profiles (attached)
- Annex 12- Gender Analysis and Gender Action Plan
  - 12.a Gender Analysis
  - 12.b. Gender Action Plan
- Annex 13- Climate Mitigation Report
- Annex 14- SGP Operational Guidelines
- Annex 15- Co-Financing Letters (attached)
- Annex 16- Validation Workshop Report (attached)
- Annex 17-Partners Capacity Assessment Tool and HACT assessment (attached)

## Annex 1- GEF Total Budget

Expenditure Category	Detailed Description	Component (USDeq.)					Total (USDeq.)	Responsible Entity
		Component 1	Component 2	Sub-Total	M&E	PMC		(Executing Entity receiving funds from the GEF Agency)[1]
		Sub-component 1.1	Sub-component 2.1					
Goods	Rental of car aggregate cost for four years is Brazilian Reals 90,000 (approximately USD 17,700), fuel, vehicle insurance, phones, phone plans, computers, printers			-		15,000	15,000	ISPN
Goods	Communication & Audio Visual Equipment for phones, phone plans, internet connections (particularly during COVID-19) at USD 3,000			-		3,000	3,000	ISPN
Goods	Information Technology Equipment) for computers, printers, software, GIS mapping tools which amount to USD 6,400.			-		6,400	6,400	ISPN

Grants	<p>Financial resources for CBO/NGO grants to fulfill outcomes under Component 1. Grants to CBOs and NGOs make up 66% of the total project budget. Component 1 accounts for 73% of total grants. It is anticipated that 70-75 grants will be awarded, including 4 Strategic Grants (one per landscape). The final number and recipients of the grants will be finalized through an application and approval process established and reviewed by the National Steering Committee. Recipients will include community organizations, NGOs, CSOs, women's associations, indigenous groups, farmer organizations.</p> <p>"The selection and implementation of all grants above will be done in compliance with UNDP's Policy and Operational Guidance on Low-Value Grants. All grants will be granted in accordance to UNDP Rules and Regulations on Low-Value Grants". The amount of grants allocated to Component 1 equal USD 2,161,697</p>	2,161,697		2,161,697			2,161,697	ISPN
Grants	<p>Financial resources for CBO/NGO grants to fulfill outcomes under Component 2. Grants to CBOs and NGOs make up 66% of the total project budget. Component 2 accounts for 27% of total grants. It is anticipated that 70-75 grants will be awarded, including 4 Strategic Grants (one per landscape). The final number and recipients of the grants will be finalized through an application and approval process established and reviewed by the National Steering Committee. Recipients will include community organizations, NGOs, CSOs, women's associations, indigenous groups, farmer organizations.</p> <p>"The selection and implementation of all grants above will be done in compliance with UNDP's Policy and Operational Guidance on Low-Value Grants. All grants will be granted in accordance to UNDP Rules and Regulations on Low-Value Grants". The total amount allocated for grants under Component 2 is USD 791,559.</p>		791,559	791,559			791,559	ISPN

<p><b>Contractual Services – Individual</b></p>	<p>Personnel - Country Programme Manager: Provides technical inputs, conducts monitoring, evaluation and auditing of grantee projects, provides technical assistance to grantees, reports on project progress and results; convenes stakeholders, reports to NSC, upscales policy-relevant data/information, manages Project Management Unit; ensures that project meets targets and is adaptive; reviews financial reports and budget revisions. Country Programme Manager Salary dedicated to Component 1 totals USD 44,000 (Total Country Programme Manager project cost is USD 223,630).</p> <p>There will be 2 Technical Assistants as personnel for this project. They will be focal points for different grants/projects, and will support in providing technical advice, support knowledge management and documentation, produce products and revise documents, support upscaling of project findings and lessons learned into policy-relevant knowledge, they will identify tools and strategies that can be replicated by other CSOs/CBOs and support the Project Manager. Technical Assistant 1 salary cost dedicated to Component 1 totals USD 59,302 over 5 years (Total Technical Assistant 1 project cost is USD 118,605). Technical Assistant 2 salary cost dedicated to Component 1 totals USD 83,722 (Total Technical Assistant 2 project cost is USD 167,445). The totals for Technical Assistants differ due to years spent at ISPN, level of experience, and numbers of grantees they will be supporting. Communications Officer: will share best practices, lessons learned, leverage partnerships among different CSOs; salary cost dedicated to Component 1 is USD 43,636 over 5 years (Total Communications Officer Project cost is 111,260).</p>	<p>230,660</p>		<p>230,660</p>			<p>230,660</p>	<p>ISPN</p>
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<b>Contractual Services – Individual</b>	Personnel - Country Programme Manager salary cost dedicated to Component 2 and facilitating multi-stakeholder mechanisms, landscape strategies, developing policy-relevant lessons learned is USD 44,000 (total project Country Programme Manager costs are USD 223,630). Technical Assistant 1 salary costs dedicated to Component 2 are USD 59,303 (total Technical Assistant 1 project costs are 118,605); and Technical Assistant 2 salary costs dedicated to Component 2 are USD 83,723 (total Technical Assistant 2 salary costs are USD 167,445). Communications Officer to upscale lessons learned, share knowledge and best practices, salary costs dedicated to Component 2 is USD 67,624 (total project cost for Communications Officer is 111,260).		254,650	254,650			254,650	ISPN
<b>Contractual Services – Individual</b>	Country Programme Manager salary costs dedicated to Monitoring and Evaluation is USD 24,000			-	24,000		24,000	ISPN
<b>Contractual Services – Individual</b>	Country Programme Manager salary costs dedicated to PMC is USD 111,630.			-		111,630	111,630	ISPN
<b>International Consultants</b>	Two international consultants to carry out the Midterm and Terminal Evaluations. The costs are USD 30,000 for the Midterm evaluation and USD 45,000.			-	75,000		75,000	ISPN
<b>Local Consultants</b>	Short-term local consultancies are foreseen: (1) measuring socioeconomic indicators (output: assessment on change on income on project beneficiaries, supporting them to monitor and account for these changes), (2) conducting gender trainings (output: training materials), and (3) providing strategic agriculture (what to grow, where, under what conditions, what sustainable inputs to use) and forestry advice (what to plant, where, best techniques for success). The cost of each consultancy is approximately USD 13,478. USD 40,434 is the total cost of local consultants allocated to Component 1.	40,434		40,434			40,434	ISPN



<b>Local Consultants</b>	Short-term consultancies Tasks will include (1) Institutional Strengthening for CBOs and (2) Support for Landscape Strategy Development; (3) Safeguards Consultant to conduct the Environmental and Social Management Framework at Inception, to review changing risks and adapt or update mitigation strategies, Consultancy 1 and 2 will be about USD 6,590 (USD 32,960 each over 5 years). Consultancy 3 will be for an estimated total of USD 7,000. The total amount allocated for consultancies under Component 2 is USD 72,900.		72,900	72,900			72,900	ISPN
<b>Local Consultants</b>	One short-term consultancy for monitoring measuring carbon emissions against indicators for USD 12,500			-	12,500		12,500	ISPN
<b>Trainings, Workshops, Meetings</b>	Trainings, workshops and conferences to disseminate trainings, host experts, offer peer-training exercises in four landscapes on sustainable agricultural productions. Costs include travel of small CBOs to demonstration and meeting sites.	121,640		121,640			121,640	ISPN
<b>Trainings, Workshops, Meetings</b>	Trainings, workshops and conferences to disseminate trainings, host experts, offer peer-training exercises in four landscapes on sustainable agricultural productions. Costs include travel of small CBOs to demonstration and meeting sites.		109,885	109,885			109,885	ISPN
<b>Trainings, Workshops, Meetings</b>	Inception workshop			-	10,230		10,230	ISPN
<b>Travel</b>	Travel to landscapes for monitoring, oversight, guidance, trainings and demonstrations. These costs include terrestrial tickets, freight costs, travel insurance, airfare, per diems, fuel, and health insurance	121,968		121,968			121,968	ISPN
<b>Travel</b>	Travel to landscapes for monitoring, oversight, guidance, trainings and demonstrations. These costs include terrestrial tickets, freight costs, travel insurance, airfare, per diems, fuel, and health insurance.		91,966	91,966			91,966	ISPN

<b>Travel</b>	Travel to landscapes for mid-term and terminal evaluations and core indicators, to attend the Inception workshop; to UCP workshop and for monitoring of gender action plan and stakeholder engagement plan; costs include terrestrial tickets, flight costs, travel insurance, airfare, per diems, fuel, and health insurance.			-	21,500		21,500	ISPN
<b>Other Operating Costs</b>	Audio visual and printing costs for booklets, videos, instructional guides to share knowledge, experience and trainings.	49,996		49,996			49,996	ISPN
<b>Other Operating Costs</b>	Audio visual and printing costs for booklets, videos, instructional guides to share knowledge, experience and trainings		79,995	79,995			79,995	ISPN
<b>Other Operating Costs</b>	Contract to external auditing firm for annual financial audits			-		24,000	24,000	ISPN
<b>Other Operating Costs</b>	Rental & Maintenance-The rent per month for premises is USD 1590, of which USD 50,600 will be financed by the GEF and USD 44,800 by Co-financing.			-		50,600	50,600	ISPN
<b>Grand Total</b>		2,726,395	1,400,955	4,127,350	143,230	210,630	4,481,210	

## Annex 2- Project Map (attached)

Additional maps with different perspectives of landscapes are also attached in Annex 10.

## Annex 3- Multi-year Workplan

Outcomes	Outputs	Activities	Year 1				Year 2				Year 3				Year 4				Year 5			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	<b>1.1.1 Community-level small grants that restore degraded landscapes, improve connectivity, support innovation regarding biodiversity</b>	Restoration of native vegetation, including riparian forests. This will be especially relevant for supporting 'vereda' wetlands, riverbanks and natural springs which are under pressure from																				

	<i>conservation and optimization of ecosystem services, including sustainable use of biodiversity; recovery of native vegetation; integrated fire management; etc.</i>	encroaching commercial activities.																			
		Establishing local fire management plans to manage widespread forest fires and degradation of productive lands.																			
		Capacity building/training initiatives for engaging women and youth in landscape resilience activities. This will also address the growing challenge of youth exodus and lack of opportunities for including youth in planning.																			
		Disseminating best practices on sustainable use of biodiversity.																			
	<b>Output 1.2.1 Targeted community projects enhancing the</b>	Increasing rainwater harvesting, cisterns, and other water technologies that can address water shortages.																			



	including socio-biodiversity products, beekeeping; green value-added agro-businesses integrated into value chains, micro-processing.	Manioc and sugarcane processing capabilities																				
		Supporting green business to meet compliance standards accreditation/labelling																				
		Supporting associations in establishing cooperatives and accessing revolving credit																				
		Building relationships with supermarkets and schools to sell fruits and agricultural goods Harvesting non-timber products																				
		Supporting packaging/marketing, quality control																				
		Providing capacity-building for developing management skills for entrepreneurs																				

[illegible]

	<b><i>NTPF and agroecological products; adaptive landscape management plans and policies, including enhanced community participation in river basin commissions and other relevant forums.</i></b>																			
	<b><i>2.1.2 A landscape strategy developed by the corresponding multi-stakeholder platform for each target landscape to enhance socio-ecological resilience through community grant projects.</i></b>	Identify landscape-level priorities in accordance with different visions of the stakeholders, and specifically including the perspectives of women and youth																		
		Clarify roles and responsibilities of various stakeholders in contributing to landscape resilience;																		
		Establish timelines for activities.																		
		Plan and carry out “baseline assessment” in each landscape																		

		against which results can be measured.																		
	<b>2.2.2 Four Strategic initiatives are supported to upscale successful SGP project experience and practice</b>	Design a Communications Strategy which has specific approaches to reaching different audiences and which includes a Knowledge Management component.																		
		Support institutions that assist local-level associations in strengthening their organizational capacities, administrative practices, gender-responsive approaches and sensitivity to gender, racial and ethnic inequalities, ability to leverage funds, and upscale their sustainable practices.																		
		Support environmental management plans for communally managed resources.																		



		Upscale and increase visibility of sustainable products																				

#### Annex 4- Monitoring Plan

<i>Indicators</i>	<i>Targets</i>	<i>Description of indicators and targets</i>	<i>Data source/Collection Methods</i>	<i>Frequency of reviewing achievements against indicators</i>	<i>Responsible for data collection</i>	<i>Means of verification</i>	<i>Risks/Assumptions</i>
<b>Indicator 1</b> Number of direct project beneficiaries disaggregated by gender (individual people)	Final: 12,000	Number of beneficiaries that directly benefit from project interventions socioeconomically, environmentally, socially, developmental, and/or organizationally ways.	Surveys, interviews, project reports, site visits	Annually  Reported in DO tab of the GEF PIR	Project Management Unit	Reports and site visits	It may be difficult to have exact number of beneficiaries as grantees may have different ways of measuring/monitoring results. NSC should ensure that there is an adequate monitoring plan in each grant application, which is relatively consistent so data can be consolidated. Strategic partners will be key in generating this information on the ground.
<b>Indicator 2</b> Number of indirect	Final: 20,000	Number of beneficiaries that indirectly benefit from	Project reports, site visits	Annually	Project Management Unit	Site visits	The final number may be much larger given the

<b>Indicators</b>	<b>Targets</b>	<b>Description of indicators and targets</b>	<b>Data source/Collection Methods</b>	<b>Frequency of reviewing achievements against indicators</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Risks/Assumptions</b>
<i>project beneficiaries disaggregated by gender (individual people)</i>		<i>project interventions socioeconomically, environmentally, socially, developmentally, and/or organizationally.</i>					<i>implications of building landscape resilience and may be challenging to monitor. Individual grantees will be requested to elaborate how they intend to account for indirect beneficiaries.</i>
<b>Indicator 3</b> <i>Area of land restored (hectares)</i>	<i>Final: 2,000</i>	<i>Area restored with indigenous and resilient plants/tree species, reforestation, riparian reforestation</i>	<i>Project reports, site visits; expenditures of seedlings/labour</i>	<i>Annually</i>	<i>Project Management Unit and individual grantees</i>	<i>GPS coordinates; drone imagery, site visits</i>	<i>Project management unit and strategic partners will be diligent in using GPS coordinates to monitor areas restored. Individual grantees will have to maintain effective communication with the strategic partners and PMU so that areas are properly monitored and accounted for. One risk is that</i>

<b>Indicators</b>	<b>Targets</b>	<b>Description of indicators and targets</b>	<b>Data source/Collection Methods</b>	<b>Frequency of reviewing achievements against indicators</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Risks/Assumptions</b>
							restoration activities can be long-term before results are seen and can be highly vulnerable to and droughts.
<b>Indicator 4</b> Core Indicator 4 Area of landscapes under improved practices (hectares; excluding protected areas).	Final: 200,000 ha	This includes area of land that is under improved agricultural/agroforestry production practices.	Site visits, trainings, grantee reports	Annually	Project Management Unit	Site visits, interviews, reports	Grantees will be asked to document areas where sustainable agricultural measures are put in place. It may take time for agricultural production to flourish. PMU will monitor what kind of agricultural production is carried out where in collaboration with strategic partners.
<b>Indicator 5-Mandatory</b> Indicator 5: Greenhouse Gas Emissions Mitigated	Direct: 45,467 metric tons of CO <sub>2</sub> e  Indirect: 1,216,876 metric tons of CO <sub>2</sub> e	Emissions mitigated considering SGP- 7 lifetime. Direct climate change mitigation benefits considered are restoration of degraded	Site visits, surveys, Intergovernmental Panel on Climate Change (IPCC), Brazil's Third Greenhouse Gas	Annual to biennial	Project Management Unit, External Consultant,	Reports; GPS coordinates; drone imagery; site visits; regular	Uncertainties associated with greenhouse gas emissions mitigated estimations can

<i>Indicators</i>	<i>Targets</i>	<i>Description of indicators and targets</i>	<i>Data source/Collection Methods</i>	<i>Frequency of reviewing achievements against indicators</i>	<i>Responsible for data collection</i>	<i>Means of verification</i>	<i>Risks/Assumptions</i>
<i>(million metric tons of CO2e)</i>		<i>areas, enhanced transition to agroecological production systems and reduced combustion of fuel-wood (fuel-efficient stoves).</i>	<i>Emissions and Removals Inventory (agriculture, forest and land-use sector), scientific literature (secondary data), GEF 5 Results report</i>		<i>Strategic Partners</i>	<i>review of up-to-date secondary data</i>	<i>affect benefits reported. Capacity-building involving local strategic partners can address this issue by giving means for more detailed reports, containing site-specific information on the extension of areas under sustainable use (avoided deforestation), areas going through restoration and applied management techniques in the context of each project. Estimates of direct climate change mitigation benefits assume that (1) two years is the average duration of individual projects</i>

<i>Indicators</i>	<i>Targets</i>	<i>Description of indicators and targets</i>	<i>Data source/Collection Methods</i>	<i>Frequency of reviewing achievements against indicators</i>	<i>Responsible for data collection</i>	<i>Means of verification</i>	<i>Risks/Assumptions</i>
							and is the timeframe for carbon sequestration accounting; (2) estimates of indirect climate change mitigation benefits assume that the absence of support for sustainable use of natural areas would expose a proportion of the families in communities to the necessity of converting land-use to conventional production systems (e.g. deforestation, land leasing).
<b>Indicator 6</b> Number of community associations participating	65	Includes the number of community organizations that are actively engaged in sustainable	Reports, Interviews	Annually	Project Management Unit	Reports, site visits, meeting minutes	It is assumed that this will be very likely to measure given the interest of CBOs and the

<i>Indicators</i>	<i>Targets</i>	<i>Description of indicators and targets</i>	<i>Data source/Collection Methods</i>	<i>Frequency of reviewing achievements against indicators</i>	<i>Responsible for data collection</i>	<i>Means of verification</i>	<i>Risks/Assumptions</i>
<i>in strengthening ecosystem services within the Cerrado and Caatinga (of which at least 40% have women in leadership positions).</i>		<i>development activities as a result of this project.</i>			<i>Strategic Partners</i>		<i>capacities of Strategic Partners to document participation.</i>
<b>Indicator 7</b> <i>Percentage of women with improved participation and decision-making in national resource governance</i>	<i>At least 50% of beneficiaries</i>	<i>This indicator seeks to assess how women level of participation and decision-making evolves in the life of the project.</i>	<i>Surveys, interviews</i>	<i>Annually</i>	<i>Project Management Unit</i>	<i>Site Visits</i>	<i>Participation and decision-making will have to be clarified in order to ensure that the same thing is measured throughout the life of the project. The project management team should articulate at inception how they will assess this.</i>
<b>Indicator 8</b> <i>Number of households</i>	<i>4,900</i>	<i>This will capture the number of households adopting sustainable</i>	<i>Surveys, site visits</i>	<i>Annually</i>	<i>Project management unit</i>	<i>Reports</i>	<i>. This information will be captured in grantee reports as</i>

<b>Indicators</b>	<b>Targets</b>	<b>Description of indicators and targets</b>	<b>Data source/Collection Methods</b>	<b>Frequency of reviewing achievements against indicators</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Risks/Assumptions</b>
<i>(disaggregated by female-led or male-led) adopting sustainable practices (agroforestry, intercropping, harvesting of native species, mulching)</i>		<i>practices as a result of the project. It's a more downscaled indicator to get a sense of what transformations are happening at the community level.</i>					<i>well as verified by Strategic partners when they report back to the Project Management Unit. Because there is active participation of the strategic partner at the landscape level it is anticipated that this information will be generated despite typically being difficult to gather.</i>
<b>Indicator 9</b> <i>Number of small-scale community enterprises with improved market access (at least 50% of which benefit women)</i>	10	<i>This indicator is meant to measure whether there is any growth for small scale community ventures, in hopes that they become economically feasible. Market access has been identified as a challenge for many of these remote communities.</i>	<i>Interviews, Site visits, Business Plans</i>	<i>Annually</i>	<i>Project Management Unit</i>	<i>Site Visits, Websites, Receipts</i>	<i>Small grants beneficiaries will have to report on how their market access has changed.</i>



<i>Indicators</i>	<i>Targets</i>	<i>Description of indicators and targets</i>	<i>Data source/Collection Methods</i>	<i>Frequency of reviewing achievements against indicators</i>	<i>Responsible for data collection</i>	<i>Means of verification</i>	<i>Risks/Assumptions</i>
<b>Indicator 10</b> Number of families reporting improved income from small-scale community enterprises	At least 90	This indicator seeks to measure whether families are experiencing economic benefits from participation in the project.	Interviews	Annually	Project Management Unit  Strategic Partners	Site visits	This can be a difficult thing to measure as people may often provide anecdotal accounts without appropriate documentation. In order to get to the heart of this information, the project will involve questions on surveys that get at the same information but from different ways. For instance, family members will be asked if they bought a large household item, or bought land, or went on a trip etc....to gain an understanding of if circumstances changed in 5 years.

