



RIO DOCE PANEL MID-TERM REVIEW

FINAL REPORT

Brasilia, July 2020

List of Abbreviations and Acronyms

AEDAS – State Environmental and Social Defense Association

ANA – National Water Agency

DCR – Data Collection Report

CIF – Inter Federative Committee

CKL – Communication and Knowledge Logical Framework

HQ – Headquarters

ISTAP - Independent Scientific and Technical Advisory Panel

IBAMA - Brazilian Institute of Environment and Renewable Natural Resources

IUCN – International Union for Conservation of Nature

MPF – Public Federal Ministry

MEL – Monitoring, Evaluation and Learning

MTR – Mid-Term Review

OECD – Organization for Economic Co-operation and Development

RD – Rio Doce

RDP – Rio Doce Panel

RF – Renova Foundation

TOC – Theory of Change

TOR – Terms of Reference

TTAC – Term of Transaction and Conduct Adjustment

TAC Gov - Conduct Adjustment Term – Governance

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EXECUTIVE SUMMARY

The Rio Doce Panel (RDP) is an Independent Scientific and Technical Advisory Panel (ISTAP), which was set up in September 2017 out of an agreement between the Renova Foundation (RF) and the International Union for Conservation of Nature (IUCN). As an ISTAP, the RDP's main mission is to provide technical and scientific recommendations to respond to the impacts of the collapse of the Fundão tailings dam, which occurred in November 2015. The collapse of the dam was one of the most serious environmental disasters in Brazil, causing 19 deaths and impacting approximately 670 kilometers along the Rio Doce to the Atlantic Ocean, affecting towns, villages, farms and fisheries along the way.

As part of the actions for the reparation of and compensation for the damage caused, a Term of Transaction and Conduct Adjustment (TTAC)¹ was drawn up, resulting in the creation of the RF, whose objective was to *“manage and execute the socio-environmental programs established in the TTAC, observing the situation immediately prior to November 5th 2015”*². The TTAC also set up the Interfederative Committee (CIF), a collegiate system that brings together representatives from the three levels of government, public agencies and society, and is led by the Federal Agency known as IBAMA³. The CIF is external to and independent of the RF; its functions are to guide, monitor, follow-up and enforce repair measures⁴.

The purpose of the independent mid-term review (MTR)⁵ is to explore both the RDP's work and achievements, and the IUCN's support, in order to provide guidance about how to maximize potential to achieve the intended results and improve learning within the project's remaining timeframe (2022). Quantitative and qualitative methods for data collection and analysis were adopted for this review. Semi-structured interviews were conducted with 37 individuals, including members of the RDP. Three different surveys tailored to the RDP, the RF team, and the CIF were also conducted.

Main Findings

ISTAP Principles

The RDP demonstrates **independence** in the choice of topics to be addressed, data to be considered, its approaches, and the analysis carried out, as well as in drawing its conclusions. The mining companies, RF and the other stakeholders that have the most contact with the RDP, recognized its independence. However, the RDP's independence is sometimes interpreted by the RF as a barrier to the definition of accountability. Similarly, engagement with stakeholders is sometimes seen to present a risk to the RDP's independence. In this sense, defining the boundaries of the RDP's independence is a topic that continues to require reflection by the main stakeholders.

The RDP has maintained its **engagement** with the RF through a routine of monthly virtual meetings, with focus points, and biannual face-to-face meetings. According to CIF members, technical chamber coordinators, and RF staff and consultants, so far, the RDP has not managed to engage with relevant stakeholders other than the RF. They have not, therefore, made the most of the opportunity to establish a relationship of knowledge construction and exchange which could promote the landscape-scale perspective, nature-based solutions and the RDP's long-term vision for the Rio Doce Basin.

As defined by the project monitoring strategy, the results areas within the RDP's zone of **accountability** are: product design; product delivery and quality; and adoption of recommendations by the RF.⁶ Evidence shows that the product design (Issue Papers and Thematic Reports) complied with the agreed prioritization criteria. Compared to planned outputs for the first two years, the percentage delivered was around 36%. There are early indications that there has been some integration of RDP recommendations into RF programs, but the evidence is mixed, and more in-depth study is required to measure its degree.

¹ in Portuguese: Termo de Transação e Ajuste de Conduta (TTAC) issued on 12 March 2016. <https://bit.ly/30OIJRz>

² <https://bit.ly/3dZ7ygs>

³ Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis - Brazilian Institute of the Environment and Renewable Natural Resources

⁴ <https://bit.ly/2W7S6bZ> and <https://bit.ly/3iKP2fw>

⁵ <https://bit.ly/3e2w0NZ>

⁶ Source: MEL strategy.