<i>Indicators</i>	<i>Targets</i>	<i>Description of indicators and targets</i>	<i>Data source/Collection Methods</i>	<i>Frequency of reviewing achievements against indicators</i>	<i>Responsible for data collection</i>	<i>Means of verification</i>	<i>Risks/Assumptions</i>
<b>Indicator 11:</b> <i>Number of women benefitting from economic benefits and services from SGP projects</i>	<i>At least 300</i>	<i>This indicator seeks to measure whether women receive economic benefits from the project.</i>	<i>Interviews and Surveys</i>	<i>Midterm and End-of Project</i>	<i>Project Management Unit</i>	<i>Site Visits, Reports</i>	<i>This will be a tricky indicator to measure as economic benefits will have to be clarified on the onset. Is it change in revenue? Income? Greater disposable income? The Project Management Team will have to clarify what they understand by economic benefits and then ensure that the end of the project examines net benefits.</i>
<i>Number of community organizations piloting or adopting renewable energy efficient technologies</i>	<i>At least 10</i>	<i>This indicator will measure the application, use and adoption of renewable technologies at the community levels</i>	<i>Grantee proposals and reports, interviews, trainings and demonstrations</i>	<i>Annually</i>	<i>Project Management Unit Small grant recipients</i>	<i>Review of grant proposals and site visits</i>	<i>This information needs to be captured in small grants proposals and reports especially what types of technologies were piloted, how and why, why were</i>

<b>Indicators</b>	<b>Targets</b>	<b>Description of indicators and targets</b>	<b>Data source/Collection Methods</b>	<b>Frequency of reviewing achievements against indicators</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Risks/Assumptions</b>
							<i>they/weren't they adopted.</i>
<b>Indicator 11:</b> <i>Number of landscape-based multi-stakeholder platforms established and operational</i>	4	<i>The project aspires to establish four functioning multi-stakeholder platforms which includes a variety of stakeholders, that can develop coherent landscape strategies.</i>	<i>Minutes of meetings</i>	<i>Annually</i>	<i>Project Management Unit</i>	<i>Minutes, outputs from meetings</i>	<i>It will take time for multi-stakeholder platforms to coalesce, become effective and mutually agree to mandate, role and responsibilities.</i>
<b>Indicator 12:</b> <i>Number of women-led community organizations participating in multi-stakeholder platforms</i>	15	<i>This is to ensure not only the participation, but also to ensure that women-led organizations which may have different ways of looking at environmental/sustainability issues have a place at the table.</i>	<i>Minutes of meetings</i>	<i>Annually</i>	<i>Project management Unit</i>	<i>Minutes, outputs from meetings</i>	<i>The project will have to ensure that participation is meaningful and that access to women is facilitated (times/locations).</i>
<b>Indicator 14</b> <i>Number of landscape strategies produced through a multi-sectoral process</i>	4	<i>Landscape strategies will be developed to create a coherent framework through which development activities can be coordinated, be mutually beneficial with shared targets and objectives.</i>	<i>Landscape strategies, interviews, meeting minutes</i>	<i>Bi-annually</i>	<i>Project Management Unit</i>	<i>Landscape strategy documents</i>	<i>Landscape strategies may differ widely from landscape to landscape, based on the needs of the landscape and the individual character of the</i>

<b>Indicators</b>	<b>Targets</b>	<b>Description of indicators and targets</b>	<b>Data source/Collection Methods</b>	<b>Frequency of reviewing achievements against indicators</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Risks/Assumptions</b>
							multi-stakeholder platforms.
<b>Indicator 15</b> Number of landscape-level case studies	4	This indicator seeks to assess what knowledge has been gleaned from each landscape experience.	Case study documents, consultations	End of project	Project Management Unit	Case study reports	Near the end of the project, findings will be consolidated into case study reports that can be learned from, that can be used to share best practices, highlight achievements and challenges.
<b>Indicator 15:</b> Number of cross-landscape peer-to-peer capacity building exercises (involving at least 50% women)	10	This indicator is to ensure that horizontal learning is happening, and that people can benefit from peer learning, based on different groups' comparative advantage and expertise.	Meeting reports	Annually	Project Management Unit	Meeting reports and arrangements	
<b>Indicator 16:</b> Number of Communications Strategy including a	1	This indicator is meant to ensure that effective communication methods are implemented to reach	Communications assessment, focus groups	Annually	Project management unit	Communication strategy	The communication strategy will have to be adaptive in nature to take into

<i>Indicators</i>	<i>Targets</i>	<i>Description of indicators and targets</i>	<i>Data source/Collection Methods</i>	<i>Frequency of reviewing achievements against indicators</i>	<i>Responsible for data collection</i>	<i>Means of verification</i>	<i>Risks/Assumptions</i>
Knowledge Management component		appropriate audiences, with appropriate messaging. This strategy is also meant to ensure that information is not lost and is collected in applicable ways.					account different communication tools, lessons learned, and potential new audiences. It will have to include a usable knowledge management component that ensures that information is not lost. The implementing Partner and strategic partners will be key in this process.

## Annex 5- Social and Environmental Screening Template

<b>Project Information</b>	
1. Project Title	Seventh Operational Phase of the GEF Small Grants Programme in Brazil
2. Project Number	PIMS 6278
3. Location	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 GEF Small Grants Programme in Brazil aims to mainstream human rights into every aspect of its work, following the principles of the country's overarching commitment to human rights, both at an international and national level. According to the respective international conventions of the UN System ratified by Brazil, all forms of discrimination and exclusion are strictly prohibited. The work of the United Nations in Brazil supports strengthening the capacities of public institutions to guarantee the compliance of human rights and the implementation of the SDGs and the 2030 Agenda. SGP Brazil fully supports the implementation of these, though focusing more on the local level, through the following measures:

- Through local organizational strengthening, training and technical assistance, SGP enhances the availability, accessibility and quality of benefits and services for potentially marginalized individuals and groups, including women and youth and indigenous peoples, and seeks to increase their inclusion in decision-making processes that may impact them in the case of landscape platforms and local producer's associations, women's self-help groups and other local sustainable development associations.
- SGP Brazil supports the meaningful participation and inclusion of all stakeholders, in particular marginalized individuals and groups, in processes that may impact them including design, implementation and monitoring of the project, e.g. through capacity building, creating an enabling environment for participation, etc. (consistent with participation and inclusion human rights principle).
- SGP Brazil provides opportunities for otherwise smaller civil society organizations to test, pilot, and upscale sustainable development technologies and practices so that their resource limitations do not prevent them from advancing their activities.

*Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment*

- Gender has been considered throughout this project's design and implementation. The project design prioritizes work with women's groups, as well as girls' groups and sets measurable indicators related to gender equality and women's empowerment. The results framework includes: (a) special measures/outputs, and (b) indicators to address gender inequality issues. A Gender Plan has been designed to specifically address how gender implications are to be built in activities. A gender analysis has been carried out to take note of gender's intersection with the environmental, development and livelihood issues.
- The Brazil SGP Country Programme team has adopted a specific strategy to engage women/girl's groups as primary actors in landscape and resource management and micro and small enterprise development.
- The Country Programme team will name a gender focal point on the National Steering Committee to help identify potential project ideas for initial discussions with women's and girls' groups and further actions on gender strengthening and awareness in communities, as well as ensure gender sensitivity in all projects for approval.
- Gender-sensitive NGOs will be engaged to support women/girls' groups in defining grant project objectives and designing grant project activities, as needed.
- CBOs submitting proposals will be asked to submit gender considerations. For support strategic partners will help them in identifying gender considerations in their activities.
- Women/girls groups will evaluate their projects' performance to identify lessons and knowledge for adaptive management as well as gender specific policy recommendations. Systemizations of gender-focused projects will be undertaken.
- The project design scores a 2 as per the ATLAS Gender Marker, according to the OECD Gender marker ("Significant", marked as 1 means that gender equality is an important and deliberate objective).

*Briefly describe in the space below how the Project mainstreams environmental sustainability*

- The SGP finances community organizations to design and implement sustainable development projects that produce global environmental benefits.
- The SGP design is clearly marked within the framework of the country commitments under Multilateral Environmental Agreements (MEAs) and supports the on-the-ground implementation of these at the community level, especially the CBD (and the Aichi targets), the UNFCCC and the UNCCD and the national planning instruments relevant to these sectors and the SDG goals.
- SGP aims to strengthen environmental management capacities of country partners at the community level and the engagement of these with national authorities, facilitating the introduction of improved management practices, landscape restoration and reforestation efforts, aligned with the country's development plans.
- SGP is a school for innovation and by generating synergies with on-going and planned impact projects, it aims to scale-up best practices.
- Communities close to critical habitats, and an assessment of environmental needs and risks were assessed during the PPG
- All GEF SGP proposals will be reviewed by a National Steering Committee comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation will be monitored by the National Coordination team, as well as NSC members who often accompany monitoring visits. Expert NGOs, identified as strategic partners will be contracted to provide an additional layer of technical assistance and support.
- Successful initiatives will be replicated, upscaled and shared with other landscapes and communities through various peer-sharing opportunities. The NSC networks will be leveraged to upscale activities at a broader policy level.

## Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?	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)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>Description of assessment and management measures as reflected in the Project design.</i>



<p>Risk 1: Project may potentially reproduce discriminations against women based on gender</p>	<p>P = 2 I = 4</p>	<p><b>Moderate</b></p>	<p>Women play a major role in family-based agriculture in the target region, contributing towards crop diversification and aiding transitions to more sustainable forms of farming: organic farming or agroecology, even in the face of resistance from family members. However, they are under-represented in decision-making bodies, due to long-standing social and cultural norms. In some landscapes within the target area, women's organizing efforts are worthy of note, such as Turmalina and Pajeu, which has resulted in a high rate of representation of such groups in councils and forums involved in designing and monitoring public programs and policies.</p>	<p>The project conducted consultations with women in every landscape and was able to identify avenues to increase women's participation in leadership activities. A Gender Action Plan has been designed to reflect these opportunities. Specifically, the project has established targets to include participation and representation. The project seeks to promote women's socially-based enterprises. The small grants process will also require that all community proposals include gender considerations. These will be followed up with ISPN, strategic partners and a gender consultant.</p> <p>The Project will also prioritize work with women's groups, as well as girls' groups; the national coordination team will formulate a strategy to engage women/girls' groups as primary actors in landscape and resource management and micro and small enterprise development; this will be a core part of the process when designing landscape strategies and establishing multi-stakeholder platforms.</p> <p>All GEF SGP proposals are reviewed and approved by a National Steering Committee comprised of experts in different fields, including a gender and development expert.</p>
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<p>Risk 2: Poor site selection within or adjacent to critical habitats and/or environmentally sensitive areas, such as public protected areas and private reserves may enable harvesting of natural resources and forests, plantation development or reforestation.</p>	<p>P = 2 I = 3</p>	<p><b>Moderate</b></p>	<p>Due to the fact that the target landscapes include areas of importance to biodiversity, some projects are likely to take place within or adjacent to critical habitats or sensitive areas such as parks, wetlands and other key biodiversity areas. The project will facilitate the reforestation and natural regeneration of degraded areas for landscape restoration in the target landscape, as well as small-scale sustainable harvesting of non-timber forest products. In such activities, women's involvement will be encouraged ( 50%), given that studies show that women play a major role in the use of non-timber forest products, such as the fabrication of medicinal plant remedies.</p>	<p>Supporting landscape connectivity and protection of environmental services are key concerns of the project, so results should be positive in this regard. Part of the selection process for small grants involves screening out projects that have potential for negative environmental impacts. The projects proposed under this programme are by very design to mitigate and reverse the impacts of environmental degradation. The process of establishing multi-stakeholder platforms is to mainstream the need for landscape resilience with other stakeholders that may not otherwise be carrying out sustainable activities.</p> <p>One of the landscapes (Jequitinhonha Valley) has a context of unsustainably-grown eucalyptus monocultures, and the project will support alternative, more traditional or restorative land uses, with planting of native species. In the Arrojado Basin and Surroundings Landscape community members have been experimenting with direct seeding of native forest species, an activity which may be further supported. The project activities are focused on moving away from monoculture and improving biodiversity values in fragile ecosystems.</p>
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<p>Risk 3: Extraction or containment of surface water from rainfall or ground water due to water harvesting techniques on farms may affect water availability to other producers</p>	<p>P = 2 I = 2</p>	<p><b>Low</b></p>	<p>No affectation on natural water courses is planned in terms of diversion of water. Some projects might include small-scale water catchment systems for on-farm irrigation and some projects will look to protect and conserve water catchment areas.</p> <p>All projects will be based on successful experience and lessons learned from previous SGP phases. A strong emphasis will be placed on the experimentation of innovative technologies involving the capturing and use of water, many of which have been developed by women and youth within the communities, such as the “re-use of gray waters.”</p>	
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<p>Risk 4: Potential outcomes of the Project are sensitive or vulnerable to potential impacts of climate change. including extreme climatic conditions, leading to increased vulnerability to subsidence, landslides, erosion, or flooding, which may affect community-based conservation and sustainable production initiatives and undermine efforts to arrest biodiversity loss and land degradation.</p>	<p>P = 3 I = 3</p>	<p><b>Moderate</b></p>	<p>A progressively drier and warmer climate may enhance the possibility of catastrophic fires in the dry forest as well as the frequency and intensity of rainfall in mountain ecosystems.</p> <p>The project target landscapes are vulnerable to natural hazards (floods, landslides, earthquakes) that may, at some point, affect the normal development of projects.</p>	<p>The areas the project will be working in are semi-arid and highly prone to environmental degradation caused by climate change. In fact, one of the central premises of the project is to help communities combat the negative effects of climate change, while carrying out adaptive practices and reducing emissions. While threats of drought cannot be avoided given the semi-arid nature of the landscape in question, the project will promote practices that mitigate and reduce risks for worsening vulnerability and impact. Multi-stakeholder platforms will develop a community-based fire management strategy to reduce the threats, taking into account local practices, ensuring containment, and promoting public awareness on this issue. Planting of native species which increase moisture in the soil will also be conducted to reduce the kind of soil aridity that is fire-prone. Agroecological practices such as mulching, use of tree crops will be used to increase the resilience of agricultural system in the face of climate change. Water harvesting and planting of resilient species will also be used. Restoration activities of diverse native species will be carried out to enhance soil fertility.</p>
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Risk 5: The Project may potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous communities present in the project area	P=2 I=3	<b>Moderate</b>	Moderate risk due to potential impacts on IP rights, lands, territories and traditional livelihoods (Q 6.3)	As part of project implementation, consistency of activities with indigenous peoples' standards will be ensured as indigenous communities will design and carry out their own activities during project implementation. Projects will not be imposed on indigenous communities; in fact indigenous communities will be encouraged to develop proposals so as to capacitate and strengthen communities. The National Steering Committee has demonstrated over the past two decades of SGP work in Brazil that indigenous people's rights, livelihood, culture and resources are fundamental concerns when assessing grant project proposals for approval of financing. This will continue to remain one of the guiding principles of the NSC. One of the SGPs priorities in its strategic projects is to encompass and support the advocacy for rights of indigenous peoples and traditional communities, particularly in the face of monoculture, and to celebrate and replicate the successful fire management practices and agroecology initiatives that have been initiated in indigenous communities.
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<p>Risk 6: COVID-19 may delay project implementation, affecting health of beneficiaries, limiting areas in which the project can be implemented, limiting face-to-face consultations among stakeholders, further marginalizing the disenfranchised that have limited access to resources and technology</p>	<p>P=5 I=5</p>	<p><b>High</b></p>	<p>COVID threats are prevalent during the project design and can have long-lasting impacts on people's health, security, safety and economic conditions.</p>	<p>Due to the rapid spread of the pandemic, risk mitigation procedures will be developed to address possible operational delays or pauses on an ongoing basis, to follow the latest guidance and advisories. Increased communication will be considered when consulting with local beneficiaries regarding possible impacts, and site-specific protocols will be followed. Changes in the scope or timing of planned activities may be necessary through workplan adjustments. The National Steering Committee should monitor and address significant financial constraints arising due to both exchange rate fluctuations and any delays or failures in co-financing delivery. In some cases, collaboration with smaller organizations may happen through proxy institutions that are in proximity and have access technology/communication tools that can be shared. Whatsapp and mobile phones, which many have access to, will be used for communication and exchange of information. The Project Management Unit will have to be mindful of the kind of resources that are available to beneficiary groups. The Communications Strategy should include specific considerations for communication, public awareness and exchange of information under these circumstances. An <b>Environmental and Social Management Framework (ESMF)</b> will be undertaken during the first months of project implementation. As COVID-19 is an evolving situation, and could potentially exacerbate other vulnerabilities and risks, it will be necessary to conduct the ESMF to identify possible changes in risk levels and how mitigation strategies can be adapted to address</p>
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				changing threat levels. This ESMF will not just include high risks, but include consideration of all risks and will be monitored through the life of the project. The project also includes a comprehensive stakeholder engagement plan. A grievance redress mechanism for identification, assessment, resolution and management of any complaints will be outlined as part of the ESMF.
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>
	<b><i>Low Risk</i></b>			
	<b><i>Moderate Risk</i></b>			
	<b><i>High Risk</i></b>	<b>X</b>		Project categorized as High Risk due to implications and potential direct effects of the COVID-19 pandemic.
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>			

Check all that apply		Comments
<b>Principle 1: Human Rights</b>	<input type="checkbox"/>	
<b>Principle 2: Gender Equality and Women's Empowerment</b>	X	Moderate risk of discrimination against women due to affirmative actions and incorporation of a gender-focused approach to project selection and capacity development.
<b>1. Biodiversity Conservation and Natural Resource Management</b>	X	Moderate risk as the SGP expressly finances projects to conserve and use biodiversity sustainably. As part of project preparation, consistency of activities with biodiversity conservation standards has been ensured. The SGP National Steering Committee possesses high-level biodiversity conservation expertise in its membership; the NSC reviews all proposals for eligibility and then approves for funding if found eligible or approves funding to improve project design.
<b>2. Climate Change Mitigation and Adaptation</b>	X	Moderate risk: The project area is vulnerable to climate change effects and natural hazards. Project promotes adaptive biodiversity and landscape-level planning/management to counter potential effects of climate change, as well as more resilient agricultural systems.
<b>3. Community Health, Safety and Working Conditions</b>	X	High risk. The COVID-19 pandemic may affect the health and well-being of project stakeholders and their ability to



			easily meet and work together, as well as have secondary effects on their local economic activities.
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
	<b>5. Displacement and Resettlement</b>		
	<b>6. Indigenous Peoples</b>	X	Moderate Risk: Effects on livelihoods of traditional peoples are anticipated to be positive. As part of project preparation, consistency of activities with indigenous peoples' standards will be ensured.
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

## Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental <u>Risks</u></b>	
<b>Principles 1: Human Rights</b>	<b>Answer (Yes/No)</b>
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?	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?	NO
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
<b>Principle 2: Gender Equality and Women's Empowerment</b>	
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?	YES
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 overall Project proposal and in the risk assessment?	NO
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?	NO
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
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?	YES

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? (e.g. collection and/or harvesting, commercial development)	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?	NO
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant 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?	YES
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)?	NO
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
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 earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	YES
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
<b>Standard 4: Cultural Heritage</b>		
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
<b>Standard 5: Displacement and Resettlement</b>		
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)?	NO
5.3	Is there a risk that the Project would lead to forced evictions?	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
<b>Standard 6: Indigenous Peoples</b>		
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?	YES
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)?	YES
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?	YES
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
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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, regional, and/or transboundary impacts?	NO
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 6- UNDP Risk Register

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
1	Project may potentially reproduce discriminations against women based on gender	November 2019	Social	P=2 I=4	<p>Women play a major role in family-based agriculture in the target region, contributing towards crop diversification and aiding transitions to more sustainable forms of farming: organic farming or agroecology, even in the face of resistance from family members. However, they are under-represented in decision-making bodies, due to long-standing social and cultural norms. In some landscapes within the target area, women's organizing efforts are worthy of note, such as Turmalina and Pajeu, which has resulted in a high rate of representation of such groups in councils and forums involved in designing and monitoring public programs and policies.</p> <p>The project conducted consultations with women in every landscape and was able to identify avenues to increase women's participation in leadership activities. A Gender Action Plan has been designed to reflect these opportunities. Specifically, the</p>	<p>Project Management Unit</p> <p>National Steering Committee</p>	

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					<p>project has established targets to include participation and representation. The project seeks to promote women's socially-based enterprises. The small grants process will also require that all community proposals include gender considerations. These will be followed up with ISPN, strategic partners and a gender consultant.</p> <p>The Project will also prioritize work with women's groups, as well as girls' groups; the national coordination team will formulate a strategy to engage women/girls' groups as primary actors in landscape and resource management and micro and small enterprise development; this will be a core part of the process when designing landscape strategies and establishing multi-stakeholder platforms.</p> <p>All GEF SGP proposals are reviewed and approved by a National Steering Committee comprised of experts in different fields, including a gender and development expert.</p>		

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
2	Poor site selection within or adjacent to critical habitats and/or environmentally sensitive areas, such as public protected areas and private reserves may enable harvesting of natural resources and forests, plantation development or reforestation.	November 2019	Social and Environmental	P=2 I=3	<p>Due to the fact that the target landscapes include areas of importance to biodiversity, some projects are likely to take place within or adjacent to critical habitats or sensitive areas such as parks, wetlands and other key biodiversity areas. The project will facilitate the reforestation and natural regeneration of degraded areas for landscape restoration in the target landscape, as well as small-scale sustainable harvesting of non-timber forest products. In such activities, women's involvement will be encouraged (50%), given that studies show that women play a major role in the use of non-timber forest products, such as the fabrication of medicinal plant remedies.</p> <p>Supporting landscape connectivity and protection of environmental services are key concerns of the project, so results should be positive in this regard. Part of the selection process for small grants involves screening out projects that have potential for negative environmental impacts. The projects proposed under this</p>	<p>Project Management Unit</p> <p>National Steering Committee</p>	

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					<p>programme are by very design to mitigate and reverse the impacts of environmental degradation. The process of establishing multi-stakeholder platforms is to mainstream the need for landscape resilience with other stakeholders that may not otherwise be carrying out sustainable activities.</p> <p>One of the landscapes (Jequitinhonha Valley) has a context of unsustainably-grown eucalyptus monocultures, and the project will support alternative, more traditional or restorative land uses, with planting of native species. In the Arrojado Basin and Surroundings Landscape community members have been experimenting with direct seeding of native forest species, an activity which may be further supported. The project activities are focused on moving away from monoculture and improving biodiversity values in fragile ecosystems.</p> <p>In order to further ensure safeguarding against project risks, an Environmental and Social Management Framework will be</p>		

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					developed at inception to ensure that the latest information on risks is incorporated in design, and then monitored through the lifetime of the project.		

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
3.	Extraction or containment of surface water from rainfall or ground water due to water harvesting techniques on farms may affect water availability to other producers	November 2019	Social and Environmental	P=2 I=2	<p>No affectation on natural water courses is planned in terms of diversion of water. Some projects might include small-scale water catchment systems for on-farm irrigation and some projects will look to protect and conserve water catchment areas. All projects will be based on successful experience and lessons learned from previous SGP phases. A strong emphasis will be placed on the experimentation of innovative technologies involving the capturing and use of water, many of which have been developed by women and youth within the communities, such as the “re-use of gray waters.”</p> <p>The project will support conservation of catchment basins and efforts to reduce erosion and runoff in order to replenish groundwater, along with more efficient water use practices. Water has been the singlemost important issue highlighted by communities and the project will support ways of harvesting rainwater, and supporting vegetation that promotes humidity in the soil.</p>	Project Management Unit	

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					In order to further ensure safeguarding against project risks, an Environmental and Social Management Framework will be developed at inception to ensure that the latest information on risks is incorporated in design, and then monitored through the lifetime of the project.		

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
4	Potential outcomes of the Project are sensitive or vulnerable to potential impacts of climate change. including extreme climatic conditions, leading to increased vulnerability to subsidence, landslides, erosion, or flooding, which may affect community-based conservation and sustainable production initiatives and undermine efforts to arrest biodiversity loss and land degradation.	November 2019	Social and Environmental  Safety and Security	P = 3 I = 3	A progressively drier and warmer climate may enhance the possibility of catastrophic fires. The areas the project will be working in are semi-arid and highly prone to environmental degradation caused by climate change. In fact, one of the central premises of the project is to help communities combat the negative effects of climate change, while carrying out adaptive practices and reducing emissions. While threats of drought cannot be avoided given the semi-arid nature of the landscape in question, the project will promote practices that mitigate and reduce risks for worsening vulnerability and impact. Multi-stakeholder platforms will develop a community-based fire management strategy to reduce the threats, taking into account local practices, ensuring containment, and promoting public awareness on this issue. Planting of native species which increase moisture in the soil will also be conducted to reduce the kind of soil aridity that is fire-prone. Agroecological practices such as mulching, use of tree crops will be used to increase the resilience of	Project Management Unit  National Steering Committee	



Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					<p>agricultural system in the face of climate change. Water harvesting and planting of resilient species will also be used. Restoration activities of diverse native species will be carried out to enhance soil fertility.</p> <p>In order to further ensure safeguarding against project risks, an Environmental and Social Management Framework will be developed at inception to ensure that the latest information on risks is incorporated in design, and then monitored through the lifetime of the project.</p>		

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
5	The Project may potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous communities present in the project area	January 2020	Social	P=2 I=3	As part of project implementation, consistency of activities with indigenous peoples' standards will be ensured as indigenous communities will design and carry out their own activities during project implementation. Projects will not be imposed on indigenous communities; in fact indigenous communities will be encouraged to develop proposals so as to capacitate and strengthen communities. The National Steering Committee has demonstrated over the past two decades of SGP work in Brazil that indigenous people's rights, livelihood, culture and resources are fundamental concerns when assessing grant project proposals for approval of financing. This will continue to remain one of the guiding principles of the NSC. One of the SGPs priorities in its strategic projects is to encompass and support the advocacy for rights of indigenous peoples and traditional communities, particularly in the face of monoculture, and to celebrate and replicate the successful fire management practices and agroecology initiatives	Project Management Unit  National Steering Committee	

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					<p>that have been initiated in indigenous communities.</p> <p>In order to further ensure safeguarding against project risks, an Environmental and Social Management Framework will be developed at inception to ensure that the latest information on risks is incorporated in design, and then monitored through the lifetime of the project.</p>		

Number	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
6	Women's participation may be limited due to men's domination of resources, inputs and benefits associated with agricultural practices.	Men traditionally dominate decisions about land use, marketing of produce and other aspects of agricultural and livestock production, which can adversely affect women's ability to have control over their own activities and income.	Social	P=2 I= 2	The project will ensure women's participation and inclusion through a variety of measures. These include training organizations with a gender-based approach including women-led organizations in the multi-stakeholder platform targeting female-led households as beneficiaries; supporting initiatives for small grants which include and benefit women. The umbrella organizations in each landscape will be provided with specific gender training and tools to support smaller community organizations to include gender considerations in their proposals. A monitoring system with qualitative and quantitative indicators showing transformations in gender roles and relations will be established.	Project Management Unit  Strategic landscape partners  Grantees	

7	Low capacity and awareness of local NGOs and CBOs to address global environmental problems in selected geographical areas.	November 2019	Programmatic	P=2 I=4	<p>Capacity building with CBOs and NGOs is an intrinsic part of the project, contributing to risk mitigation. The Brazil SGP Country Programme works with all grantees to help build capacities by identifying appropriate rates of disbursement, close and permanent monitoring, linking grantee partners to learn from each other (peer-to-peer), and working in a flexible manner that responds to the strengths and comparative advantages of grantees. The SGP Country Programme also reduces risk by supporting replication of good practices that have proven to deliver on GEF strategic priorities at the community level. The NSC with representation from civil society leaders, government institutions, and donors further provides support for defining adequate criteria to select projects. Further, umbrella organizations have been selected in each landscape to provide accompaniment and support to ensure successful implementation.</p> <p>Furthermore, the project will have one strategic partner in each landscape to provide accompaniment, support in monitoring for results, share expertise in administrative and organizational issues so that the</p>	<p>Project Management Unit</p> <p>Strategic Partner</p>	
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					smaller community groups may be capacitated.		
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8	Climatic unpredictability, with periodic droughts and changes in rainfall distribution, will affect agroecology initiatives and undermine efforts to arrest biodiversity loss and land degradation.	November 2019	Programmatic	P=3 I=3	<p>Projects based on agroecological techniques may have reduced success if climatic factors such as drought are overriding. Both drought and fires related to extended dry seasons can result in significant setbacks to restoration efforts. At the same time, extreme events of rain may increase runoff and soil erosion, neutralizing positive effects of supported projects.</p> <p>Dealing with vulnerabilities including climate variability is a primary emphasis and objective of SGP. By working to develop capacities for appropriate landscape management and adoption of “social technologies” such as rainwater cisterns for water storage and slow infiltration, as well as agroecological techniques, the project will enable local communities to reduce vulnerabilities and increase ecosystem resilience and the potential to sustainably manage their land. This is an underlying premise and principle across all components. When possible, the project will work with government agencies involved in adaptive fire and soil management.</p> <p>The risks, if and when encountered, will be managed by providing additional capacity building support</p>	Project Management Unit	
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					<p>to affected communities and allow relocation of projects' resources to deal with the situation. Experiences will be documented, analyzed and shared with all project partners to create awareness and share lessons learned. The related technical guidelines, partnerships, platforms, workshops, exposure, contacts to learn and share knowledge for and by grantees will provide the confidence, creditability and commitment to adapt in the face of CC and deliver landscape and project outcomes.</p>		
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Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
9	Discontinuity in government programs related to environment and traditional communities and smallholders can undermine funding for complementary actions	November 2019	Political Regulatory Social Environmental	P= 5 I=4	<p>Discontinuity in government programs can undermine funding for complementary actions and support of partner organizations, affecting success of projects. Programs involved in the purchase of agricultural products and NTFPs, and which promote local markets, may also be affected, impacting communities' and individual family members' (ex: women) income and favoring short-term sources of cash such as deforestation.</p> <p>By mobilizing partners from different sectors of society and levels of government and involving them in networks, the project will build resilience for local organizations and their initiatives, buffering the consequences of political instability as well as promoting participation in order to pressure for the continuation of these policies and programs. While the probability of political changes is high, the project will keep the impact low by investing cross-sectoral partnerships, and supporting partners to leverage resources according to their areas of expertise.</p>	<p>Project Management Unit</p> <p>National Steering Committee</p>	

Number	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
10	Economic instability affects value chains	November 2019	Financial Social and Environmental	P=3 I=3	<p>Incomes for farmers and extractive producers may decline, affecting their long-term decision-making and capacity to invest in conservation and restoration, as well as weakening organizations such as cooperatives.</p> <p>The concept of resilient landscapes also involves economic resilience. As such, the project envisions value chains that do not rely on single buyers or that steer producers principally toward commodity or international markets. By maintaining a mix of products from the landscapes and initiatives that access local, regional and national markets, the project expects to buffer economic instabilities.</p>	Implementing Partner	

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
11	COVID-19 may delay project implementation, affect health of beneficiaries, limit areas in which the project can be implemented, limit face-to-face consultations among stakeholders, further marginalize the disenfranchised that have limited access to resources and technology	April 2020	Operational, Social Safety and Security Financial	P=5 I=5	COVID threats are prevalent during the project design and can have long-lasting impacts on people's health, security, safety and economic conditions. Due to the rapid spread of the pandemic, risk mitigation procedures will be developed to address possible operational delays or pauses on an ongoing basis, to follow the latest guidance and advisories. Increased communication will be considered when consulting with local beneficiaries regarding possible impacts, and site specific protocols will be followed. Changes in the scope or timing of planned activities may be necessary through workplan adjustments. The National Steering Committee should monitor and address significant financial constraints arising due to both exchange rate fluctuations and any delays or failures in co-financing delivery. In some cases, collaboration with smaller organizations may happen through proxy institutions that are in proximity and have access technology/communication tools that can be shared. Whatsapp and mobile phones, which many have		

Num ber	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					<p>access to, will be used for communication and exchange of information. The Project Management Unit will have to be mindful of the kind of resources that are available to beneficiary groups. The Communications Strategy should include specific considerations for communication, public awareness and exchange of information under these circumstances. An <b>Environmental and Social Management Framework (ESMF)</b> will be undertaken during the first months of project implementation. As COVID-19 is an evolving situation, and could potentially exacerbate other vulnerabilities and risks, it will be necessary to conduct the ESMF to identify possible changes in risk levels and how mitigation strategies can be adapted to address changing threat levels. This ESMF will not just include high risks, but include consideration of all risks and will be monitored through the life of the project. The project also includes a comprehensive stakeholder engagement plan. A grievance redress mechanism for identification, assessment,</p>		

Number	Description	Date Identified	Risk Category	Impact and Probability	Risk Treatment	Risk Owner	Status
					resolution and management of any complaints will be outlined as part of the ESMF.		

An Environmental and Social Management Framework ESMF will be conducted at inception to ensure that the project is mindful of evolving risks and has an adaptive approach and response, to ensure the safeguarding of vulnerable communities, critical habitats as well as peoples' livelihoods. The risks identified in the ESMF will be monitored through the life of the project. The ESMF was identified as the appropriate tool to monitor risks, as the SGP is made up of aggregate projects, and an ESMF can be an effective umbrella tool to govern the various projects. When uncertainty remains regarding specific Project components or exact locations, it is recommended to develop an (ESMF) in place of an Environmental and Social Management Plan or an Environmental and Social Impact Assessment (ESIA).<sup>20</sup> The individual projects have not yet been developed and will undergo their own processes of approval through the National Steering Committee, as well as identify their own risks. The ESMF will serve as a guiding lens through which these risks can be analyzed, managed and support individual projects to identify their own risks and mitigation strategies. The project also includes a comprehensive stakeholder engagement plan. A grievance redress mechanism for identification, assessment, resolution and management of any complaints will be outlined as part of the ESMF.

<sup>20</sup> UNDP: Screening, Assessment and Management of Social and Environmental Risks and Impact  
[https://info.undp.org/sites/bpps/SES\\_Toolkit/SitePages/Policy%20Delivery.aspx](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Policy%20Delivery.aspx)

## Annex 7 (a)- Overview of Technical Consultancies

Consultant	Time Input	Tasks, Inputs and Outputs
<b>For Project Management / Monitoring &amp; Evaluation</b>		
<b>International / Regional and global contracting</b>		
<i>Audit</i>	<i>70 days</i>	Financial accountability
<b>For Technical Assistance</b>		
<b>Component 1</b>		
<b>Local / National contracting</b>		
<i>Miscellaneous technical responsibilities</i>	<i>100 days</i>	These consultant contracts will be for very technical expertise that is not within the project management unit, listed in the ToRs below. Short-term consultancies for measuring carbon indicators (output: report on impact of project on emissions/data collection), measuring socioeconomic indicators (output: assessment on change on income on project beneficiaries, supporting them to monitor and account for these changes), conducting gender trainings (output: training materials), and providing strategic agriculture (what to grow, where, under what conditions, what sustainable inputs to use) and forestry advice (what to plant, where, best techniques for success).
<i>Mid-term Evaluation</i>	<i>20 days</i>	To conduct midterm evaluation to identify whether project is on track, and to provide strategic recommendations to ensure project is meeting targets and/or suggest changes in indicators to ensure adaptive management.
<i>Final Evaluation</i>	<i>20 days</i>	To capture lessons learned, best practices, identify achievements and weaknesses, propose reconstructed theory of change, assess impact
<b>Component 2</b>		
<i>Mid-term Evaluation</i>	<i>20 days</i>	To conduct midterm evaluation to identify whether project is on track, and to provide strategic recommendations to ensure project is meeting targets and/or suggest changes in indicators to ensure adaptive management.
<i>Final Evaluation</i>	<i>20 days</i>	To capture lessons learned, best practices, identify achievements and weaknesses, propose reconstructed theory of change, assess impact

## Annex 7 (b)- Terms of Reference

### Terms of Reference for National Coordinator

#### I. IDENTIFICATION OF THE POST

Post Title:	National Coordinator
Organizational Unit:	Global Environment Facility – Small Grants Programme (GEF-SGP)
Country/Duty Station:	
Post Status:	New
Post Type:	Project-funded
Supervisor's Title:	ISPN since this is not an UNDP contract there is no direct supervision from UNDP

#### II. POST'S ORGANIZATIONAL ACCOUNTABILITY:

<ul style="list-style-type: none"><li>▪ Effective technical, financial, and operational management of the Global Environment Facility's Small Grants Project.</li><li>▪ Effective managerial function, by building an effective SGP Project team and foster teamwork within the SGP Project team, the National Steering Committee members, ISPN and with the UNDP Country Office team</li><li>▪ Mobilize and leverage financial and other resources as well as establish strong partnerships at the project level for sustained and scaled up initiatives.</li><li>▪ Effectively facilitate knowledge management, share and exchange knowledge on lessons learnt and best practices of SGP project.</li></ul>
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#### III. KEY RESULTS EXPECTED/MAJOR FUNCTIONAL ACTIVITIES

% of Time		Key Results Expected/Major Functional Activities
40%	1.	Managerial Functions

		<ul style="list-style-type: none"> <li>– Supervise the SGP Project team members and provide necessary guidance and coaching;</li> <li>– Promote and maintain effective teamwork within the SGP Project team, the National Steering Committee members, ISPN and with the UNDP CO team;</li> <li>– Prepare and implement annual workplan, including strategic and/or innovative initiatives, with set delivery and co-financing targets; draft annual SGP administrative and project operational budget proposal</li> <li>– Set annual performance parameters and learning objectives for the Project team, assess their performance and provide feedback;</li> <li>– Keep abreast of national environmental concerns and priorities as well as the socio-economic conditions and trends as they relate to the SGP, and assess their impact on SGP's work and project.</li> <li>– Manage the SGP grant allocations and project operating budget, maintain the financial integrity of the by ensuring adherence to SGP Standard Operating Procedures as well as ISPN rules and regulations, and ensure timely and effective use of SGP resources;</li> <li>– Authorize and manage project planning grants as required;</li> <li>– Oversee ongoing SGP grant projects, and conduct periodic project monitoring field visits and provide technical and operational support and guidance to SGP grantees as required;</li> <li>– Report periodically to UNDP CO and UCP Global Coordinator on project implementation status, including annual monitoring reporting, financial reporting, audit, and update the relevant ISPN and SGP databases.</li> <li>–</li> </ul>
40%	2.	<p><b>Implementation of Project Activities, oversight over grant activities</b></p> <ul style="list-style-type: none"> <li>– Exercise quality control over the development of a portfolio of project ideas and concepts, and closely monitor the project implementation progress and results;</li> <li>– Organize periodic stakeholder workshops and project development sessions for civil society organizations (CSOs) and local communities, and potential applicants and other stakeholders to inform about SGP and its Strategic Initiatives;</li> <li>– Work closely with CSOs and CBOs in preparation of project concepts and proposals to ensure that projects fit with the SGP Strategic Initiatives, and technical guidance notes;</li> </ul>



		<ul style="list-style-type: none"> <li>– Plan and serve as secretary to the National Steering Committee meetings. Support and closely coordinate with the National Steering Committee and Technical Advisory Group where relevant, in the process of project proposal review, selection and approval, especially the initial appraisal of proposals and assessment of eligibility.</li> <li>– Undertake monitoring and evaluation of SGP project, and grant-making initiatives, in coordination with NSC and UNDP CO/UCP Global Coordinator</li> <li>– Perform and coordinate administrative tasks (i.e. procurement, travel) adhering to SGP SOPs procurement rules and regulation; as required for programme implementation</li> <li>– Support communities in mapping restoration zones and activities</li> <li>– Review local fire management plans</li> <li>– Ensuring female participation in multi-stakeholder platforms; review quality of gender equality tools being shared with grant recipients</li> <li>– Supporting networking opportunities between sustainable producers and consumers</li> <li>– Facilitate initial multi-stakeholder platforms</li> </ul>
10%	3.	<p>Resource Mobilization and Partnerships</p> <p>Establish and maintain close working relationships with stakeholders as well as promote the value, comparative advantages, and ensure visibility of the SGP.</p> <p>Assess interest and priorities of key donors and other development partners and develop/update and implement the resource mobilization and partnership strategy to mobilize resources from and develop partnerships with the government, donors and other partners to best leverage SGP resources and develop project level partnerships.</p> <p>Support SGP grantees in securing co-financing and project level partnerships and assist in identifying opportunities and resources for sustaining and scaling up projects.</p>
10%	5.	<p>Knowledge Management</p> <p>Document project stories, lessons learned, and best practices in SGP project development, implementation, and oversight;</p> <p>Access SGP and other global and regional knowledge, distill best practices and facilitate their dissemination and incorporation within SGP projects, UNDP CO, and to counterparts and partners;</p> <p>Support capacity building and networking of grantees to facilitate knowledge exchange, and promote uptake through Knowledge platforms, Knowledge fairs etc.</p>

#### IV. IMPACT OF KEY RESULTS / KEY PERFORMANCE INDICATORS

Sound SGP project results and impacts, in alignment with national strategies and priorities and SGP strategy and approaches, that contribute to transformational change in society and economy to conserve the global environment and achieve the Sustainable Development Goals, Innovative, technically sound and socially inclusive grant portfolio is developed and implemented. Effective and efficient use of resources to create maximum project/programme impact. Increased trust by clients and donors and increased opportunities for visibility, partnerships and co-financing.

#### V. Qualifications & Skills Required

Education:	Advanced university degree in environment or natural resource management, Environmental Economics, Development, Business Administration or similar field.
Experience:	At least 3 years of relevant experience in environment and development work, which should include programme management, preferably with an extended specialized experience in any of the GEF-SGP thematic areas at the national level.
Managerial skills	Excellent teamwork, people management and interpersonal skills. Excellent analytical, writing, and communication skills
Language requirements:	Strong negotiation, conflict resolution and problem-solving skills. Fluency in the official national language and English is required.
IT skills	Knowledge of other UN languages is considered asset. Proficiency in standard computer software (word-processing, excel, presentations, databases and internet)

#### Programme Assistant

#### POST PROFILE

##### I. IDENTIFICATION OF THE POST

Post Title:	SGP Project Assistant
Organizational Unit:	Global Environment Facility – Small Grants Programme (GEF-SGP)
Country/Duty Station:	

Post Status:	New
Post Type:	Project-funded
Supervisor's Title:	National Coordinator

## II. POST'S ORGANIZATIONAL ACCOUNTABILITY:

Effective day-to-day technical, administrative, financial, and knowledge management support to the SGP country project to ensure effective and efficient operation and management of the project with partners.

## III. KEY RESULTS EXPECTED/MAJOR FUNCTIONAL ACTIVITIES

% of Time		Key Results Expected/Major Functional Activities
35%	1.	<p>Support to Project implementation (Component 1)</p> <ul style="list-style-type: none"> <li>- Contribute to day-to-day support to project implementation and ensuring conformity to expected results, outputs, objectives and work-plans;</li> <li>- Assist the NC in pre-screening project concepts and project proposals, and evaluate the financial part of the project proposals;</li> <li>- Assist the NC in development and revision of grant application forms and other management tools, requirements of the project and other SGP documents</li> <li>- Advise potential grantees on project preparation processes and guidelines, and report to NC and NSC on project development activities, as required;</li> <li>- Provide day-to-day support and guidance to new and ongoing projects and its grantees, as required;</li> <li>- Assist the NC in project implementation, monitoring and evaluation, including participation in field visits;</li> <li>- Support on organization and preparation of minutes of NSC meetings and other SGP events;</li> <li>- Maintain contacts and professional working relationship with NGOs, governmental institutions, donors, other SGP stakeholders;</li> <li>- Assist NC in reporting regularly to the UCP Global Coordinator, CPMT, ISPN and UNDP CO, and assist NC in timely preparation of the PIR, annual monitoring survey, and other CPMT / ISPN surveys and reports as required;</li> </ul>

		<ul style="list-style-type: none"> <li>- Draft memos and other operational documents on behalf of NC, and respond to queries on SGP project matter;</li> <li>- Regularly update and maintain SGP project database as well as stakeholders' database;</li> </ul>
30%	2.	<p>Financial Management</p> <ul style="list-style-type: none"> <li>– Provide guidance, review, and control the accuracy of supporting documentation of projects' interim and final financial reports, such as invoices, and advise the NC as required</li> <li>– Process payment requests from grantees and vendors through obtaining necessary clearances and authorizations and ensuring payments are effected promptly, and in accordance with SGP SOPs and ISPN guidelines;</li> <li>– In collaboration with the NC, maintain financial integrity of the project, implement and monitor accounting system and databases of SGP project operational budget;</li> <li>– Prepare and maintain the grant disbursement table and calendar; as well as track the Project Operating Budget to ensure compliance with approved yearly budget.</li> <li>– Management of the Petty Cash account with proper documentation and proper tractable records.</li> <li>– Enter, extract, transfer data from SGP database and produce reports as required;</li> <li>– Follow up of travel arrangements and DSA payments for NC and NSC members</li> <li>– Provide other financial reports as required.</li> </ul>
25%	3.	<p>Administrative Functions</p> <ul style="list-style-type: none"> <li>– Procure office supplies, equipment, and furniture adhering to SGP SOPs procurement rules and regulation;</li> <li>– Manage and organize everyday office work.</li> <li>– Establish a proper filing system, maintain SGP project administrative, financial, and management files and update them with original documentation or copy of the original documentation as necessary. Special focus on:</li> <li>– Establish and maintain a separate folder with all NSC meetings signed minutes that approve new SGP granted project</li> <li>– Establish and maintain projects filing system containing original MOAs and amendments, original or copies of interim and final reports with all supporting documents, and mission reports or evaluation documents.</li> <li>– Establish and maintain financial folder for all SGP project financial transactions.</li> </ul> <p>Maintain personnel files, performance evaluation reports, leave records, and other</p>

		<p>pertinent personnel/consultant records Draft routine correspondence and communications and establish filing system to record communications with local stakeholders;</p> <ul style="list-style-type: none"> <li>– Prepare background information and documentation, update data relevant and compile background material for the NC and NSC;</li> <li>– Ensure flow of information and dissemination of materials with all concerned;</li> <li>– Maintain and updated inventory of all physical assets and register all inventory in the asset inventory sheet.</li> <li>– Provide logistical and administrative support to visiting missions, travel arrangements, and meetings for the NC, NSC, adhering to SGP SOPs procurement rules and regulation;</li> </ul>
10%	4.	<p>Knowledge Management and Communication (Component 2)</p> <ul style="list-style-type: none"> <li>– Actively support in the efforts on knowledge management, knowledge networking and visibility of SGP;</li> <li>– In accordance with SGP branding guidelines, support NC and NSC in the efforts towards proper recognition of SGP in any KM &amp; Communication material produced by SGP grantees or stakeholders.</li> <li>– Facilitate organization of SGP advocacy events, workshops, stakeholders’ dialogues and round-tables;</li> <li>– Assist in drafting articles and publications with proper recognition of SGP ;</li> <li>– Participate at events for SGP information dissemination purposes</li> <li>– Maintain, update or provide valid SGP information for the SGP website, SGP Global database and UNDP CO website.</li> </ul>

#### IV. Qualifications and Skills Required:

Education:	A high school diploma with additional experience is required. University degree, preferably in Business Administration or an environmental science field is desirable.
Nationality requirement:	Candidate should be a national or naturalized citizen of the country.
Experience:	At least 5 years of relevant experience in office management, including financial reporting;
Skills	<p>Previous working experience with a UN agency an asset.</p> <p>Good communications and interpersonal skills essential;</p> <p>Excellent drafting and analytical skills required.</p> <p>Good knowledge of budget control and financial management.</p>

Language requirements:	Fluency in the official national language, and English, French, or Spanish.
IT skills:	Excellent knowledge of MS Office, database and Internet use.