The RDP maintains the principle of **Transparency** in relation to its priority audience, which is the RF, Policymakers at federal and state levels, and Influencers. In relation to municipal policymakers, the affected populations and their advisors, certain aspects could be refined to provide greater equality of transparency to this audience.

A better balance between ISTAP principles would benefit the project in order to achieve the expected results. The cooperation agreement between the RF and the IUCN includes the establishment of an ISTAP to provide independent expert scientific advice and guidance to the RF; to provide a landscape-scale perspective; and to enhance stakeholder engagement in the restoration of the Rio Doce basin. These objectives indicate that independence and engagement should guide the way the RDP acts, although the findings suggest the greater observance of independence to the detriment of engagement.

The RDP is responsible for the **stakeholder's engagement plan** and the IUCN is responsible for the implementation of the **communication strategy** in order to enable independent progress assessment and provide opportunities for interaction with the RDP⁷. These are complementary activities that need to be aligned in order to strengthen all the ISTAP's principles, but particularly those of accountability and engagement, in an ongoing dialogue of cooperation with the RF.

Relevance

The key evaluation questions for the Relevance analysis are: To what extent does the work of the RDP address priority issues? How relevant is the RDP, and in particular its recommendations, advice and other outputs: a. For the conservation goal of restoring the Rio Doce basin? b. For the RF? c. For regulators and policy makers? And, to what extent is the panel composition fit for purpose?

Although the RDP is recognized as an important initiative in the context of Rio Doce Basin reparations, encouraging a broader perspective about the health and resilience of the Rio Doce Basin ecosystem, it seems that, thus far, it has not been able to adequately align its work themes to RF priorities, which are focused on the compensation process and the reparation of the basin. Beyond the RF, other stakeholders were not involved in identifying RDP priorities.

In terms of the relevance of the RDP's work to the conservation goal of restoring the Rio Doce Basin, the Policymakers at the CIF agree that the RDP's recommendations are relevant and appropriate to the policies and programs for the Rio Doce Basin's Recovery and Conservation. However, Regulators, Do-ers, and Influencers are, in general, unaware of the Panel's publications and recommendations and, therefore, unable to assess their relevance.

Given the RF's priorities, and an analysis of the curricula and declared competencies of its members, the current RDP profile appears to be partially suitable. Prominent actors at the RF state that the Panel could add international scientific expertise in matters such as **Governance, Compensation, and an Honor System**.

Effectiveness

Four evaluation categories were adopted to facilitate the Effectiveness Analysis: a) Effectiveness of the *Modus Operandi* b) Effectiveness of the current strategies to reach out and influence RDP targeted audiences; c) Effectiveness of M&E; and d) Effectiveness of IUCN support.

Evidence demonstrates that the RDP has managed to develop a structured process for drafting its publications, from the selection of themes to their development, in peer and RF review, editing, ISBN registration and publication. This is an important consequence of learning by the RDP and the IUCN. Looking at its improvement needs, implementing changes to planning, prioritization methods, and product delivery will enhance the RDP's *modus operandi*.

The Monitoring, Evaluation and Learning (MEL) strategy and tools were designed in line with best practice. Despite this, the Communication and Knowledge Logical Framework (Logical Framework or CKL) contains inconsistencies that need to be addressed to improve project effectiveness. These inconsistencies are due to a number of factors, including: the fragmented nature of MEL development over the time line; a superficial

⁷ IUCN-RF Cooperation Agreement, item 12.2.2.

observance of the RF's legal, institutional and complex governance framework; and the fragile nature of stakeholder analysis when mapping the legal and institutional competencies, and when listening to actors about their interests.

The IUCN was effective in supplying the RDP with the conditions required to develop its work and deliver recommendations and publications. The current communication strategy to reach out and influence RDP targeted audiences was not very effective, given the low levels of attainment in project indicators.

Efficiency

The significant financial investment agreed with the RF is adequate, considering the high level of complexity and challenge, and the project's 5-year duration, up to November 2022. The IUCN and RDP learning curve should be highlighted as an element that has tended to enhance achievements in 2020.

Despite the funding available, the IUCN's ownership in managing it, and the outstanding expertise of the team, the IUCN seems to have underestimated both the human resources and time required to communicate and disseminate RDP products, as well as for monitoring. The project would have been more efficient if the team had been supported by the inclusion of ad hoc communication experts, or even permanent communication assistance. Regarding M&E, from September 2019, there was a significant increase in investments in time and tools, and a local expert was hired in March 2020, which is extremely positive.