## Annex 8- Stakeholder Engagement Plan

ORGANIZATION/INSTITUTION	AREA OF WORK/Role in Project
<b>Upper Jequitinhonha Valley, Minas Gerais</b>	
Aplante	Save the Children, works with CAV will play a role in discussing sustainability issues and engagement of youth.
Articulação do Semi-Árido (ASA)	Network with extensive work with the Semi-Arid region, with around 1000 associated organizations. This will be a crucial network by which to glean and disseminate information and knowledge; it will play a role in identifying common concerns of the region.
Associations of communities, Fairs, and Artisans	Local associations, working with people that develop handicrafts. This network will be useful to support
Centro de Agricultura Alternativa Vicente Nica (CAV),	CAV supports local farmers and their families by encouraging alternative and sustainable farming practices. They will be playing a crucial role in disseminating techniques, and

	supporting proposal writing for smaller organizations.
Centro di Volontariato Internazionale (CeVI)	This organization provides international cooperation, will provide assistance on socioeconomic matters.
E-Changer /COMUNDO	This organization provides international cooperation and assistance, will provide assistance on social matters.
Emater-MG (Empresa de Assistência Técnica e Extensão Rural do Estado de Minas Gerais)	State agricultural extension agency with office in Turmalina; these will be liaised with to discuss various sustainable agricultural techniques.
Fundo Cristão/Child Fund Brasil	This organization provides international cooperation and assistance, and will provide advice on social matters.
Instituto Federal do Norte de Minas Gerais (IFNMG)	Federal Institute for high school and technical education, research and extension. These will be liaised with for knowledge on technical matters and trainings.
Manos Unidos	This organization provides international cooperation and assistance, and will provide advice on social matters.
Ministério Público (MP-MG)	Public Ministry (Attorney General)- Stakeholder on key legal issues.
Misereor	This organization provides international cooperation and assistance, and will provide advice on socioeconomic matters.
Municipal governments (Prefeitura) of Turmalina and Veredinha	Veredinha provides transportation for farmers to take their produce to the weekly fair. They will play a role when speaking on improved marketing and distribution for sustainably produced products.

Rede Cerrado	Network of more than 50 NGOs, works in defense of the Cerrado biome and its peoples.
Rural Schools of José Silva and Buriti	These schools will be useful on training issues and engaging youth.
Sindicato de Trabalhadores Rurais	Rural workers syndicate, advises on associations' and farmer documentation, supports farmers' markets. This union will reflect interests/concerns/needs of farmers.
Universidade Federal de Minas Gerais (UFMG)	Federal University conducting Multidisciplinary study of impacts of eucalyptus. This will be a key partner to promote native rehabilitation and biodiversity.
Universidade Federal do Vale do Jequitinhonha e Mucuri (UFVJM)	Carries out research and extension in the region. Partner for knowledge sharing and training opportunities.
<b>Upper Poti River, Piauí Landscape</b>	
AGESPISA	This is the state water agency, and useful to liaise with regard to improved access to water, and water resource management by small community groups.
Articulação do Semi-Árido (ASA Brasil)	Network with extensive work with the Semi-Arid region, with around 1000 associated organizations; useful for knowledge sharing, technical expertise sharing.
Associação Comunitária de Moradores Mãe Manuca	Community association in Milton Brandão municipality; will provide advice on socioeconomic matters.
Associação de mulheres organizadas – AMOR, Juazeiro do Piauí	Women's organization in Juazeiro do Piauí municipality; will highlight women's needs, interests and concerns.
Associações Comunitárias	Community associations; key stakeholders and beneficiaries to the Project.



Banco do Nordeste	Regional bank, supports agricultural activities. This will be a useful partner for supporting groups to make their sustainable activities more beneficial.
Centro de Formação Mandacaru,	NGO based in Dom Pedro II, Piauí working with education, agroecology and adaptation to the semiarid conditions of the Caatinga. They will provide technical expertise and trainings.
Centro Regional de Assessoria e Capacitação (CERAC)	Associated with ASA, works with rainwater cisterns and open-pollinated seeds.
Emater (Empresa de Assistência Técnica e Extensão Rural do Estado de Piauí)	State agricultural extension agency; information sharing on agro-ecology.
Fórum Piauiense de Convivência com o Semi-árido (FPCSA)	Network of 17 civil society organizations supporting adaptation to the semiarid conditions of the Caatinga region of Piauí; will share concerns/needs/ideas for landscape rehabilitation and resilience building.
Obra Kolping do Piauí	NGO based in Teresina, with work in 70 municipalities, including Dom Pedro II; can support knowledge dissemination
Piauí State Government	Support for the Program Seeds of the Semi-Arid, in partnership with ASA; liaison for upscaling best practices and lessons learned at the policy level.
Sindicatos de Trabalhadores Rurais de Pedro II e Milton Brandão (Rural Workers' Syndicate)	Support youth groups, advise on associations' and farmer documentation, support farmers' markets; will support project with youth and farmer interventions.
<b>Arrojado River Basin and Surroundings, Bahia Landscape</b>	

Associação de Advogados/as de Trabalhadores/as Rurais	Provides legal assistance with land rights; will ensure Project supports communal and indigenous lands rights.
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Associações de Fecho de Pasto	Associations that are stewards of the communal pasture areas of Cerrado; will support project through knowledge sharing.
Comissão Pastoral da Terra (CPT)	Catholic Church commission that supports family farmers' land rights, based in Bom Jesus da Lapa and Santa Maria; ensuring support for farmers.
Escola Família Agrícola (EFA) Padre André (and its association)	Agricultural school affiliated with the Catholic Church; possibility of engaging youth and farmers.
Government of Bahia	State government that will be liaised with to feedback into policy process, share lessons learned and best practices.
Movimento dos Atingidos por Barragens (MAB)	Movement that works with communities affected by dams; will inform project of community risks and challenges.
Sindicatos de Trabalhadores Rurais de Santa Maria	Rural Workers' Syndicate in Santa Maria, more women involved; will inform project on how women can be engaged
Universidade Federal do Oeste da Bahia (UFOB)	Federal University of Western Bahia in Santa Maria de Correntina; provider of data,
Agência 10envolvimento	NGO based in Barreiras working with municipal councils and rural workers' associations, with ties to Diocese
<b>Sertão do Pajeú, Pernambuco</b>	
Articulação do Semi-Árido (ASA Brasil)	Network with extensive work with the Semi-Arid region, with around 1000 associated organizations.
Casa da Mulher do Nordeste	working with women's empowerment, agroecology and adaptation to the semiarid conditions of the Caatinga

Cecor – Centro de Educação Comunitária Rural	NGO working with human rights and civic participation in Serra Talhada, Pernambuco
Diaconia	Aid organization linked to Lutheran, Adventist and Presbyterian churches, can provide support on social issues, reaching communities.
Fórum de Mulheres do Pajeú	Forum that Works with women's empowerment and prevention of violence against women
Local community associations	Associations of rural communities which will be both stakeholders and beneficiaries.
Instituto Federal de Pernambuco	Federal Institute for high school and technical education, research and extension, potential partner for research on fruit processing
Movimento da Mulher Trabalhadora Rural de Pernambuco (MMTR - PE)	NGO that is part of the broader rural women agricultural workers of the Northeast (Movimento da Mulher Trabalhadora Rural do Nordeste - MMTR-NE)
Rede Pajeú de Agroecologia	Network of NGOs, rural workers' syndicates, agroecological associations, and research unit of the Rural Federal University of Pernambuco (UFRPE)
<b>National Government</b>	
Ministry of Agriculture, Livestock and Supply	Will provide support on issues related to farming, extension services and training. Will also provide an avenue through which best practices and lessons learned can be channelled up and shared.
Ministry of the Environment	Will provide support on environmental issues in particular loss of biodiversity, land degradation, climate change impacts.
Ministry of the Economy- Planning, Development and Management	Project will interact with the Ministry to feedback into development plans and to obtain support.

Ministry of Foreign Affairs	The project will be coordinated through the Ministry in line with its activities. It will form part of the international development project portfolio.
Ministry of Science, Technology, Innovation and Communication	The project will benefit from the scientific and technological inputs from the ministry and feedback into the ministry's knowledge base with new information on innovations, and piloted technologies.

## Annex 9 – GEF Core Indicators

Core Indicator 1	Terrestrial protected areas created or under improved management for conservation and sustainable use					(Hectares)
		Hectares (1.1+1.2)				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	TE	
Indicator 1.1	Terrestrial protected areas newly created					
Name of Protected Area	WDPA ID	IUCN category	Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Sum				
Indicator 1.2	Terrestrial protected areas under improved management effectiveness					
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score		
				Baseline		Achieved
					Endorsement	MTR TE
		Sum				
Core Indicator 2	Marine protected areas created or under improved management for conservation and sustainable use					(Hectares)
		Hectares (2.1+2.2)				
		Expected		Achieved		
		PIF stage	Endorsement	MTR	TE	
Indicator 2.1	Marine protected areas newly created					

Name of Protected Area	WDPA ID	IUCN category		Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
		Sum					
Indicator 2.2	Marine protected areas under improved management effectiveness						
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score			
				Baseline		Achieved	
				PIF stage	Endorsement	MTR	TE
		Sum					
Core Indicator 3	Area of land restored						(Hectares)
				Hectares (3.1+3.2+3.3+3.4)			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
				2,000	2,000		
Indicator 3.1	Area of degraded agricultural land restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
					1,500		
Indicator 3.2	Area of forest and forest land restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE

				500		
Indicator 3.3	Area of natural grass and shrublands restored					
			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 3.4	Area of wetlands (including estuaries, mangroves) restored					
			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 4	Area of landscapes under improved practices (hectares; excluding protected areas)					(Hectares)
			Hectares (4.1+4.2+4.3+4.4)			
			Expected		Expected	
			PIF stage	Endorsement	MTR	TE
			200,000	200,000		
Indicator 4.1	Area of landscapes under improved management to benefit biodiversity					
			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
			199,000	195,000		
Indicator 4.2	Area of landscapes that meet national or international third-party certification that incorporates biodiversity considerations					
Third party certification(s):			Hectares			
			Expected		Achieved	

			PIF stage	Endorsement	MTR	TE
Indicator 4.3	Area of landscapes under sustainable land management in production systems					
			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
			1,000	5,000		
Indicator 4.4	Area of High Conservation Value Forest (HCVF) loss avoided					
Include documentation that justifies HCVF			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 5	Area of marine habitat under improved practices to benefit biodiversity					(Hectares)
Indicator 5.1	Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations					
Third party certification(s):			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.2	Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial					
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE



Indicator 5.3	Amount of Marine Litter Avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 6	Greenhouse gas emission mitigated					(Metric tons of CO <sub>2</sub> e )
			Expected metric tons of CO <sub>2</sub> e (6.1+6.2)			
			PIF stage	Endorsement	MTR	TE
	Expected CO <sub>2</sub> e (direct)	52,000 ton CO <sub>2</sub> e	45,467 ton CO <sub>2</sub> e			
	Expected CO <sub>2</sub> e (indirect)		1,216,876 ton CO <sub>2</sub> e			
Indicator 6.1	Carbon sequestered or emissions avoided in the AFOLU sector					
			Expected metric tons of CO <sub>2</sub> e			
			PIF stage	Endorsement	MTR	TE
	Expected CO <sub>2</sub> e (direct)					
	Expected CO <sub>2</sub> e (indirect)					
	Anticipated start year of accounting					
	Duration of accounting					
Indicator 6.2	Emissions avoided Outside AFOLU					
			Expected metric tons of CO <sub>2</sub> e			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
	Expected CO <sub>2</sub> e (direct)					
	Expected CO <sub>2</sub> e (indirect)					

	Anticipated start year of accounting				
	Duration of accounting				
Indicator 6.3	Energy saved				
			MJ		
			Expected		Achieved
			PIF stage	Endorsement	MTR TE
Indicator 6.4	Increase in installed renewable energy capacity per technology				
			Capacity (MW)		
		Technology	Expected		Achieved
			PIF stage	Endorsement	MTR TE
<b>Core Indicator 7</b>	<b>Number of shared water ecosystems (fresh or marine) under new or improved cooperative management</b>				<b>(Number)</b>
Indicator 7.1	Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation				
		Shared water ecosystem	Rating (scale 1-4)		
			PIF stage	Endorsement	MTR TE
Indicator 7.2	Level of Regional Legal Agreements and Regional Management Institutions to support its implementation				
		Shared water ecosystem	Rating (scale 1-4)		
			PIF stage	Endorsement	MTR TE
Indicator 7.3	Level of National/Local reforms and active participation of Inter-Ministerial Committees				

		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.4	Level of engagement in IWLEARN through participation and delivery of key products					
		Shared water ecosystem	Rating (scale 1-4)			
			Rating		Rating	
			PIF stage	Endorsement	MTR	TE
Core Indicator 8	Globally over-exploited fisheries Moved to more sustainable levels					(Metric Tons)
Fishery Details			Metric Tons			
			PIF stage	Endorsement	MTR	TE
Core Indicator 9	Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products					(Metric Tons)
		Metric Tons (9.1+9.2+9.3)				
		Expected			Achieved	
		PIF stage	PIF stage	MTR	TE	
Indicator 9.1	Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)					
POPs type			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE

Indicator 9.2	Quantity of mercury reduced					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.3	Hydrochlorofluorocarbons (HCFC) Reduced/Phased out					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.4	Number of countries with legislation and policy implemented to control chemicals and waste					
			Number of Countries			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.5	Number of low-chemical/non-chemical systems implemented particularly in food production, manufacturing and cities					
		Technology	Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.6	Quantity of POPs/Mercury containing materials and products directly avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	PIF stage	Endorsement

<b>Core Indicator 10</b>	<b>Reduction, avoidance of emissions of POPs to air from point and non-point sources</b>					<b>(grams of toxic equivalent gTEQ)</b>
<b>Indicator 10.1</b>	<b>Number of countries with legislation and policy implemented to control emissions of POPs to air</b>					
			Number of Countries			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
<b>Indicator 10.2</b>	<b>Number of emission control technologies/practices implemented</b>					
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
<b>Core Indicator 11</b>	<b>Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment</b>					<b>(Number)</b>
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Female	3,000	6,000		
		Male	3,000	6,000		
		Total	6,000	12,000		

## Annex 10- Taxonomy

Level 1	Level 2	Level 3	Level 4
X Influencing models	X Transform policy and regulatory environments		
	X Strengthen institutional capacity and decision-making		
	X Convene multi-stakeholder alliances		
	X Demonstrate innovative approaches		
	X Deploy innovative financial instruments		
X Stakeholders	X Indigenous Peoples		
	X Private Sector		
		<input type="checkbox"/> Capital providers	
		<input type="checkbox"/> Financial intermediaries and market facilitators	
		<input type="checkbox"/> Large corporations	
		X SMEs	
		X Individuals/Entrepreneurs	
		<input type="checkbox"/> Non-Grant Pilot	
		<input type="checkbox"/> Project Reflow	
	X Beneficiaries		
	X Local Communities		
	X Civil Society		
		X Community Based Organization	
		X Non-Governmental Organization	
		X Academia	
		X Trade Unions and Workers Unions	
	X Type of Engagement		
		X Information Dissemination	
		X Partnership	
		X Consultation	
		X Participation	
	X Communications		
		X Awareness Raising	
		X Education	
		X Public Campaigns	
		X Behavior Change	
X Capacity, Knowledge and Research	X Enabling Activities		
	X Capacity Development		
	X Knowledge Generation and Exchange		
	<input type="checkbox"/> Targeted Research		
	X Learning		
		X Theory of Change	
		X Adaptive Management	
		X Indicators to Measure Change	
	X Innovation		
	X Knowledge and Learning		
		X Knowledge Management	
		X Innovation	

	X Capacity Development
	X Learning
X Stakeholder Engagement Plan	
X Gender Equality	
X Gender Mainstreaming	
	X Beneficiaries
	X Women groups
	X Sex-disaggregated indicators
	X Gender-sensitive indicators
X Gender results areas	
	X Access and control over natural resources
	X Participation and leadership
	X Access to benefits and services
	X Capacity development
	X Awareness raising
	X Knowledge generation
X Focal Areas/Theme	
<input type="checkbox"/> Integrated Programs	
	<input type="checkbox"/> Commodity Supply Chains (21Good Growth Partnership)
	<input type="checkbox"/> Sustainable Commodities Production
	<input type="checkbox"/> Deforestation-free Sourcing
	<input type="checkbox"/> Financial Screening Tools
	<input type="checkbox"/> High Conservation Value Forests
	<input type="checkbox"/> High Carbon Stocks Forests
	<input type="checkbox"/> Soybean Supply Chain
	<input type="checkbox"/> Oil Palm Supply Chain
	<input type="checkbox"/> Beef Supply Chain
	<input type="checkbox"/> Smallholder Farmers
	<input type="checkbox"/> Adaptive Management
	<input type="checkbox"/> Food Security in Sub-Saharan Africa
	<input type="checkbox"/> Resilience (climate and shocks)
	<input type="checkbox"/> Sustainable Production Systems
	<input type="checkbox"/> Agroecosystems
	<input type="checkbox"/> Land and Soil Health
	<input type="checkbox"/> Diversified Farming
	<input type="checkbox"/> Integrated Land and Water Management
	<input type="checkbox"/> Smallholder Farming
	<input type="checkbox"/> Small and Medium Enterprises
	<input type="checkbox"/> Crop Genetic Diversity
	<input type="checkbox"/> Food Value Chains
	<input type="checkbox"/> Gender Dimensions
	<input type="checkbox"/> Multi-stakeholder Platforms
	<input type="checkbox"/> Food Systems, Land Use and Restoration
	<input type="checkbox"/> Sustainable Food Systems
	<input type="checkbox"/> Landscape Restoration
	<input type="checkbox"/> Sustainable Commodity Production
	<input type="checkbox"/> Comprehensive Land Use Planning

	<input type="checkbox"/> Integrated Landscapes
	<input type="checkbox"/> Food Value Chains
	<input type="checkbox"/> Deforestation-free Sourcing
	<input type="checkbox"/> Smallholder Farmers
<input type="checkbox"/> Sustainable Cities	
	<input type="checkbox"/> Integrated urban planning
	<input type="checkbox"/> Urban sustainability framework
	<input type="checkbox"/> Transport and Mobility
	<input type="checkbox"/> Buildings
	<input type="checkbox"/> Municipal waste management
	<input type="checkbox"/> Green space
	<input type="checkbox"/> Urban Biodiversity
	<input type="checkbox"/> Urban Food Systems
	<input type="checkbox"/> Energy efficiency
	<input type="checkbox"/> Municipal Financing
	<input type="checkbox"/> Global Platform for Sustainable Cities
	<input type="checkbox"/> Urban Resilience
X Biodiversity	
X Protected Areas and Landscapes	
	<input type="checkbox"/> Terrestrial Protected Areas
	<input type="checkbox"/> Coastal and Marine Protected Areas
	X Productive Landscapes
	<input type="checkbox"/> Productive Seascapes
	X Community Based Natural Resource Management
X Mainstreaming	
	<input type="checkbox"/> Extractive Industries (oil, gas, mining)
	<input type="checkbox"/> Forestry (Including HCVF and REDD+)
	<input type="checkbox"/> Tourism
	X Agriculture & agrobiodiversity
	<input type="checkbox"/> Fisheries
	<input type="checkbox"/> Infrastructure
	<input type="checkbox"/> Certification (National Standards)
	<input type="checkbox"/> Certification (International Standards)
<input type="checkbox"/> Species	
	<input type="checkbox"/> Illegal Wildlife Trade
	<input type="checkbox"/> Threatened Species
	<input type="checkbox"/> Wildlife for Sustainable Development
	<input type="checkbox"/> Crop Wild Relatives
	<input type="checkbox"/> Plant Genetic Resources
	<input type="checkbox"/> Animal Genetic Resources
	<input type="checkbox"/> Livestock Wild Relatives
	X Invasive Alien Species (IAS)
X Biomes	
	<input type="checkbox"/> Mangroves
	<input type="checkbox"/> Coral Reefs
	<input type="checkbox"/> Sea Grasses
	<input type="checkbox"/> Wetlands
	X Rivers
	<input type="checkbox"/> Lakes
	X Tropical Rain Forests
	X Tropical Dry Forests



	<input type="checkbox"/> Temperate Forests
	X Grasslands
	<input type="checkbox"/> Paramo
	<input type="checkbox"/> Desert
<input type="checkbox"/> Financial and Accounting	
	<input type="checkbox"/> Payment for Ecosystem Services
	<input type="checkbox"/> Natural Capital Assessment and Accounting
	<input type="checkbox"/> Conservation Trust Funds
	<input type="checkbox"/> Conservation Finance
<input type="checkbox"/> Supplementary Protocol to the CBD	
	<input type="checkbox"/> Biosafety
	<input type="checkbox"/> Access to Genetic Resources Benefit Sharing
<input type="checkbox"/> Forests	
	<input type="checkbox"/> Forest and Landscape Restoration
	<input type="checkbox"/> REDD/REDD+
<input type="checkbox"/> Forest	
	<input type="checkbox"/> Amazon
	<input type="checkbox"/> Congo
	<input type="checkbox"/> Drylands
X Land Degradation	
X Sustainable Land Management	
	X Restoration and Rehabilitation of Degraded Lands
	X Ecosystem Approach
	X Integrated and Cross-sectoral approach
	X Community-Based NRM
	X Sustainable Livelihoods
	X Income Generating Activities
	X Sustainable Agriculture
	X Sustainable Pasture Management
	X Sustainable Forest/Woodland Management
	X Improved Soil and Water Management Techniques
	X Sustainable Fire Management
	X Drought Mitigation/Early Warning
<input type="checkbox"/> Land Degradation Neutrality	
	<input type="checkbox"/> Land Productivity
	<input type="checkbox"/> Land Cover and Land cover change
	<input type="checkbox"/> Carbon stocks above or below ground
X Food Security	
<input type="checkbox"/> International Waters	
	<input type="checkbox"/> Ship
	<input type="checkbox"/> Coastal
	<input type="checkbox"/> Freshwater
	<input type="checkbox"/> Aquifer
	<input type="checkbox"/> River Basin
	<input type="checkbox"/> Lake Basin
<input type="checkbox"/> Learning	
<input type="checkbox"/> Fisheries	
<input type="checkbox"/> Persistent toxic substances	
<input type="checkbox"/> SIDS : Small Island Dev States	

	<input type="checkbox"/> Targeted Research	
	<input type="checkbox"/> Pollution	
		<input type="checkbox"/> Persistent toxic substances
		<input type="checkbox"/> Plastics
		<input type="checkbox"/> Nutrient pollution from all sectors except wastewater
		<input type="checkbox"/> Nutrient pollution from Wastewater
	<input type="checkbox"/> Transboundary Diagnostic Analysis and Strategic Action Plan preparation	
	<input type="checkbox"/> Strategic Action Plan Implementation	
	<input type="checkbox"/> Areas Beyond National Jurisdiction	
	<input type="checkbox"/> Large Marine Ecosystems	
	<input type="checkbox"/> Private Sector	
	<input type="checkbox"/> Aquaculture	
	<input type="checkbox"/> Marine Protected Area	
	<input type="checkbox"/> Biomes	
		<input type="checkbox"/> Mangrove
		<input type="checkbox"/> Coral Reefs
		<input type="checkbox"/> Seagrasses
		<input type="checkbox"/> Polar Ecosystems
		<input type="checkbox"/> Constructed Wetlands
<input type="checkbox"/> Chemicals and Waste		
	<input type="checkbox"/> Mercury	
	<input type="checkbox"/> Artisanal and Scale Gold Mining	
	<input type="checkbox"/> Coal Fired Power Plants	
	<input type="checkbox"/> Coal Fired Industrial Boilers	
	<input type="checkbox"/> Cement	
	<input type="checkbox"/> Non-Ferrous Metals Production	
	<input type="checkbox"/> Ozone	
	<input type="checkbox"/> Persistent Organic Pollutants	
	<input type="checkbox"/> Unintentional Persistent Organic Pollutants	
	<input type="checkbox"/> Sound Management of chemicals and Waste	
	<input type="checkbox"/> Waste Management	
		<input type="checkbox"/> Hazardous Waste Management
		<input type="checkbox"/> Industrial Waste
		<input type="checkbox"/> e-Waste
	<input type="checkbox"/> Emissions	
	<input type="checkbox"/> Disposal	
	<input type="checkbox"/> New Persistent Organic Pollutants	
	<input type="checkbox"/> Polychlorinated Biphenyls	
	<input type="checkbox"/> Plastics	
	<input type="checkbox"/> Eco-Efficiency	
	<input type="checkbox"/> Pesticides	
	<input type="checkbox"/> DDT - Vector Management	
	<input type="checkbox"/> DDT - Other	
	<input type="checkbox"/> Industrial Emissions	
	<input type="checkbox"/> Open Burning	
	<input type="checkbox"/> Best Available Technology / Best Environmental Practices	
	<input type="checkbox"/> Green Chemistry	
X Climate Change		
	X Climate Change Adaptation	
		<input type="checkbox"/> Climate Finance
		<input type="checkbox"/> Least Developed Countries

	<input type="checkbox"/> Small Island Developing States
	<input type="checkbox"/> Disaster Risk Management
	<input type="checkbox"/> Sea-level rise
	X Climate Resilience
	<input type="checkbox"/> Climate information
	X Ecosystem-based Adaptation
	<input type="checkbox"/> Adaptation Tech Transfer
	<input type="checkbox"/> National Adaptation Programme of Action
	<input type="checkbox"/> National Adaptation Plan
	<input type="checkbox"/> Mainstreaming Adaptation
	<input type="checkbox"/> Private Sector
	X Innovation
	<input type="checkbox"/> Complementarity
	X Community-based Adaptation
	X Livelihoods
X Climate Change Mitigation	
	X Agriculture, Forestry, and other Land Use
	X Energy Efficiency
	<input type="checkbox"/> Sustainable Urban Systems and Transport
	X Technology Transfer
	X Renewable Energy
	<input type="checkbox"/> Financing
	<input type="checkbox"/> Enabling Activities
<input type="checkbox"/> Technology Transfer	
	<input type="checkbox"/> Poznan Strategic Programme on Technology Transfer
	<input type="checkbox"/> Climate Technology Centre & Network (CTCN)
	<input type="checkbox"/> Endogenous technology
	<input type="checkbox"/> Technology Needs Assessment
	<input type="checkbox"/> Adaptation Tech Transfer
<input type="checkbox"/> United Nations Framework on Climate Change	
	<input type="checkbox"/> Nationally Determined Contribution

## **Annex 11- Landscape Profiles (attached)**

## **Annex 12- Gender Analysis and Gender Action Plan**

### **12.a Gender Analysis**

#### **1. Introduction: Basic premises of Gender Mainstreaming in SGP**

The Seventh Operational Phase of the GEF Small Grants Programme (SGP) Brazil seeks to empower communities and organizations in the Cerrado and Caatinga biomes of Brazil to take collective action to enhance socio-ecological resilience of their production landscapes. SGP's recommendations, when it comes to approaches and methods, are aligned with its strategic vision of "socio-ecological resilience" and sustainable rural development, in the sense that it validates the use of a participatory landscape planning and management approach aimed at optimizing ecosystem services for local and global environmental benefits. Even though it is evident that such a participatory approach favours the engagement of various members of the communities and grassroots organizations, such as women and youth, specific measures should be put into place to guarantee that their perspectives and specific needs are taken into consideration. The GEF 2020 Strategy affirms a commitment to further strengthening GEF's focus on gender equality and women's empowerment, as goals that go "hand in hand" with sustainable development, and this vision is closely aligned with the intention of this Seventh Operational Phase of SGP in Brazil. Therefore, as is outlined in this document, specific measures will be taken to strengthen women's leadership positions within community-based organizations that coordinate small-scale projects in each of the four landscapes.

It is important to clarify that within SGP, gender is not viewed as just a mere addition, but it is a key component of the structural fabric of the project itself, from which the success of projected goals depends. Therefore, to ensure "gender mainstreaming" in a project like this one, an ideal starting place would be the implementation of a multi-dimensional diagnosis that incorporates a gender focus, with careful attention to three major "entry points identified by GEF as key priorities: (i) degree of access to and control over natural resources by women; (ii) the role of women in decision-making processes concerning natural resource governance; (iii) the participation of women in socio-economic benefits and services within each one of the landscapes. In the case of the GEF Small Grants Programme Brazil (SGP), the first stage of this diagnosis was launched during the Project preparation stage (PPG), in the course of one-day consultation meetings which brought together diverse social actors, such as farmers, representatives of community associations, and other local NGO partners in each target landscape. The methodology that was used for this diagnosis incorporated a gender perspective, given that focus groups were formed in accordance with gender distinctions (men x women) to discuss positive and negative aspects of the following themes: environment; agriculture and animal husbandry; extractive production; and social organization, projects and partners, as well as actions that could address the problems identified. Such an approach was fundamental so as to guarantee that the distinct perspectives and points of view expressed by men and women could be fully considered in the analysis of issues that are central to the SGP's framework. Beyond these participatory diagnosis sessions held in each landscape with a gender focus, interviews were conducted with the local NGO partners, including the "reference", umbrella institutions in each landscape, so as to gather information about the

particular situations experienced by rural women in the region, as well as allow for a greater understanding of their specific approaches to gender issues. Reports and other documents were provided by such organizations with complementary information on social relations and other related issues.

During the first few months of the implementation phase, it is suggested that a more thorough, in-depth diagnosis be carried out, which will serve as a foundation for the base-line studies. Even though a preliminary diagnosis was carried out by the team of consultants during the preparation for the elaboration of the PRODOC, a more in-depth diagnosis that provides a foundation for base-line studies should be a starting point for the preparation of an integrated, holistic intervention plan that will address the social vulnerabilities experienced by women, with a strong emphasis on strategies for coping with gender inequalities within the Small Grants Programme. One of the first steps towards incorporating a gender perspective in SGP involves mapping potential partner organizations in each landscape area, such as women's grassroots movements or feminist NGOs. These reference organizations, when they are found to exist, should be represented in the Multi-stakeholder platform, so that they can contribute to coordinating the initial diagnosis and directing the base line studies as well as aiding in the construction of a monitoring system that tracks the evolution of overarching strategies and actions during the project's implementation cycle. The base-line studies will be oriented by the overarching "log frame", which contains clear results in each programmatic area, and which contains gender-responsive indicators.

During this diagnosis, and in the construction of "base-line studies", the SGP project team should dedicate its efforts to gathering and analyzing information about the aspects that interfere with the social condition of women and men within the socio-political (and socio-environmental) context in which the project is situated. If such a diagnosis is thorough and is able to gather valuable information on all of these thematic areas: (i) Access and control over resources and benefits; (ii) Engagement in decision making processes in natural resource governance; (iii) Workload/ division of tasks; (iv) State of well-being and health conditions, it is more likely that the project will design and implement effective strategies and actions, with the objective of overcoming the obstacles that were identified in an earlier stage.

The gender action plan will be sustained by some important tenets and principles. The SGP project, aligned with the guidelines set out by GEF 7, aims to stimulate sustainable and innovative agricultural, productive and extractive practices that value the knowledge and skills of rural women, contributing to their autonomy and social, economic and political resilience. In this sense, the project will seek the social and productive inclusion of women taking into account the specific features of their identities and forms of occupation within the different territories, which involve different ways of relating to the land and to natural resources according to each social and environmental context. Any strategy focused on reducing gender inequalities is linked to the recognition and appreciation of women's knowledge and skills in the sustainable management of natural resources. It should consequently aim towards empowering women to gain control over such available resources and to be directly involved in making decisions about their use on a community level. Implementing affirmative actions that ensure the autonomy of women -- both in terms of technical assistance and capacity building, through educational activities and encouragement of their active participation in producer organizations, cooperatives, labor unions and public policies spaces -- is an essential step towards promoting greater gender equality in social relations within all spheres: family, community and wider society. The project should adopt measures to encourage women's participation in decision-making forums, such as Territorial Commissions and Rural Development Committees, so that they can be engaged in natural resources decision-making processes through

designing and monitoring policies that promote access to land, credit, and technologies adapted to different landscapes (“Cerrado” and “Caatinga”) for production and commercialization of a wide array of products imbued with rich nutritional value, many of which have been traditionally undervalued by community members themselves and in local markets.

## **2. General gender conditions in the Project country/countries or region**

### **(a) General gender conditions at the national level - Brazil:**

#### **Social Inequality**

Brazil continues to be one of the countries in the world with the highest degree of social inequality, and women bear the brunt of structural social and economic problems, especially in rural areas. Research conducted around the world reveals that women tend to have limited access to inputs and resources (physical, financial, human, social, and natural), which undoubtedly represents a significant impediment to their process of social, economic and political autonomy. According to studies by Moser and Satterthwaite (2008) and Carmen Deere (2002), both the level of social vulnerability and ability to adapt to adverse and precarious situations depend on the degree of access to resources, assets, and inputs (material or non-material).

#### **Rural Women**

Although rural women produce from 60–80% of food in developing countries, they have less than 2% of available land (FAO, 2011). Men presently control 87.3% of rural properties in Brazil and 94.5% of the country's total rural area (OXFAM, 2018). According to Terrenos da Desigualdade (2016), of the total number of rural farmers without land, there are almost twice as many women as men. The majority of farmers producing in areas <5 hectares are women, and 87.3% of women farmers in Brazil do not have access to technical assistance services (OXFAM, 2016).

According to census data (IBGE, 2014), 45.5% of rural women are inserted in the labor market, compared with 72.2% of rural men. By analyzing this data, it is essential to consider that, when engaging in domestic activities in a rural property, which is also characterized as their home, women have less opportunity and time to enter the labor market, unlike men, who tend to spend a few hours per week working in the productive sphere. According to the national household sample survey (PNAD, 2013), the majority of rural women (90.8%) devote 26.1 hours per week to domestic work, while 43.1% of men dedicate only 10.2 hours per week to this type of work (JALIL et al., 2017, p.64).

Approximately 46.7% of rural women are involved in subsistence agricultural activities in Brazil, compared to 14.0% of rural men (IBGE, 2009). The most common types of farming activities in which rural women are engaged include: bird breeding (73.5%); mixed crop / livestock production (72.3%); horticulture / floriculture (63.0%) (IBGE, 2009). Conversely, among men, paid employment is predominant in almost all agricultural activities. Less than one third of the people in subsistence and unpaid activities are men. This data is crucial because it reveals women's greater participation in unpaid and subsistence agricultural or non-agricultural activities. Clearly a wide range of women's contributions are not recognized as work and therefore are not accounted for in the market-oriented logic that governs the hegemonic neo-classical economics theory, which exercises a great influence on

the analysis of social phenomena. The density of women's economic life and daily work is made invisible by the fact that most transactions and actions are not monetized or calculated for their insertion in formal markets. Although women work in almost all productive tasks in all spaces of the rural property, they are generally excluded from decision making about resources, jeopardizing their personal and financial autonomy (SILIPANDRI; CINTRÃO, 2011).

At the same time, in terms of economic initiatives of rural women, the National Diagnosis of forms and configurations of Economic processes, which made up the National Information System on Solidarity Economy (SIES) implemented by the Federal Government, revealed the strong presence of rural women in economic practices that are outside the mercantile aspects of economic processes. It also points out the diversification of arrangements created by women for economic purposes. A study of productive rural organizations for women conducted in 2011 identified almost 800 groups composed exclusively of women and more than 9000 organizations made up of women producing handicrafts, plants, and benefitted foods, as well as providing services (FARIA, 2011). In the second stage of the diagnosis, conducted between 2009 and 2013, a total of 19,708 organized enterprises were identified, distributed across 2713 Brazilian municipalities (SILVA; CARNEIRO, 2014), more than half in rural areas (GAIGER, 2012). This diagnosis revealed that "women work proportionately more than men and run a considerable percentage of enterprises, illustrated by their greater community and social involvement" (GAIGER, 2012, pp. 19–20). This set of data and research shows that in all regions of the country, contrary to many political arguments, women are involved in economic processes, sometimes engaging more than men in productive activities. Women produce for subsistence while also seeking forms to qualify their productive capacities and insert their production in local and regional markets. Yet, although in many community-based enterprises women have a leading role in management processes, there are several weaknesses and gaps in their organizational processes that keep their products from being formally integrated in the formal market. Most ventures are informal, with little access to legal procedures. Other common problems are operational and structural, such as lack of working capital, difficulty in ensuring improved products and their distribution, and obstacles that prevent them from finding means of transportation to sell their products.

### **Women and Climate Change**

Disasters and climate-change-related crises have been happening more frequently over the last decade, and it is evident that their impacts are disproportionately felt by those socially excluded and living in poverty. Thus, women and children have 14 times more probability of dying in climate-related disasters than men. Moreover, the lack of resilience of people dealing with such catastrophes, some of which are occurring gradually over a long period of time, like climate change, is exacerbated by inequality. For instance, in many developing countries such as Brazil, women are primarily the ones responsible for the search, management, handling and storage of water. In this context, extreme situations involving water deprivation due to prolonged droughts (as is the case in the semiarid region of Brazil) can lead to an increase in their workload. When water is scarce, women are the ones who must travel longer distances to look for water sources, carrying water in pots or cans for long distances, as they put their safety and health at risk or spend hours waiting in line at the water-tank truck. Therefore, gender inequality is revealed in water resources management, conditions that are aggravated by erratic climate patterns.

Women also face social, economic, and political barriers that limit their capacity for adaptation, as they have limited access to effective and lasting policies and programs that address social and environmental adversities. Despite the strengthening of the women's movement's organizational power in Brazil, especially in the last 15 years, the lack of gender-sensitive policies attentive to women's needs and other gender issues is notable in climate-change mitigation and adaptation initiatives. Research has proven that

the only efficient way to combat climate change is by improving the resilience of those living at risk, such as women.

The design of programs and public policies aimed at combatting climate change can greatly benefit from the initiatives of the most vulnerable groups (women and traditional communities), given that in all biomes within Brazil, they have been able to lead fundamental changes to overcome the hardships they face. For example, studies show the important role that non-timber forest products (NTFPs) (such as medicinal plants, animals, fruits, etc.) play in adaptation to climate change. In all countries, women engage in collection / sale of NTFP products for subsistence and also introduce such products in local markets, especially when other income-generating activities are not feasible. Studies have shown that on rural farms, it is mostly women who are engaged in the transition to more sustainable land management systems, such as agroecology. They introduce innovations in farming practices and land systems, which in many cases leads to intra-family conflicts, usually due to the resistance of men (husbands and children) to adapt to new models of agricultural production initially perceived as being more labor-extensive and less profitable on a short-term basis. Women are often the first to coordinate productive processes in the logic of diversification and to seek sustainable practices that do not harm the environment and make full use of local resources. They generally are the first to suggest not using pesticides and chemically-based fertilizers in all areas used for planting on the rural property, as they recognize the harmful effects of such substances on people's health as well as the environment. They also have a greater awareness of the link between productive practices and consumption (food habits) and play a key role in cultivating food security within their families and communities, as they take greater responsibility for ensuring that all family members are well fed.

These initiatives, which could be observed in each of the four landscapes, should be fostered by the actions proposed in the Gender Action Plan. According to the Forests and Gender, published by the International Union for Conservation of Nature (IUCN): "As most of the world's biodiversity inhabits fragmented landscape mosaics outside protected areas, women and other community members who manage and use forests for a range of land-uses must also be considered as primary stakeholders" (Aguilar et al., 2011, p.22). For this reason, the SGP project prioritizes the active participation of women, considered to be the primary "stakeholders" (parties involved / engaged) in management plans for non-timber agricultural activities. The vital role that they play in promoting innovations (both technological and methodological) that aim to promote sustainable agricultural systems resilient to climate change is an important consideration in the design and implementation of the Small Grants Program SGP – in Brazil.

#### **(b) Gender conditions at the local and regional level: Landscapes in Minas Gerais, Bahia, Piauí e Pernambuco**

In each one of the landscapes that is contemplated in the SGP proposal, environmental problems have become more severe over the past 10 years, in many cases linked to the invasion of untitled lands that are seen as "open for grabs" by large companies engaged with large-scale monoculture productive activities that make use of harmful chemicals or undertakings focused on charcoal production. The damaging impacts of these forms of intervention in the biomes have become more clearly visible only in recent years, since the effects of contamination (carried through air or water) take a while to become visible to all those affected.

Negative environmental effects are multiple in these Caatinga and Cerrado biomes, such as deforestation, degradation of vegetation and soils, pollution by smoke from unsustainable charcoal production and contamination from chemical fertilizers. Hydrological conditions across these landscapes have been



severely altered, provoking scarcity of water sources, which has increased the need for simple, efficient technologies aimed towards rainwater water harvest and storage. In the hinterlands in Pajeu, Pernambuco, the region is recovering from a multi-year drought, leading to the drying up of pools and other sources of water, as well as facing pollution of major rivers and dams caused by the excessive use of agrochemicals in monoculture agricultural production. In Upper Jequitinhonha Valley in Minas Gerais, in a bleak context in which springs and rivers have been drying up because of extensive unsustainably-grown eucalyptus plantations on plateaus and wetland areas have been dammed for use by bioenergy companies, some communities have managed to maintain reserve areas for spring recharge, although there is a need for other types of strategic solutions. While in Arrojado River Basin in Bahia the removal of water for extensive irrigation by companies engaged in large-scale agricultural activities has affected traditional ditch irrigation systems, in Alto Poti River Basin in Piauí, the scarcity of water is more strongly experienced in the dry season, which indicates the need to develop techniques that contribute to household maintenance, such as cisterns for storing rainwater from roofs and slabs.

Beyond a doubt, in all of these four landscapes, social and environmental problems, such as the drying of streams, the contamination of different bodies of water and the reduction of agro-biodiversity in backyard gardens, forests and other areas have led to an increase in food insecurity and an outbreak of chronic afflictions and diseases. In a participatory gender diagnosis that occurred during workshops held in each of the biomes, women from the communities in each region claimed that such problems have led to an increase in their workload, largely due to the fact that they normally act as the major care takers, doing care-work for the most vulnerable segments of the population (children and elders) in the face of precarious situations. Survey data indeed shows that as natural resources (such as water) become scarcer, women's participation in resources management activities significantly increases, overburdening them on a daily basis, in the face of so many other work responsibilities in the productive and domestic spheres. Also, in two of these landscapes - in the Upper Jequitinhonha Valley in Minas Gerais and in the Arrojado River Basin in Bahia -, where men's migration patterns have intensified in the face of such adverse conditions for agricultural production at the local level, women have had to assume more tasks in their absence, taking on the title of "widow of a live husband", which carries with it emotional and physical burdens.