Regarding the efficiency of the RDP's work, there is a lack of balance between the resources invested and the results achieved, since the RDP's work and products have not met certain goals established by the project.

Lastly, there are **no elements that suggest less costly ways of delivering the same outputs. Despite efforts by the entire team, financial and human resources, and time could have been more effectively distributed, and this should be pursued.**

Sustainability

The sustainability analysis considers the 11 issues proposed by the Terms of Reference. These include an analysis of the extent to which the RDP meets the RF's expectations, in terms of providing timely and actionable recommendations, as well as the extent to which the RF meets the RDP's expectations, in terms of providing timely and constructive feedback about their recommendations.

In view of the divergent narratives between the RF and the RDP, the RDP was unable to fully meet the RF's expectations in terms of timely and actionable recommendations. It is important to note that some of the demands presented by the RF, especially at the beginning of the project, were not pertinent to the type of implementation planned for the RDP. Some of these demands were representative of consulting services, rather than independent advice from an ISTAP.

The evidence shows that the categorization of the RF's feedback, in relation to the recommendations made by the RDP, may be accurate, nevertheless, follow up of this feedback needs to be improved. There are early markers that demonstrate that the RDP's recommendations are adopted by the RF and are being implemented on the ground. However, there appears to be a lack of information about how this works or the factors that favor the integration of recommendations into the foundation's programs. The uptake of recommendations by the RF is a pillar of project sustainability and the IUCN recognizes the need for a better understanding of this process, and is already working on this.

There are early markers of the RDP's influence on regulators and policy makers, do-ers and influencers, as established by the logical matrix. The RDP's efforts to communicate with and engage policymakers, regulators, do-ers and influencers appear to be incipient, in terms of higher levels of engagement.

For the project's contributions to continue after completion and to generate positive impacts, it is necessary to adjust the fit between the RF's demands and the RDP's priorities, respecting the balance between independence and accountability. It is also necessary to engage other relevant stakeholders in collaboratively supporting the RDP's long-term vision.

1. INTRODUCTION

The purpose of this independent mid-term review (MTR) is to explore the Rio Doce Panel's (RDP) work and achievements, and support from the International Union for Conservation of Nature (IUCN), in order to provide guidance on how to maximize the potential to achieve the intended results and improve learning within the remaining timeframe of the project (2022). Through this assessment of the progress, performance, achievements, and lessons learned to date, the review will contribute to both learning and accountability. The specific objectives of the mid-term review were to assess⁸:

- The RDP's adherence to the Independent Scientific and Technical Advisory Panel's (ISTAP)⁹ core principles and support to it from the IUCN;
- The relevance of the RDP to its stakeholders and to prioritize biodiversity conservation issues in the Rio Doce Basin;
- The effectiveness of the RDP in achieving its objectives and providing clear insights about what has and has not worked so far, and why;
- The sustainability and potential impact of the RDP process, providing some indication about how the project is progressing in delivering its Theory of Change (TOC);
- Efficiency, in terms of value for money, of the delivery of RDP outputs.

An additional objective is to provide a set of actionable recommendations about how the project and project coordination/management might be revisited to further improve and strengthen delivery of the TOC.

The RDP was formed in 2017 out of an agreement between the RF and the IUCN for the creation of an ISTAP within the context of rectifying the impacts resulting from the collapse, in November 2015, of the Fundão tailings dam in Mariana (a county in the State of Minas Gerais). The collapse of the dam was one of the most serious environmental disasters in Brazil, causing 19 deaths and impacting approximately 670 kilometers of river, surrounding landscapes and marine adjacent areas along the Rio Doce basin to the Atlantic Ocean and affecting towns, villages, infrastructure, farms, forests and fisheries along the way.

The ISTAP is a tool for providing technical advice, particularly about environmental disasters, and controversial conservation and development issues, based on the following four principles: Independence, Transparency, Accountability and Engagement.

This report aims to present the main findings and recommendations of the mid-term review of the RDP Project. The first part of the document presents the objectives and a summary of the MTR methodology and approach. The second section introduces the project, with a brief summary of the context and project history. The third presents an analysis of the main findings, arranged in line with the review's specific objectives. The final sections include the conclusions, lessons learnt, and recommendations, which will be jointly evaluated with IUCN, in order to maximize their results, and include them in the final report. For a more fluent reading and to facilitate automatic cross-referencing throughout the text, the Data Collection Report (DCR) is attached as Annex (1) of this draft report; the systematization of face-to-face meeting notes (RDP1 to RDP6) are also included in the DCR.