Some negative social impacts can be detected in all 4 of the landscapes, all of which have specific repercussions for rural women within the target areas: 1) fragile organizational structures at the community level, especially in the context of traditional communities; 2) reduction of public policies aimed at small-scale agriculture, and difficulties in gaining access to many of them, due to organizational impediments; 3) technical assistance services that are devoid of gender sensitive approaches and that tend to exclude female agricultural workers from technical, production oriented activities; 4) rigid sanitary requirements that impede the commercialization of processed products, such as jams, fruit pulps and fruit-based sweets, many of which tend to be under the domain of female agricultural workers; 5) high level of food and nutritional insecurity and vulnerability to malnourishment and chronic-degenerative diseases, due to unhealthy diets and the lack of diversification of crops in productive systems.

The lack of water is a factor that is mentioned by women as directly affecting the possibility of diversifying agricultural systems and undertaking projects involving the creation of community gardens or backyard gardening in family plots based on agroecological principles. However, despite these obstacles, especially in two regions - the landscapes of Alto Poti River Basin in Piauí and the hinterlands in Pajeu, Pernambuco - organizing efforts focused on agroecology are worthy of note, in part due to the engagement of two major organizations - "The Northeast Region's Women's Center" and the "Center for Education Mandacaru" -, in projects that feature agroecological production and commercialization. Many of these

experiments in agroecology take place within “backyard gardens”, known for their high degree of biodiversity, as they are responsible for the production of fruits, vegetables, natural seasonings and medicinal plants, which are cultivated mostly by women, who have historically played a fundamental role in such productive spaces. These agroecological experiments, in which women tend to exercise great guidance, present conditions for greater sustainability and resistance to climate change due to the fact that they contribute towards conserving the land through the use of organic material, as conventional (and harmful) practices such as slash - and - burn techniques for preparing the soil and chemical fertilizers are generally banished. In both of these landscapes, the use of social and renewable technologies for dealing with semiarid conditions, with a strong focus on the collection and storage of rainwater, such as cisterns, have been fundamental in amplifying vegetable production throughout the year and thereby increasing the diversity of species. In the case of Pajeu, the “Northeast Region’s Women’s Center” has developed an especially innovative technology - the “gray water re-use system” - through a participatory approach based on the idea of “learning by doing”, in which women are trained technically for installment of such technologies throughout the local community and beyond.

The *Northeast Region’s Women’s Center (CMN)* has also played a crucial role in encouraging the creation and consolidation of “native seed banks” at a community level, an initiative in which women tend to take on a leadership role, as they have historically had a concern for the preservation and circulation of diverse kinds of native, “crioula” seeds. In Pernambuco, 119 local “native seed banks” have been constructed in Pajeu and two neighboring rural territories - Agreste and Araripe -, with the support of CMN and ASA – “Network in the Semiarid Region of Brazil.” Another initiative which has greatly contributed towards increasing women’s visibility in activities involving the commercialization of such agroecological products - considered a realm that has been historically dominated by male members of the family and community structures - has been the promotion of agroecological markets, which have been made possible through networks of local partners in the biomes within the states of Piauí, Pernambuco and Minas Gerais. In Alto Poti River Basin in Piauí, there exists the proposal of incorporating the “exchange of crioula seeds”, as a social practice, in agroecological market scenes, a proposal which most definitely will contribute to giving more visibility to rural women, who traditionally play a crucial role in the preservation of the agro-biodiversity within their own households and within community seed banks. All of these innovative initiatives are already taking place in many of the 4 landscapes and will be stimulated even further through the small-scale projects to be elaborated and put into place through the Small Grants Programme, in such a way that women’s participation in agricultural practices can be highlighted, ultimately strengthening their social organizing potential.

In the participatory diagnosis of gender conditions within these 4 biomes, which took place during the months of October and November of 2019, rural women who took part in the workshops brought attention to two strong areas for agricultural and extractives production that can potentially be fortified through the Small grants programme (SGP):

**(i) Processing of native fruits:** Despite the fact that there has been a reduction in the diversity of species of fruit trees in some of the landscape areas due to a surge of environmental problems, in the context of these workshops, female representatives from community-based organizations showed concern for the scarcity of initiatives for processing native fruits. There is a wide-spread perception that native fruits, such as pequi, buriti and caju are not being taken advantage of, falling from the trees and rotting rather than being transformed into by-products, such as fruit pulps, jams or jellies. Such initiatives would require technological innovations so as to facilitate the processing of such fruits, constituting a strong demand for local women’s groups.

**(ii) Handicraft production:** Another theme which is strongly expressed in almost all the landscapes is the fabrication of handicrafts from natural resources, which shows a strong link between

handicraft production by rural women, and their extractivist activities. In Arrojado River Basin in Bahia, women are deeply involved in the creation of a wide range of products (brooms, sieves and hats) derived from a native fruit known as “buriti”, to be found in the nearby forest areas. In Upper Jequitinhonha Valley in Minas Gerais where handicrafts are made from local natural resources such as clay, wood, cotton and bamboo, handicraft production has been the fulcrum of women’s organizing efforts. Three associations made up of rural female artisan craft workers and agricultural workers of different municipalities have aided other processes of social organization, as can be witnessed when one observes the extent to which women have taken on leadership positions in local associations and cooperatives within the last few years.

The following table presents information about the nature of the social and environmental problems that affect each one of the four targeted landscapes in the biomes (Caatinga x Cerrado), the consequences of such problems for rural women and possible solutions that consider the needs and demands of this particular target group in these biomes.

<b>BIOMES</b>	<b>SOCIAL AND ENVIRONMENTAL PROBLEMS</b>	<b>CONSEQUENCES FOR THE TARGET GROUP: RURAL WOMEN</b>	<b>SOLUTIONS/ALTERNATIVES</b>
All 4 landscapes - Caatinga and Cerrado	Streams dried up or with less water; contamination of different bodies of water; reduction of agro-biodiversity in backyard gardens and forests	-Survey data shows that as natural resources (such as water) become scarcer, women's participation in resources management activities significantly increases, overburdening them on a daily basis. The increase in women’s workload is directly related to the functions they carry out as “caretakers” of the most vulnerable segments (children and elders).	-Promote measures aimed towards the equal division of labour (labour-saving technologies; consciousness-raising about sharing tasks with husbands and sons); -Creation of “native seed banks” through small grants (SGP) for increasing biodiversity; - Implementation of agro-forestry systems and/or use of agroecological techniques in all biomes through local NGOs’ technical assistance.
Upper Jequitinhonha Valley (Minas Gerais) and Arrojado River Basin (Bahia) – Biome Cerrado	Men’s migration patterns have intensified due to adverse conditions for local agricultural production	Elevated workload and high stress level for female agricultural workers during men’s absence	-Create alternative income-generating activities (through SGP and other projects/programs) that deter men’s migration patterns; -Experimentation and disseminating of labour-saving technologies (ex: ecological stoves)

Arrojado River Basin (Bahia) – Biome Cerrado & Alto Poti River Basin (Piau�) – Biome Caatinga	Fragile organizational structures at the community level (reflected in lack of women’s movements and organizations fortified for social action)	Rudimentary signs of female-led organizing efforts	-Encourage the creation of grassroots women’s groups and organizations through Small grants program; -Ensure representation of at least 1 existing women’s organization in each one of the Stakeholder Platforms
All 4 landscapes - Caatinga and Cerrado	Unhealthy diets and the lack of diversification of crops in productive systems.	High vulnerability of certain social groups (women and children) to malnourishment and chronic-degenerative diseases	-Greater diversification of food systems through agroecological principles incorporated in gardening projects which feature women’s leadership
All 4 landscapes - Caatinga and Cerrado	Technical assistance services that are devoid of gender sensitive approaches and that tend to exclude female agricultural workers from technical, production-oriented activities	Lack of opportunities for women to experiment and learn new techniques and approaches to agricultural and extractive activities in the face of serious environmental problems (deforestation, degradation of `vegetation and soils)	- Women’s protagonism in horizontal, participatory forms of technical assistance (“Farmer” to “farmer” exchanges) focused on : (i) Experiments in agroecology within “backyard gardens”; (ii) The use of social and renewable technologies with a strong focus on the collection and storage of rainwater, featuring the involvement of female agricultural workers (“learn by doing”); (iii) creation of “native seed banks” at a community level; (iv) promotion of agroecological markets for commercialization of products made by rural families, in which female agricultural workers play an important role.
All 4 landscapes – Biomes Caatinga and Cerrado	Rigid sanitary requirements that impede the commercialization of processed products, such as jams, fruit pulps and fruit-based sweets	Affects women farmers more severely because they tend to be more involved with initiatives involving the processing of agricultural products	-Measures to increase women’s knowledge of existing sanitary requirements so as to prepare them for income-generating activities of processed goods, such as processing of native fruits

Arrojado River Basin in Bahia & In Upper Jequitinhonha Valley in Minas Gerais	Reduced access to natural resources for handicrafts production due to environmental factors	Affects the livelihood of many rural women, given that handicrafts in this region are created from natural resources, showing a strong link between handicraft production and their extractive activities.	-Measures to fortify Female Artisans' forms of social organization (specific associations); -Proposals for increasing environmental sustainability (reforestation, combatting degradation) in areas used for extraction.
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### 3. Recommendations and specific strategies for gender mainstreaming within the Project proposal

#### 3.1 Recommendations for gender mainstreaming in SGP-7

- Construct a Multi-stakeholder platform, made up of a wide variety of institutions and organizations from the public and private sectors that represent the voices of different social groups, in such a way that women's interests and demands can be well represented.
- Carry out an in-depth diagnosis, complemented by base-line studies, in the initial phase of the implementation cycle of SGP-7, in partnership with a wide array of organizations that make up the Multi-stakeholder platform.
- Construct a Gender Action Plan based on two major pillars of action: (i) women's increased access and control of resources and services; (ii) women's increased access to opportunities and natural resources decision-making processes. Such an intervention strategy should contain the following actions: Capacity-building activities; Social communication and knowledge management products with a gender perspective; A monitoring plan with gender-responsive indicators and verification mechanisms.
- Ensure that the methodological approach and tools within the M & E system have a gender perspective and contain gender- responsive indicators as well as verification methods that consider both qualitative and quantitative dimensions of social and environmental changes during SGP's implementation cycle.
- Guarantee the existence of a gender-specific budget allocation that will ensure specific actions that recognize and strengthen the role of rural women in particular strategic areas.
- Construct social communication and knowledge management strategies aligned with the monitoring and evaluation system that guarantee the production and dissemination of materials that highlight women's crucial role in exemplary practices and transformations within the field of gender social relations throughout SGP's implementation cycle.

- Guarantee periodic evaluation meetings on gender-related impacts and women's empowerment throughout the project implementation cycle, all of which should be incorporated into the project implementation report, midterm report, and final evaluation.
- Carry out sensitivity-trainings on gender-mainstreaming directed towards technicians and staff members of local organizations in each landscape.
- Promote capacity-building activities that consider women's vital role in the experimentation of innovations in both technologies and methodologies that aim to promote sustainable agricultural systems resilient to climate change.
- Provide child-care activities (ex: "child-care circles") during meetings or capacity-building activities so as to ensure women's participation and encourage the socialization of care-work responsibilities.
- Strengthen the role of the space of the "Stakeholder Platform" in encouraging and fortifying women's voice in planning and decision-making bodies at a local and regional level, such as Territorial Commissions and Rural Development Committees.
- Implement concrete measures dedicated towards fortifying income generating enterprises led by women's groups, as well as enabling their insertion in short, direct circuits of commercialization.

### **3.2 Description of Specific strategies for gender mainstreaming in SGP-7**

#### **3.2.1 Complete diagnosis of landscapes and baseline studies with a gender perspective**

The first steps involved in the design of a landscape strategy involves the construction of a complete, in-depth diagnosis of the various facets of each landscape, which will serve as a solid foundation for the baseline studies. Such a task should be taken on in the context of the multi-stakeholder platform meetings. It is important that the multi-stakeholder platform be constructed with a wide variety of institutions and organizations from the public and private sectors that represent the voices of different social groups, in such a way that women's interests and demands can be well represented.

The in-depth diagnosis, to be carried out in the context of the multi-stakeholder platform, should be a starting point for an intervention plan aimed at tackling main socioenvironmental problems that has a focus, on the one hand, the social vulnerabilities experienced by rural women in their distinct contexts (with special attention to traditional communities), and on the other hand, the potential strategies (many of which are already being used by existing women's groups and organizations) for confronting forms of gender inequality. This diagnosis can be characterized as a qualitative investigation, and should ideally use techniques and methods derived from the methodology used for the DRP (Participatory Rural Diagnosis), widely used by many organizations in Brazil, which explicitly reveal concerns and demands of female participants, in accordance with the social positions they occupy (young women, women from quilombola or indigenous communities). The diagnosis should focus on gathering information based on these principal domains of gender inequality: (i) Access and control over resources and benefits; (ii) Forms of leadership and decision-making processes; (iii) workload and division of tasks; (iv) state of "well-being" and health conditions. The information generated in this diagnosis will be complemented by interviews

with other stakeholders, as well as complementary studies that have been carried out by research centers and academic institutions in each of the 4 landscapes. An instrument that should be applied in the same period as this diagnosis is the “baseline studies”, with the major goal of generating precise information on all the aspects of the families’ lives within the target areas before the implementation of the grants. Such baseline studies should be carefully designed so as to raise specific information about women in each context, based on the reference scheme outlining the principal domains of gender inequality listed above. The Baseline studies will raise information in accordance with indicators featured in the logframe, to be adjusted and fine-tuned after the completion of the diagnosis, all of which will compose the monitoring plan for SGP.

An analysis of gender gaps and their causes and consequences based on the results of the diagnosis and Baseline studies will be carried out by all the social actors involved, in such a way that both the Gender Action plan, containing major strategies and actions, and the monitoring and evaluation system with gender- responsive indicators (qualitative and quantitative), will be constructed and implemented within the context of the Multi-stakeholder Platform, with the full participation and involvement of a diverse array of organizations and institutions, that can respond for different aspects of these processes. The information generated from a thorough diagnosis with a gender perspective will provide elements for constructing a solid and consistent Gender Action Plan, that will aim towards creating measures that address the root causes of inequalities, enabling transformations in social norms, practices, belief and value systems.

The Gender Action Plan will aim towards enabling rural women’s empowerment based on two major pillars of action: (i) the increase in women’s access and control of resources and services; (ii) women’s increased access to opportunities and the fortifying of their capacities. Below, in the following items (3.2 to 3.4), key aspects of the Gender Action Plan will be outlined.

### **3.2.2 Capacity building activities that enable rural women’s empowerment**

Certain considerations should be made concerning capacity building activities within the project proposal. The first consideration involves methodological and epistemological aspects. The process of informal education is dialectical and complex and should contribute to a more comprehensive understanding of social and power relations in which the different subjects are deeply immersed, exploring their multiple dimensions: social, political, economic, cultural. All educational activities to be promoted by the SGP will be inspired by the “peasant-to-peasant” methodology, based on the enriching learning process that comes from knowledge sharing through face-to-face exchanges between those deeply engaged in agricultural and extractivist practices. Such exchanges should take place on a regional level, between communities, but also between landscapes (inter-state), and will place a strong emphasis on the role of women in fostering the invention and experimentation of innovative methodologies and technologies aimed at social and environmental sustainability. Through training and capacity-building workshops aimed only at the female beneficiaries in the project area, women will gain greater control over resources – material, intellectual and financial – in a context where lack of access to inputs and productive resources is an obstacle to women's self- determination. A feature of such learning processes and exchanges will involve highlighting “local talents”, in the sense of validating women agricultural workers with expertise in certain productive and agro-extractive activities or sustainable practices.

The second consideration involves the need to stimulate women’s active participation in activities that are “mixed” (ex: meetings of community-based associations) throughout the SGP implementation cycle. In courses, meetings, and exchanges planned in the project, an effort will be made to maintain a balance

between men and women in the target audience. The proportion of at least 40% of women in all educational and organizational activities held in the different landscapes will be more easily maintained when certain measures are put into place. For instance, such activities should occur during scheduled times that are more adequate for women, due to their responsibilities with child care and domestic tasks, so that their participation can be more easily facilitated. Beyond that, a priority of SGM should be providing effective measures for guaranteeing child care services during planned activities. Specific social movements in Brazil have developed a methodology known as “cirandas” (“child care circles”), in which local leaders are trained to facilitate educational activities for young children that take into account themes linked to social and environmental sustainability. It is suggested that umbrella, reference organizations in each landscape come up with their own strategies and options for child care, thereby providing conditions for women’s full-fledged participation in project activities.

Below will be outlined two types of capacity building activities aimed at greater gender equality and women’s empowerment, carried out with distinct social actors.

***(a) Specific sensitivity training sessions for staff of umbrella, reference organizations and their partners***

One of the major challenges of gender mainstreaming in social projects involves the limited capacity of technical work teams to internalize the perspective of “social inequalities” (gender, race, and ethnicity) and apply it in their interventions. This difficulty is often a reflection of the fragmentation of areas of knowledge within the formal educational system, in such a way that those who are trained to apply “scientific” knowledge as “agronomists”, for instance, in technical assistance programs, are often not well prepared to consider social aspects of the empirical reality they come across in rural communities within distinct biomes. Therefore, an effort should be made to provide a “multi-disciplinary” approach to professionals who act within the different landscapes and play a role in orienting the community-based groups and organizations that possess small grants. A recommendation is that training sessions in gender issues be provided to the staff of umbrella, reference organizations and their partners in each landscape, especially in the project’s initial phase. Reinforcement workshops should also be held throughout the implementation cycle. Such sensitivity training sessions will prepare staff members not only to coordinate gender specific capacity-building activities with women rural workers, but also to construct mechanisms for gender mainstreaming in the implementation and monitoring of small grants. It is suggested that one of these umbrella, reference organizations – the *Northeast Region’s Women’s Center (CMN)* -, that acts in the Pajeu Region in Pernambuco – play a crucial role in planning and implementing these trainings with institutions from other biomes, as it has a vast experience in designing strategies and tactics that promote gender equality from a feminist approach.

***(b) Specific training activities for rural women in technological innovations***

The gender action plan prioritizes the creation of strategies that will promote women’s engagement in applying renewable technologies and sustaining the knowledge management process generated from their use. To this end, there may be some valid doubts about the “social” function of technology, since it not only helps generate economic returns and positive environmental impacts but also must answer to the beneficiaries’ expectations, positively influencing the quality of their lives and power dynamics underlying social relationships.

From this angle, a fundamental guideline of this project will be the promotion of specific training activities



that allow the incorporation of technologies using the pedagogical approach "learning by doing," so that women become adept at implementing technological innovations and can reproduce them in local communities as well as within the region. Women in each landscape will be trained in the management of technologies such as eco-stoves or gray-water-reuse systems. Enabling women to coordinate an equipment-building activity (traditionally viewed as a "male" trade) will contribute directly to shifting gender social relations within the family unit and within the wider community. It is also important that women be validated in their efforts to evaluate each one of these technologies and suggest ways of making them better suited to their specific needs, given that all renewable, sustainable technologies can be continually readjusted and transformed, in accordance with the local context.

### **3.3 Social communication and knowledge management from a gender perspective**

"Knowledge management products" (videos and publications) can contribute to the efficiency of a social and environmental project like SGP in diverse ways. One of their functions is purely pedagogical: they help to disseminate new information, thereby maximizing the effects of learning processes. This can be especially important for rural women, who have historically had less access to information. Beyond that, social communication tools, especially radio and video, have proven to be crucial instruments for legitimizing collective identities, helping to affirm the interests of marginalized social groups, such as women, youth and traditional communities. For rural and poor women, who have historically been excluded from visual images, in such a way that they often appear to be invisible in TV programs, advertisements or mainstream publications, seeing their image reflected on any sort of audiovisual material ends up reinforcing the value of their personal and collective trajectories. In this sense, a priority of this project will be the systematization of technological and methodological innovations considered to be "exemplary practices", that are led by rural women and other typically excluded social groups, all of which will be disseminated among the communities within each biome and between the four landscapes.

"Knowledge management products" are used not only for generating "learning", but also for "scaling up", with the purpose of allowing for more effective interference in public policy making in the realm of environmental sustainability and responsible use of natural resources. Therefore, high-level reporting, research and investigation, that results in the creation of diverse knowledge management products, plays a major role in increasing awareness of SGP's strategies among stakeholders and wider audiences, as well as aiding negotiations with decision-makers. In this regard, case studies that feature women's role in developing innovations within land systems and in carrying out strategies for sustainable resource management can be especially effective in influencing public opinion and setting a standard for gender equality and women's empowerment within the design of public programs and policies.

Last of all, it is fundamental that strategies of social communication and knowledge production be linked to a system of PMES - planning, monitoring, evaluation and systematization - in such a way that observations about changes that have occurred based on indicators of social and environmental processes can be incorporated in the materials that will be produced and disseminated for the wider public. For example, positive examples of impacts caused by technologies such as eco-efficient stoves, that beyond their environmental effects also reduce the work load of rural women, can be featured in such knowledge production materials.

### **3.4 Construction of a monitoring plan with gender-responsive indicators and verification mechanisms**

In order to construct a system of M & E with a gender perspective, it is important not only to guarantee the collection and analysis of disaggregated indicators (by sex), but also to ensure that there is a balance between indicators based on qualitative changes and those that are more quantitative in nature. It is evident that indicators that are qualitative in nature possess a greater capacity to capture changes in social relations based on the use of verification methods that attest to alterations in power dynamics within different scopes.

If on the one hand, indicators identified as “quantitative” in nature seem to be simple to elaborate and also to monitor, on the other hand, they raise limited information when it comes to perceiving and registering social transformations, many of which are subtle and progressive. On the other hand, qualitative indicators, although more highly efficient when it comes to providing information about changes in the social realm, especially in respect to power relations and the forms of empowerment of rural women, also demand greater attention in their elaboration and verification.

In the SGP, it is recommended that indicators identified as “qualitative” be elaborated based on the same conceptual framework that will be used in the diagnosis with a gender perspective (see item 3.1), that contemplates different dimensions of the social lives of rural women, through the specific angle of their effects on the environment and on other members of the family units and communities. It is recommended that the methods of verification to be used in the monitoring system are capable of registering the changes that occur in women’s lives over the course of SGP, such as case studies, audiovisual methods (videos and photographs)<sup>22</sup> and focal groups. Different verification mechanisms complement one another within a monitoring system, in such a way that by using a wide variety of methods, it is more possible to guarantee greater efficiency in the process of raising information, beyond making the system more dynamic and participatory for the actors engaged in its use.

In order to ensure that the organizations that take part in the multi-stakeholder platforms are able to construct an efficient and thorough monitoring system that takes into account gender-responsive indicators, it will be necessary to carry out a number of training sessions. These sessions will play a major role in fortifying the role of multi-stakeholder platforms and other instances, such as the Project Advisory Committee, in evaluating and monitoring strategic actions on a periodic basis, based on the analysis of information derived from these multiple indicators. Throughout the project implementation cycle, evaluation meetings focused on analyzing specifically gender-related impacts and signs of women's empowerment should be held periodically by the Multi-stakeholder Platform, based on a rigorous analysis of gender responsive indicators.

In conclusion, it will be crucial to strengthen the linkages between monitoring and evaluation mechanisms and knowledge management strategies, in such a way that the majority of materials produced during the implementation cycle of SGP have as a reference point for their analysis the changes that have been verified based on different types of indicators. In such a way, an effort should be made to create at least 3 knowledge management products that deal directly with transformations that occurred in the lives of rural women within the 4 landscapes, with a focus on the methodological and technological innovations that contributed towards greater gender equality, due to their respective approaches.

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<sup>22</sup> “Social communication” instruments such as audiovisual mechanisms present a great advantage in monitoring systems, due to the fact that they are capable of making comparisons between different temporal points (“before” and “after”), showing the changes that occur in different stages of a social project. They are especially efficient in revealing modifications in social relations (gender, generational aspects), as well as demonstrating the evolution of women within processes that reinforce their self-determination and empowerment.

### 3.5 Fortifying income generating enterprises led by women's groups, as well as enabling their insertion in short, direct circuits of commercialization

It is vital that professionals working in umbrella reference organizations within each landscape promote the consolidation of points for commercialization of biodiverse products that go beyond the common commercial outlets, such as agroecological marketplaces. Short direct circuits of commercialization such as markets favor women's direct interaction with consumers without the intermediary action of men, in such a way that they tend to strengthen women's economic, social and political autonomy. The street markets in small cities near rural areas are already a common event in popular culture, but their scope must be broadened so as to promote the visibility of specialized products, such as agroecological products.

The gender action plan should contain strategies that enable the qualification of women's productive groups, helping them to expand marketing possibilities through inserting their products in different informal and formal markets. Attention must also be paid to the challenges of complying with the norms required by sanitary legislation and loopholes should be overcome by moving toward participatory certification. In some cases, it will be important to improve product presentation (packaging, labels, etc.) and plan measures of distribution through communication and marketing strategies. These measures, aimed at quality control and improvement of the product's visual image, will increase the possibilities of placing different agroecological products (in natura and processing) in a range of marketing venues.<sup>23</sup>

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## 12.b. Gender Action Plan

**Project objective:** To build social, economic, and ecological landscape resilience in the Cerrado and Caatinga biomes through community-based activities for global environmental benefits and sustainable rural development

**Outcome 1:** Ecosystem services within Cerrado and Caatinga biomes are enhanced through multi-functional land-use systems that improve resilience, ecological connectivity and livelihoods of communities.

Gender related output: Construction of resilient multi-functional land systems that incorporate women's forms of participation, find a balance between diverse labor responsibilities through sharing of "care work" and increase their access to benefits and resources

**Project output 1.1:** Community level small grants that restore degraded landscapes, improve connectivity, support innovation regarding biodiversity conservation and optimization of ecosystem services, including sustainable use of biodiversity; recovery of native vegetation; integrated fire management, etc.

Indicator	Target	Baseline	Data Source/Reporting Mechanism	Timeline	Responsibilities
Complete, in-depth Diagnosis and Baseline studies completed for each landscape, gender gaps identified, and monitoring practices agreed to for tracking women's work responsibilities (conciliation of domestic and productive tasks) and their level of access to and control over benefits and resources	60% of the SGP projects led by women with gender-sensitive strategies and strategic actions; At least 4 strategies include concrete gender indicators (SMART) and targets for including women in all SGP projects	Data disaggregated and analyzed in accordance with gender work responsibilities and level of access to land (stewardship and management) as well as other natural resources and benefits	Assessment from baseline studies, Complementary information from Reports provided by local organizations	1 <sup>st</sup> and 2nd years	ISPN organization/ umbrella, reference organizations in all 4 landscapes (4)/ M&E team

Number of sensitivity-trainings on gender-mainstreaming directed towards technicians and staff members of local organizations implemented in each landscape	At least 30 technicians from strategic organizations and in each landscape participating in the trainings	Creation of a manual about gender mainstreaming in small-scale projects	Reports from training sessions, M & E reports	1st year	ISPN/ gender consultant, Staff from the Northeast Region's Women's Center (CMN) -, (Pajeu Region in Pernambuco)
Landscape strategy developed by the corresponding multi-stakeholder platform that integrate women's demands and viewpoints and contribute to closing gender gaps related to access to and control over natural resources	100% of landscape strategies that include women's demands and priorities and take concrete measures towards closing gender gaps related to access and control over natural resources	Methodology for preparatory workshops aimed at construction of a landscape strategy that improves the participation and decision-making of women in natural resource governance	M&E Reports, case studies	1st year	ISPN, staff team of umbrella, reference organization in each landscape
Number of child-care activities (ex: "child-care circles") being held during meetings or capacity-building activities within each landscape	An improvement in women's participation up to 40% due to initiatives for sharing/ socializing care-work responsibilities (such as child-care)	Methodological proposal for alternatives in childcare support and socialization of domestic activities, to be disseminated among members of multi-stakeholder platforms	M & E reports; methodological proposal for alternatives in childcare support	1st year	ISPN, staff team of umbrella, reference organization in each landscape

**Project output 1.2:** Targeted community projects enhancing the sustainability and resilience of production systems, including soil and water conservation practices, silvopastoral and agroforestry systems, increased on-farm arboreal coverage, conservation of agrobiodiversity; agro-ecological practices and cropping systems.

Number of capacity building activities developed that aim towards closing gender gaps related to access and control over natural resources (with a strong focus on young women and women from traditional communities)	Dissemination of at least 2 trainings prioritizing women's activities; 2 trainings for technicians and staff members of NGOs and community-based organization with a gender perspective held in each landscape.	Data indicating the number of sustainable practices which feature women before the implementation of SGP-7	M&E Reports, case studies, updated systematization of sustainable practices/ experiences in which women play a major role	2 years	SGP support team, ISPN, gender consultant
Number of women directly involved with agroecology/agroforestry systems in each landscape, including number of female-led households (in the case of absence of men for diverse causes)	At least up to 50% women participating in agroecological or agroforestry initiatives;  At least 40% of initiatives being led by female farmers.	Data from baseline studies showing the use of agroecological practices in properties per landscape	M & E reports; baseline studies; Case studies published and disseminated for communities, partner organization and public policy makers/ officials; focal groups	3 years	SGP support team, ISPN, staff from umbrella, reference organizations

**Project output 1.3:** Targeted community projects promoting sustainable livelihoods, green businesses and market access, including socio-biodiversity products, beekeeping; green value-added agro-businesses integrated into value chains, micro-processing

Amount of income generated by women-led small-scale projects in accordance with type (according to a typology: ex: “micro-processed products”/ “socio-biodiversity products “in natura”) in each of the 4 landscapes	In at least 40% of small-scale projects in which women play a major role have showed an increase of at least 10% in their income during a 4 year period	Data from base-line studies indicating amount of income generated from income-generating activities led by women before the implementation of SGP-7	Baseline reports, M&E Reports; focal groups	4 years	SGP support team, ISPN, staff from umbrella, reference organizations
Number of markets (and kinds of markets: institutional or informal/ local or regional) being accessed by small-scale women-led community enterprises	At least 2 new forms of markets and commercialization venues being accessed by women-led community enterprises over the 4-year period of implementation of SGP-7 projects; 80% of existing women-led community enterprises supported by SGP-7 projects; At least 70% of women involved in community-based enterprises being benefitted by socio-	Data from base-line studies indicating level of access to markets by income-generating enterprises featuring women in leadership positions before the implementation of SGP-7	Baseline reports, M&E; focal groups	4 years	SGP support team, ISPN, staff from umbrella, reference organizations

	economic benefits and services.				
<b>Project output 1.4:</b> Targeted community projects implementing energy efficient technologies in each landscape, including biogas, fuel-efficient stoves, etc.					
Number of agricultural female workers participating in training sessions with a "learning by doing" approach for use of energy efficient, renewable and labour-saving technologies	Number of energy efficient and renewable technologies being implemented and used by women in their communities and territories; Reduction in at least 20% of women's workload due to use of labour-saving technologies	Data from base-line studies about social and environmental conditions before and after the use and dissemination of energy efficient & renewable technologies (ex: changes in women's workload)	Baseline reports/ Systematizations of trainings held/ M & A reports	4 years	ISPN, staff from umbrella, reference organizations
<b>Outcome 2:</b> Multi-stakeholder governance platforms strengthened/in place for improved governance of target landscapes for effective participatory decision making to enhance socio-ecological resilience			Reports		



Gender related output: Multi-stakeholder governance platforms that take into account a gender perspective within target landscapes

**Project output 2.1:** A landscape strategy developed by the corresponding multi-stakeholder platform for each target landscape to enhance socio-ecological resilience through community grant projects.

Number and percentage of women represented in each multi-stakeholder platform and being able to participate actively in the construction of the landscape strategy and monitoring system	At least 50% of the members of multi-stakeholder platforms are women; At least 40% of proposals raised by women in multi-stakeholder platform meetings are approved	n/a	Reports from meetings held/ M&E reports	2 years	SGP support / ISPN/ M&E team
Improved leadership capacities and skills in management displayed by women who take part in community-based organizations and eco-friendly, small-scale projects or enterprises	Number of SGP supported projects that improve the decision-making of women in natural resource governance; Participation of at least 50% rural women in capacity-building sessions on themes of governance and management, carried out with a gender perspective;	Data from baseline studies and complementary information from local institutions about women's roles in community-based organizations, projects and enterprises before the start of SGP-7	Baseline reports; Reports of capacity-building sessions; M&E Reports; focal groups	2 years	SGP support team / ISPN/ staff from local institutions and organizations with expertise in these themes

	50% of women from traditional communities and 40% of young women participating in capacity-building sessions that fortify their organizing and management skills.				
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**Project output 2.2:** Knowledge from project innovation experience is shared for replication and upscaling across the landscapes, across the country, and to the global SGP network.

Publication produced in a simple format which features women's participation in innovative experiences in ecosystem services and preservation of biodiversity	At least 2 experiences about innovations (with priority given to women from traditional communities) in each of the 4 landscapes	Outline of selection process of women-led experiences with listed set of criteria within 04 landscapes	M&E Reports, documents of selection process of experiences in innovations; focal groups; audiovisual mechanisms (videos and photographs)	3 years	ISPN, staff team of umbrella, reference organization in each landscape
Compilation of case studies with focus on gender issues, especially within the context of traditional communities, within each one of the landscapes	At least 2 case studies carried out in the context of small-scale projects approved by SGP-7 featuring women in traditional communities in each of the 4 landscapes	Diagnosis of experiences carried out by women, with a special focus on traditional communities, that make use of different methodological methods for capturing such phenomena,	Preliminary diagnosis; M & A reports; focal groups	4 years	ISPN, staff team of umbrella, reference organization in each landscape

		during the period of implementation of SGP-7			
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**Project output 2.3:** Strategic initiatives are supported to upscale successful SGP project experience and practice

Number of women selected for capacity-building sessions and exchanges who possess different areas of expertise due to their experiences (ex: installment of different technologies, such as water collection and storage systems and eco-fuel stoves)	<p>At least 50% of female agricultural workers sharing their expertise in Interactive activities between communities and territories in each landscape;</p> <p>At least 30% of the rural women selected as leaders of such initiatives belong to traditional communities (quilombola, indigenous, "gerazeiros/as", etc.) within each landscape.</p>	Diagnosis of "local talents"/ expertise of community members (men and women) as part of baseline studies	Baseline studies; M&E reports; photos and videos; focal groups	3 years	ISPN/ SGP support team / M&E team
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3 knowledge management products that make use of at least 3 different social media resources and capture technological and methodological innovations led by rural women	Publications and videos of “success stories” and “lessons learned” being disseminated widely for non-governmental and governmental authorities within public spaces (ex: councils and forums dedicated towards public policy making)	media coverage of impacts of small-scale projects (especially in terms of gender equality and women's empowerment) in 4 landscapes	List of media publications; focal groups; audio-visual methods (videos and photographs)	3 years	SGP support team/ ISPN/ M & E team
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## **Annex 13- Climate Mitigation Report**

### **SUMMARY**

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## Contextualization

One of the objectives of the Seventh Operational Phase of the GEF Small Grants Programme in Brazil (GEF 7) is to enhance ecosystem services within Cerrado and Caatinga biomes. From the perspective of community-based projects integrated at the landscape scale, climate change mitigation is a cross-cutting ecosystem service, meaning it can be enhanced by a wide variety of activities that promote either carbon removal from the atmosphere or the conservation of carbon stock through avoided loss of native vegetation.

Projects that promote climate change mitigation directly are based on activities that cause incremented carbon stocks in community-managed territories, such as ecological restoration of degraded areas or conversion from conventional to agroecological systems. Quantifying this benefit involves assessing the carbon stocks change from a baseline value that is lower than the estimated stock at the reference, target ecosystem. Indirect climate change mitigation results from projects that contribute to avoid emissions by supporting the sustainable use of native vegetation in territories where there is social-economic pressure towards the use of this areas for farming (*i.e.* deforestation) or for fuel-wood extraction. The assumption is that activities that enhance environmental and economic sustainability for local communities promote the safeguard of native vegetation in their territories. Some examples reported during participatory consultations are the beneficiation of sociobiodiversity products and improving access to consumer markets. This indirect benefit can be assessed in terms of avoided emissions, by considering a baseline where the absence of these activities would expose communities to a greater pressure towards the need to clear land or to exploit native vegetation unsustainably.

In this context, the present report has three technical objectives. The first objective is to integrate climate change mitigation into the GEF 7 theory of change by analyzing initiatives regarded as desirable during participatory consultations and which can either avoid emissions or promote carbon sequestration. The second objective is to propose a methodological framework that allows the estimation of climate change mitigation benefits at the level of individual projects. Such methodology requires surveying reference values for carbon sequestration rates and carbon density at the ecosystem level, fuelwood consumption rate at the community level and recent deforestation rates at the municipality level. The third objective is to estimate climate change mitigation benefits anticipated for the full-scale project and to present them disaggregated in the appropriate GEF Mandatory Indicators. The document is organized into the following sessions: Direct climate change mitigation, Indirect climate change mitigation and Concluding remarks.

## Direct climate change mitigation

### *Anticipated activities and impacts*

Consultative workshops on desirable outcomes for future community projects and interviews with local technicians have identified a variety of activities that can directly change carbon stocks. Based on the information contained in the GEF 7 PIF, it was possible to group such activities into two categories: restoration of degraded areas and enhanced agroecological management; these general categories promote carbon sequestration in community-managed areas. Table 1 shows examples of specific activities mentioned during workshops and interviews

in each landscape, and their designated category, the climate change mitigation benefit that they promote and related Core Indicators.

Table 1. Examples of anticipated activities, their contribution in terms of direct climate change mitigation benefits and related Core Indicators for the four target landscapes defined for GEF 7.

Biome	Landscape	Activity group	Potential activities	Climate change mitigation benefit	Core Indicator
Caatinga	Alto Potí and Pajeú	Ecological restoration	Restoration of degraded riparian forests; restoration of overgrazed natural vegetation	Carbon sequestration	6.1
		Agroecological management	Conversion from slash-and-burn production system to agroforest; species enrichment in previous agroecological system.	Carbon sequestration	6.1
Cerrado	Arrojado and Jequitinhonha	Ecological restoration	Restoration of degraded riparian forests; restoration of degraded savanna vegetation	Carbon sequestration	6.1
		Agroecological management	Species enrichment in previous agroecological system; Implementation of agroecological	Carbon sequestration	6.1

			systems in previously degraded land.		
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### *Related outputs*

Two outputs involve direct climate change mitigation benefits out of the eight defined in GEF 7 PIF. Carbon sequestration is a direct consequence of small grants seeking to recover degraded native vegetation (Output 1.1.1) or seeking to improve the sustainability and resilience of productive systems in target communities through implementation of agroecological management (Output 1.1.2). Based on questionnaires addressed to strategic partners in Cerrado and Caatinga landscapes, there is at least 314 ha of degraded areas that are being restored as a result of community action, and about 250 ha of areas with conversion to an agroecological management system.

Gathering information to detail the outputs cited can contribute to better monitor the expected impacts according to the full-scale project change theory. For example, it is desirable to disaggregate the indicators related to the regenerating areas or those converted to agroecological management, detailing information such as the reference ecosystems (ecological goals), the type of disturbances prevalent in the past, the restoration techniques or the specific agroecological management practices employed. Gathering such information demands resources and could be considered among the objectives defined for strategic projects (Output 2.2.2), as they would simultaneously reduce the uncertainties associated with monitoring benefits linked to biodiversity conservation, to the sustainable use of fauna and flora, as well as to the benefits of climate change mitigation.

### *Quantifying direct benefits at individual project level*

To estimate carbon sequestration resulting from projects involving degraded land restoration or improved management practices, the first step is to identify the type of native vegetation or agricultural production system (agroecosystem) involved. Next, it is necessary to define biomass increment rates for the specific case of regeneration or improvement in management practices. For projects with activities aimed at ecological restoration, it is necessary to detail the technique employed, since different restoration methods result in distinct dynamics of plant biomass increment. Finally, to calculate the total removal in terms of tons of CO<sub>2</sub> per year, the annual rate of biomass increment is multiplied by the extent of the area under regeneration or improved management, with appropriate conversions of tons of biomass to tons of carbon and, then, to tons of CO<sub>2</sub> (Equation 1).

$$\text{Equation 1.}$$

$$R = \text{Incr} \times A \times 44/12$$

where:

**R** (Annual Removals): amount of carbon dioxide removed from the atmosphere by vegetation in the project's areas of influence (tCO<sub>2</sub> / year).

**Incr** (Annual increase in defined ecosystem carbon stock): value in tonnes of carbon per hectare per year (tC / ha / yr)

**A** (Area): Total extent of project influence areas (in hectares).



**44/12:** Ratio between molar mass of carbon dioxide and molar mass of carbon.

Field observations and consultation with local stakeholders during visits to target landscapes allowed the identification of important vegetation types and agroecological systems, whose dynamics potentially involve significant biomass increment considering the expected full-scale project period. Values used for annual biomass increment rates in these systems were obtained through research effort based on scientific literature, on the knowledge of ISPN staff with experience in the target landscapes and documentation of previous projects (GEF 5). Important vegetation types and agroecological systems associated with restoration or improved management are presented in Table 2, which also shows the assumed values for annual biomass increment rates. This material will be useful as reference values for carbon sequestration estimates in community projects during GEF 7. Ideally, submitted project proposals involving ecological restoration and /or improved agroecological management should present area-wise indicators disaggregated by vegetation type and/or management practice. Table 2 does not exhaust the diversity of vegetation, sustainable management types or restoration techniques that can generate climate change mitigation benefits. Therefore, it is desirable to update this information as new cases appear among the eventually approved projects. Again, strategic partner institutions at each landscape may play an important role in gathering and maintaining this dataset.

Table 2. Carbon sequestration rates due to restoration in the main vegetation types in the target landscapes or due to improved management practices.

Ecosystem (management)	Target landscapes	Annual carbon stock increment rate		Source used	Other sources consulted
		<i>tC total</i>	<i>tCO<sub>2e</sub></i>		
<b>Grassland (passive restoration)</b>	All	0.52	1.91	BRAZIL (2015)	IPCC (2006)
<b>Palm-dominated vegetation (passive restoration)</b>	All	1.90	6.97	Ottmar et al. (2001)	BRAZIL (2015)
<b>Savanna/cerrado (passive restoration)</b>	Jequitinhonha and Arrojado	1.70	6.23	Durigan (2004); Miranda et al. (2014)	IPCC (2006); Pinheiro (2008)
<b>Dry-forest/caatinga (passive restoration)</b>	Alto Potí and Pajeú	0.60	2.20	Isaia et al. (1992); Gariglio et al. (2010)	BRAZIL (2015)

<b>Riparian forest (passive restoration)</b>	All	4.25	15.58	Alves et al. (1997) ; Nogueira et al. (2008) ; Fearnside (1992); Alves (1997); Fearnside & Guimarães (1996) .	IPCC (2006)
<b>Agroforest at initial state (transition from conventional production system)</b>	All	7.50	30.25	Selecky et al. (2003)	Albrecht & Kandji (2003);
<b>Mature agroforest with enhanced management (values per additional strata)</b>	All			Selecky et al. (2003)	Albrecht & Kandji (2003);
<i>Arboreal fruit species stratum</i>		0.90	4.29		
<i>Understory fruit species stratum</i>		0.50	2.38		
<i>Palm species stratum</i>		0.80	3.81		
<i>Timber species stratum</i>		0.90	4.29		

#### *Quantifying direct benefits at the full-scale project level*

Estimating emissions mitigated directly in the scope of the full-scale project (GEF Mandatory Indicator 6) requires the following indicators: (a) the area anticipated to be involved in ecosystem restoration activities, (b) the area anticipated to be involved in enhanced agroecological management and (c) reference values for biomass increment rate in vegetation going through restoration or enhanced agroecological management. Indicators *a* and *b* correspond to Mandatory Indicators 3 and 4 of the PRODOC, respectively. Indicator *c* was derived from the reference values in Table 2, by considering separate mean carbon stock increment rates for restoration activities and for agroecological management (Table 3). Mid-term and end of project targets consider the correspondent area-wise indicator and two years of associated biomass increment, which is generally the duration of a grant (24 months). Thus, the estimated target for the end of the project (65,114 tonCO<sub>2</sub>) results from the multiplication of four factors: the area-wise target, the mean annual carbon stock increment, the period considered and the constant that converts tonC to tonCO<sub>2</sub> (=44/12).