1.1. The Theory of Change

The TOC narrative was drafted by the IUCN during the mid-term review in order to provide a descriptive text, since, up to that point, the TOC had only been expressed in graphic form¹⁰.

⁸ Link to the MTR's TOR: <https://bit.ly/2VT3OXD>

⁹ Source: "Procedures for Establishing and Managing IUCN supported Independent Scientific & Technical Advisory Panels", which describes ISTAP procedures, roles and responsibilities. Available at: <http://tiny.cc/istap>.

¹⁰ UNEP, 2017. The use of the TOC in project evaluation. According to the UNEP. "A Theory of Change should be discussed and agreed by key actors (both in intervention design and evaluation processes) so that it represents a shared understanding that describes the intervention. In essence, a TOC reflects a negotiated understanding or interpretation of the project's intervention logic – it is both contextual and temporal. It should also be regarded as dynamic - subject to changes / modifications as contexts change over time. However, for evaluation purposes, the original stated targets and intended results of an intervention should remain apparent in the TOC, (i.e. the results that people are accountable for should remain explicit)". <<http://tiny.cc/u7jppqz>>

“The RDP’s vision is long-term environmental and socio-economic health and resilience for the Rio Doce basin and adjoining coastal zone. This vision shall be achieved through an approach that is nature-based, integrative, and grounded in the landscape.

Recognizing that the process of knowledge adoption is iterative not linear, active not passive, contextualized, needs-based rather than curiosity-driven, or pull more than push, the RDP contributes to its vision through the timely delivery of salient, credible and legitimate Recommendations packaged in Issues Papers and Thematic Reports. Topics for these products are set by the RDP based on priority theme criteria and are informed by RF and other stakeholder’s needs. Members of the Panel use data and studies that are publicly available to develop their analysis and make their recommendations.

In addition to supporting the work of the Panel, IUCN develops and implements a tailored communication and uptake strategy aiming at disseminating the Recommendations among the different target audiences identified by the Panel as key actors in the repair process. As the primary target audience of the Panel is the RF, most of the communication and uptake strategy focuses on them, notably through regular scheduled meetings with technical and governance teams and other communication activities with on-ground teams and operational staff. In addition, a feedback flow is in place in order to understand the extent to which RF agrees on the recommendation. This aims at having the RDP’s Recommendations adopted and reflected in the RF’s implementation of the programs and integrated areas.

As secondary priority audience, a range of other stakeholders (Regulators, Doers, Influencers) are reached by IUCN and RDP through different means of communication, and with differing levels of intensity and investment (this prioritization is reflected in the order – from top to bottom – represented in the graphic). The Panel is open to evaluating invitations to present the recommendations to these stakeholders. This aims at raising awareness and informing a broader set of concerned stakeholders of the recommendations and the work of the Panel. Although neither the Panel nor IUCN are accountable for how this information is acted upon by these stakeholders, it is hoped that the awareness-raising and the recommendations will influence their behavior and lead to positive actions.

Ultimately, RF actions, combined with actions from other stakeholders, will contribute to social, environmental and economic health for the Rio Doce. Learning about what works, when, where and why will help inform other similar initiatives. IUCN intends to measure how the RDP recommendations may or may not have influenced these actions.”