Table 3. Estimated targets for direct climate change mitigation benefits as a function of area-wise targets and annual mean carbon stock increment for both restoration activities and enhanced agroecological management.

Activity	Area		Emissions mitigated		Mean carbon stock increment (tonC/year)
	Mid-term target (ha)	End of the project target (ha)	Mid-term target (10 <sup>3</sup> tonCO <sub>2</sub> )	End of the project target (10 <sup>3</sup> tonCO <sub>2</sub> )	
Passive restoration	453	1,585	5.94	20.81	1.79
Agroecological management	456	1,140	17.72	44.31	5.30
Total	-	-	<b>23.67</b>	<b>65.11</b>	-

### Estimating indirect climate change mitigation benefits

#### *Anticipated activities and impacts*

Avoided deforestation and associated greenhouse gas emissions at the project level are an indirect climate change mitigation benefit that result from activities involving sustainable use and conservation of native vegetation (Core Indicator 6.1). A pivotal assumption in this framework is that some proportion of the carbon stocks in native vegetation would be emitted through deforestation if there were no activities that support sustainable use and conservation within communities' territories. At the individual project level, the area in which conversion is expected (baseline) is a function of the number of households in a given project and an additionality factor indicative of the degree to which communities are exposed to economic pressure towards conversion of natural systems to farming or land leasing. The impacts in terms of emissions mitigated indirectly can then be calculated considering the stock difference method. In this method, secondary data are used to define ecosystem-level carbon density (tonC/ha) values (disaggregated by native vegetation type) and the expected land-use category at baseline (most probable land-use after deforestation). Then, the difference between the amount of carbon stored in native vegetation and the amount stored in the land-use category defined as baseline is converted to CO<sub>2</sub>e.

These estimates present various assumptions and calculation steps that involve uncertainties, for example, regarding the area distribution of different vegetation types in a community-managed land, or about deforestation dynamics in the immediate surroundings (additionality). These uncertainties may diminish if there is information about different types of vegetation in natural areas managed by communities, so that the estimates can ponder different carbon stock values for each. In cases where such information is absent, georeferenced data on the location of conserved native vegetation areas in the territories of beneficiary communities would be especially useful for increasing the accuracy of mitigated indirect emission indicators, as they allow cross-referencing with third-parties vegetation maps, thus providing detailed characterization of the environmental heterogeneity found in these areas.

Fuel-efficient stoves optimize combustion and prevent smoke from entering households as they allow fuelwood to be loaded through a lid compartment, without compromising the internal ventilation of the oven, which is its main differential over traditional wood ovens. This

simple enhancement allows substantial reductions in firewood consumption (40 - 60% as declared by some communities). To calculate the avoided emissions due to this reduction in firewood use, proposals in this regard should contain reduction targets expressed in terms of the volume of wood that will be spared on an annual basis.

#### *Related outputs*

Indirect emissions mitigated through avoided deforestation are related to all outputs in GEF 7 PIF that involve sustainable use of Caatinga and Cerrado ecosystems or that aims to develop resilient livelihoods through green business and improved market access for sociobiodiversity products (Outputs 1.1.1, 1.1.2 and 1.1.3). The production of detailed information on environmental variability both inside and around community-managed natural areas can contribute to improve the accuracy of reported indicators and thus, their impact. This would also contribute to better evaluate results regarding biodiversity conservation throughout the lifetime of the full-scale project, as different ecosystem/vegetation types harbor different biological communities. This demand could be contemplated as an activity within strategic projects carried out by partner institutions in each target landscape, related to Output 2.2.2.

GEF 7 PIF Output 1.4.1 proposes to implement technology that increases the energy efficiency of communities. The widespread use of fuel-efficient stove instead of conventional wood oven is an example of activity linked to this output that can also avoid emissions. In addition to contributing to well-being by reducing people's exposure to hazardous smoke, the fuel-efficient stove requires less wood for a given task, which reduces the demand for firewood in native vegetation areas. Previous experience with this technology during GEF 5 indicates that the reduction in firewood consumption per household can reach 60%.

#### *Quantifying indirect benefits due to avoided emissions at individual project level*

The central premise of the proposed methodology to quantify climate change mitigation benefits due to avoided deforestation is that in the absence of initiatives that support resilient livelihoods in communities that manage/conservate natural areas, some proportion of the families would suppress four hectares of native vegetation to implement some form of conventional farming or even land leasing. This value (4 ha) was defined based on Brazilian legislation on land tenure and forest protection, which sets four hectares as the threshold above which a family/proprietary is no longer considered a small-holder.

An additionality factor is proposed to adjust the total area expected to be deforested in the baseline scenario as a function of recent deforestation rates at the municipality level. High rates of increment in deforested areas in recent years (2013 - 2017) indicate that land-use change is accelerated in the municipality and there might be demand for new areas suitable for production. The proposed methodology assumes that small-holders and families from communities situated in municipalities that show recent, accelerated land-use change are more inclined to open a new area for production based on conventional practices. The additionality factor for a given project indicates the proportion of the total number of benefitted families that

would have to search for additional income through conventional farming in the absence of sustainable use or conservation initiatives.

To produce reference values for this factor the municipalities of Cerrado and Caatinga were divided into three groups of equal size, according to the observed mean deforestation increment rate in the period 2013 - 2017: low mean deforestation increment rate, medium mean deforestation increment rate and high mean deforestation increment rate. These rates are available in for the two biomes in public available databases about deforestation: the Deforestation Monitoring Programme for the Cerrado (PRODES) and the Annual Land-use/Land-cover Mapping Project (MapBiomas), which produces such estimates for the Caatinga biome. For municipalities in the first group, the additionality factor indicates that, assuming no support from community-based projects (baseline scenario), 50% of the families involved in sustainable use and conservation would suppress four hectares of native vegetation to implement some form of conventional farming or even land leasing. For the second group is proportion is set to 75%, while in the third it is assumed as 100% of the total number of families in the evaluated project. The area expected to be suppressed in the baseline scenario is therefore defined by number of families that are expected to convert four hectares of native vegetation to some form of land-use. For example, if a project involves 100 families and is located at a municipality with medium mean deforestation increment rates (75%), the area expected to experience suppression in the baseline scenario is equal to 300 ha (75 families x 4 ha). In other words, 300 ha is the estimated avoided deforestation.

To estimate total carbon stock in the baseline scenario, the expected area of deforestation is multiplied by a reference values for carbon density in the most prevalent land-use system in the project's municipality, which can also be inferred using MapBiomas maps. Similarly, the carbon stock in the sustainable use/conservation scenario is the product between the baseline area and the carbon density in the natural ecosystem being considered. Once again, secondary data must be obtained to define reference values that are instrumental to the methodology, this time for carbon density in different ecosystems and land-use systems. Table 4 shows carbon density values for the mains types of ecosystems identified during field visits and based on participatory analysis in each landscape.

The carbon stock in the baseline scenario for a given project is therefore derived from the quantitative relationship between the area where native vegetation loss is expected (number of benefitted values times the additionality factor) and the carbon density at the land-use system expected after deforestation. Carbon stocks in the sustainable-use/conservation scenario is simply the product between baseline area (avoided deforestation expected) and carbon density at the natural ecosystem considered. The final step required to estimate indirect climate change mitigation benefits due to avoided emissions is to apply the stock-difference method, which is operationalized by subtracting the carbon stock estimated in the baseline scenario from the carbon stock estimated in the sustainable use/conservation scenario. The resulting difference is then converted to CO<sub>2</sub>e using the ratio between the carbon dioxide molecular mass (44 g/mol) and the carbon atom molar mass (12g/mol) (Equation 2).

Equation 2

$$AE = (ED \times DC) - (ED \times DC_{LB}) \times (44/12)$$

; where:

**AE** (in ton CO<sub>2</sub>e) estimation of avoided greenhouse gas emissions;

**ED** (in hectares) expected deforested area in the baseline scenario;

**DC** (ton C/ha) carbon density in the conserved native vegetation type;

**DC<sub>LB</sub>** (ton C/ha) carbon density in the baseline land-use system;

**44/12** : Ratio between molar mass of carbon dioxide and molar mass of carbon.

Table 4. Reference values for carbon density in the mains vegetation and land-use types observed in the target landscapes.

<b>Vegetation/Land-use class</b>	<b>Carbon density (tonC/ha)</b>	<b>Source used</b>
Savanna	29.54	Miranda (2014)
Riparian forest	73.02	Delitti & Burger (2000)
Grassland	18.76	Miranda (2003)
Palm-dominated	3.19	Fidelis et al. (2013)
Other forests (Cerrado)	113.43	Scolforo et al. (2015)
Dry Forest (Caatinga)	23.56	Costa et al. (2014)
Pasture	7.00	BRAZIL (2015)
Annual crop	5.00	BRAZIL (2015)

Assuming a 50% efficiency gain using fuel-efficient stoves, the volume of wood that will be spared can be estimated as a function of the number of households benefiting from fuel-efficient stoves and the (average) rate of wood consumption per household considering conventional wood stove (baseline). The calculation of avoided emissions (tonCO<sub>2</sub>e) due to the reduction in firewood extraction in a given project also involves a series of parameters that can be defined based on literature review: wood density, an expansion factor to convert the volume of firewood in above-ground biomass and the carbon fraction of this compartment. Equation 3 shows how these elements relate quantitatively. The 50% efficiency gain criterion can be further calibrated by tracking fuel consumption in a subset of households to reduce the uncertainties associated with these estimates. In this sense, it is also desirable that the secondary data selected to define the parameters of Equation 2 refer to studies conducted under conditions as close as possible to those involved in the project proposal.

Two of the projects developed during GEF 5 involved the use of fuel-efficient stoves in communities in the Pajeú landscape and can be considered as pilot projects to scale this initiative. The parameters used for the calculation in these two cases were extracted from previous surveys about fuelwood consumption, conducted by local partner institutions, and from a scientific study about the prevailing vegetation type in the region, which is also the main source of firewood in the region: the caatinga dry forest. These parameters are presented in Table 5 and can be used as reference values in cases where it is not possible to update this information based on new surveys about firewood consumption or on scientific studies in more representative sites.

#### Equation 3

$$E_{firewood} = V * FEB * DM * FC$$

where:

$E_{\text{firewood}}$  (in tonCO<sub>2</sub> / year) is the total emissions avoided due to the reduction in the use of firewood;

$V$  (in m<sup>3</sup> / year) is the goal of reducing the volume of firewood extracted in a given project;

$FEB$  is the biomass expansion factor that transforms wood volume into aerial biomass;

$DM$  is the wood density (dry) (in ton / m<sup>3</sup>);

$FC$  is the carbon fraction of dry biomass (= 0.475).

Table 5. Example of the required information to estimate avoided emissions due to reduced consumption of fuelwood at individual projects level.

Fuelwood consumption (m <sup>3</sup> /year)	Reduction in consumption (avoided use; m <sup>3</sup> /year)	Wood density (g/cm <sup>3</sup> )	Expansion factor	Carbon fraction	Avoided emissions (10 <sup>3</sup> tonCO <sub>2</sub> e/year)	Source
1461	731	0.87	3.4	0.475	5,358	Castro & Kauffman (1998)

#### *Quantifying indirect benefits at the full-scale project level*

At the full-scale project level, the baseline of indirect benefits of climate change mitigation due to avoided emissions associated with deforestation was considered to be zero. This will allow assessing indirect climate change mitigation benefits resulting from avoided deforestation as a result of GEF 7 implementation, as there is no readily available estimates on avoided deforestation or carbon stocks in community-managed areas that have received prior support from local partner institutions. Also, the information in the related reports produced for GEF 5 refers to avoided emissions that were already accounted for during the lifetime of that prior phase and does not necessarily represents present deforestation and avoided emissions trends. This makes them unsuitable as parameters for baseline definition.

On the other hand, the results reported for GEF 5 provide useful information for defining expected results for avoided deforestation in GEF 7. We assumed that 50% of the total of 4,000 households expected to be contemplated according to GEF 7 PRODOC would be directly involved in activities that promote sustainable use and conservation of native vegetation, resulting in estimated 2,000 families over the lifetime of GEF 7. The adopted additionality factor for target estimates was set to 75% of the total number of families in this step (intermediate level of pressure towards land clearing/leasing for conventional use). Carbon density at the baseline scenario (*i.e.* carbon stock expected after deforestation) was assumed to be the weighted mean value for the two most common land-use categories (pasture and cropland), considering the prevalence of each class in the total area of the landscapes as weights (Table 6). For carbon density in native vegetation, the adopted value (33 tonC/ha) is the weighted mean of the carbon density described for the vegetation classes in Table 4, also using the area-wise prevalence of each class in the landscapes as weights (Table 6). Information on the area distribution of each class was accessed in the MapBiomass initiative of land-use/land-cover mapping in Brazil (mapbiomas.org), using the joint landscape polygons to define the area of interest of the analysis. The MapBiomass maps legend contains three native vegetation classes (Forest Formation,

Savanna Formation and Grassland), which do not differentiate between all the types of vegetation shown in Table 5 (e.g. Riparian Forest *versus* Dry Forest). However, field visits during the participatory analysis as well as information gathered with community members allowed the correlation between MapBiomass classes and those classes shown in Table 5. The Forest Formation class was correlated to Riparian Forest and Dry Forest only, because the area covered by Other Forest (*cerradão* vegetation in Cerrado landscapes) was reported to be very small in the target landscapes in this biome. Finally, for the expected mid-term report results we assumed 40% of the total value obtained considering the GEF 7 lifetime (Table 7).

Table 6. Parameters used to derive the weighted mean carbon stock densities for native vegetation and land-use (baseline) values. Percent areas were used as weights and were calculated separately for native vegetation (upper rows) and land-uses (lower rows).

Aggregated vegetation/land-use class from MapBiomass	Disaggregated classes considered from Table 5	Aggregated mean carbon density (tonC/ha)	% Area in GEF 7 Target Landscapes	Weighted mean carbon density (tonC/ha)
Native vegetation				
Savanna	Savanna	29.5	78.4%	33.09
Forest	Riparian forest and Dry Forest (Caatinga)	48.3	20.3%	
Grassland	Grassland, Palm-dominated	11.0	1.4%	
Land-use (baseline)				
Pasture	-	7.0	94.5%	6.89
Annual crop	-	5.0	5.5%	

The baseline for avoided emissions due to reduction in fuelwood consumption was defined as zero, considering that the objective is to quantify benefits after this kind of initiative is implemented and scaled-up throughout GEF 7 lifetime. The estimated target for avoided



emissions due to reduction in fuel-wood consumption considers that 360 operational fuel-efficient stoves by the end of the project (144 by mid-term report). Full-scale project targets related to avoided emissions resulting from reductions in fuelwood consumption are also expressed in Table 7. Considering that not all fuel-efficient stoves are going to be installed at once, we adopted a two year period to transform annual rates (of avoided emissions; Equation 3) into figures for the lifetime of the full-scale project (*i.e.* some stoves may contribute to climate change mitigation targets from the first year, but some may be installed later and thus start to contribute near the end of GEF 7 lifetime).

Table 7. Expected results for indirect climate change mitigation benefits (Core Indicator 6), disaggregated by activity.

Activity	Emissions mitigated (10 <sup>6</sup> tonCO <sub>2</sub> e expected at MTR)	Emissions mitigated (10 <sup>6</sup> tonCO <sub>2</sub> e expected at TE)
<b>Avoided deforestation</b>	0.23	0.57
<b>Reduced fuel-wood consumption</b>	0.26	0.64
<b>Total (lifetime indirect project GHG emissions mitigated)</b>	0.49	1.22

## Concluding Remarks

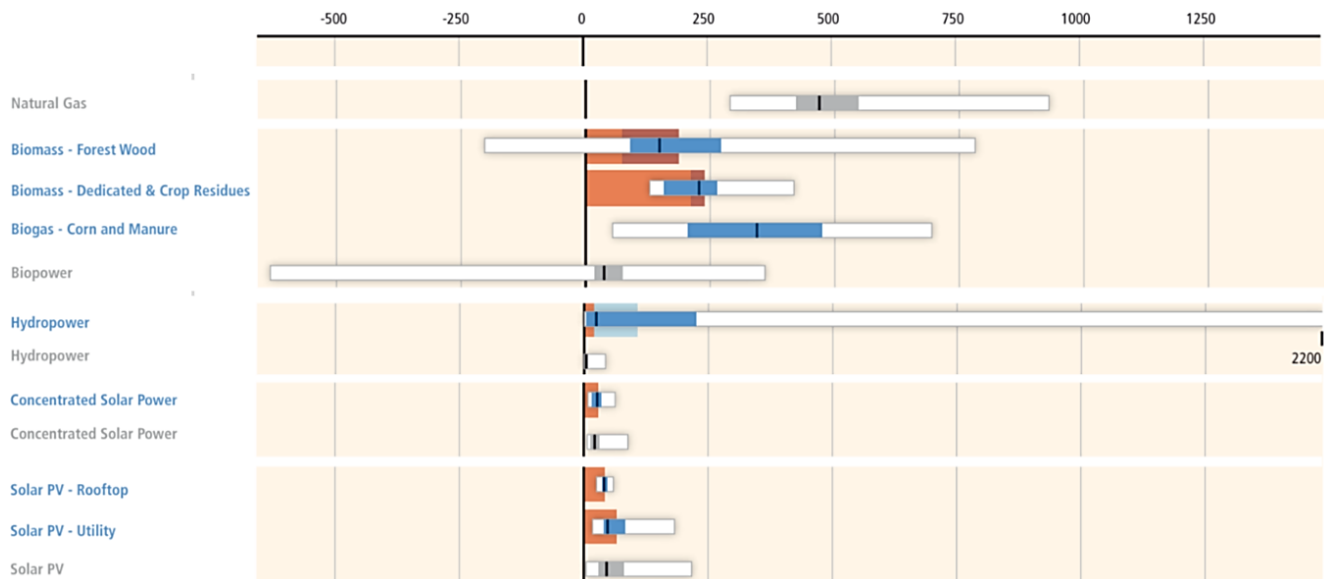
Assuming that GEF Core Indicator 6 refers to the total sum of greenhouse gas emissions mitigated (direct and indirect), the estimated targets for GEF 7 lifetime are 0.51 million metric tons of CO<sub>2</sub>e until the mid-term reporting and 1.28 million metric tons of CO<sub>2</sub>e when terminal evaluation is undertaken (Table 8). These can be regarded as conservative estimates mainly because of two reasons: (a) carbon stock changes in the soil following deforestation occur in longer periods of time than GEF 7 lifetime (>20 years) and estimating them requires detailed information about management and environmental variables both locally (*i.e.* on the level of actual beneficiaries/projects) and regionally (*i.e.* aggregating local benefits to assess impact at the full-scale project level); thus such emissions are not considered herein. (b) Projects focusing in the dissemination of energy-efficient technologies other than fuel-efficient stoves may also contribute to mitigate greenhouse gas emissions, and those are not considered in this report.

The organic carbon content in soils can vary widely over time as a function of the interaction between topography, water regime, parental material, vegetation and management. Activities at the community level can change these drivers and the direct and indirect impacts on soil carbon stocks can only be estimated with actual information surveyed at the community level, such as the combinations of soil and vegetation types that are more frequent in the territory. The availability of this kind of data is unequal among target landscapes, given that some local partner institutions do not present the technical capacity to produce spatially explicit reports of the kind that is available for the Jequitinhonha landscape. However, strategic partners could define a line of action to support the construction of such knowledge throughout the lifetime of the full-scale project. In this case, estimates for greenhouse gas emission mitigated

through avoided deforestation could begin to account for changes in soil carbon stock, contributing to surpass the defined target (Table 8).

Installing solar panels and bio-digesters to supply electricity and/or heat to rural communities with limited connection to the public energy grid may also contribute to mitigate emissions, for in these regions the conventional solution is either to produce electricity by employing a generator running on fossil-fuel or to generate heat burning liquefied petroleum gas. This is because energy supply can be very limited in the furthestmost rural communities in the target landscapes, often requiring stand-alone energy systems to supplement the energy supplied by the public grid. However, estimating mitigated emissions related to projects involving solar panels and bio-digesters can be difficult because the efficiency of such sources depend on environmental conditions (solar radiation availability and substratum quality, respectively), as do the lifecycle emissions associated with hydropower (which can vary widely depending on substratum condition prior to flooding, for instance). Figure 1 shows the lifecycle emissions variability and the average such values for several energy systems; Lifecycle emissions are represented in units of global warming potential per unit of electrical energy produced by a given energy system throughout its lifecycle, *i.e.* including activities such as materials/fuels mining, infrastructure construction, operational phase and waste management.

The knowledge needed to monitor climate change mitigation benefits related to changes in soil carbon stocks and energy-efficiency initiatives is based on local, site specific information. Thus, it is highly speculative to perform *a priori* estimates (targets) for the full-scale project, before conditions in the actual approved projects are surveyed. On the other hand, supporting capacity building in local partner institutions can provide the means for them to collect such detailed information, particularly in the field. Considering the lifetime of GEF 7 to be around five years, it is possible that the omission of these components of climate change mitigation (avoided soil carbon stock change and renewable energy) can be overcome before the end of the project, if local institutions are supported in strategic monitoring activities and capacity building. This would allow GEF 7 to reach much higher figures for emissions mitigated than those calculated in our estimates.



**Figure 1.** Comparative lifecycle greenhouse gas emissions from electricity supplied by commercially available technologies (fossil fuels, renewable, and nuclear power) and projected emissions of future commercial plants of currently pre-commercial technologies (advanced fossil systems with CCS and ocean energy). The figure shows distributions of lifecycle emissions (harmonization of literature values for WGIII AR5 and the full range of published values for SRREN for comparison) and typical contributions to lifecycle emissions by source (cf. the notes below). Note that percentiles were displayed for RE and traditional coal and gas in the SRREN, but not for coal CCS and gas CCS. In the latter cases, the entire range is therefore shown. For fossil technologies, fugitive emissions of methane from the fuel chain are the largest indirect contribution and hence shown separately. For hydropower, the variations in biogenic methane emissions from project to project are the main cause of the large range. Source: IPCC (2014).

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**Annex 15- SGP Operational Guidelines**

Please click on the following link: [Operational Guidelines](#)

SGP operates in all participating countries under the common Operational Guidelines, which outlines the governance structure and grant-making processes, among others.

**Annex 16- Co-Financing Letters (attached)****Annex 17- Validation Workshop Report (attached)**