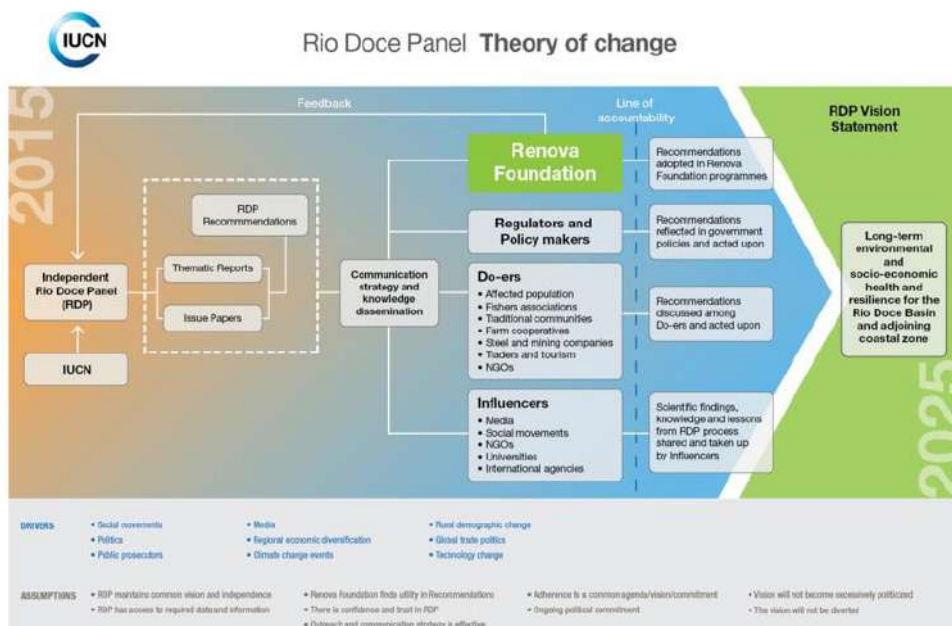


Fig. 1 The RDP Theory of Change (January 2020 version)

All the results ultimately lead to the Communication and Knowledge Logical Framework, that has 5 outcomes and intends to contribute to the achievement of the long-term TOC objectives:

1. Rio Doce ISTAP established and working with independence, transparency, responsibility and commitment, supported by the IUCN Secretariat;
2. Recommendations and knowledge generated by the RDP disseminated and considered by RF programs;
3. Recommendations and knowledge generated by the RDP disseminated and influencing government policies and regulatory frameworks;
4. Communication and information about the work of the RDP disseminated among Do-ers (affected population, farm cooperatives, fishers' associations, traditional communities, steel and mining companies, traders and tourism);
5. Scientific findings, knowledge, and lessons from the RDP process shared and taken up by Influencers (media, social movements, NGOs, universities, and international agencies).

1.2. Rio Doce Panel – A Brief History and Context

The 2015 collapse of the Fundão tailings dam in Mariana County severely impacted local communities and the environment in the Rio Doce watershed, which covers territories in the states of Minas Gerais and Espírito Santo. As part of the actions for reparation and compensation for the damage caused, a Term of Transaction and Conduct Adjustment (TTAC)¹¹ was written, which resulted in the creation of the RF, whose objective is to *“manage and execute the socio-environmental programs established in the Term of Transaction and Conduct Adjustment, observing the situation immediately prior to November 5th 2015”*¹².

The RF brings together technicians and specialists from different knowledge areas, scientific bodies from Brazil and other parts of the world, aggregating 600 employees and 6 thousand subcontractors and partners working in the reparation and restoration process. The Board of Trustees – composed of 1 representative appointed by the CIF, 2 by the Regional Chambers of affected people and 6 from Vale, BHP and Samarco companies – is responsible for approving the plans, programs and projects proposed by the RF's Executive Board.

The TTAC also set up the CIF, a collegiate system that brings together representatives from the three levels of government¹³, public agencies and society. CIF is led by the Federal Agency named IBAMA¹⁴. The CIF functions as an external and independent body from the RF are to guide, monitor, follow-up and enforce repair measures. It has eleven Technical Chambers - advisory bodies set up to assist the CIF in carrying out its targets. In June 2018, a new Conduct Adjustment Term¹⁵ (*Termo de Ajustamento de Conduta “Governança”*: TACGov)¹⁶ revisited and modified the initial governance arrangements, and established the creation of regional chambers and local commissions, which are being organized with the support of independent technical advisors, intended to assist the affected communities, besides the existing representation at the Consultative Committee¹⁷. Since its beginning, the activities of the RF have been overseen by the Department of Public Prosecutions (*Ministério Público*: MP), ensuring its objectives are fulfilled and that this disaster repair model, previously unheard of in Brazil, works properly.¹⁸

After several technical missions and discussions about the principles, objectives, and scope of ISTAP, a 5-year agreement was signed between IUCN and RF in November 29, 2017¹⁹. According to this Agreement, the Panel has the following objectives: to provide independent expert scientific advice and guidance to the RF; to provide a landscape-scale perspective; and to enhance stakeholder engagement in the restoration of the Rio Doce basin²⁰.

¹¹ in Portuguese: Termo de Transação e Ajuste de Conduta (TTAC) issued on 12 March 2016 <https://bit.ly/2AJ5dbO>

¹² From the RF Statute: <https://bit.ly/2NZUNYv>

¹³ Brazil has Federal, State and County jurisdictions.

¹⁴ *Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis* - Brazilian Institute of the Environment and Renewable Natural Resources.

¹⁵ As it is called on the RF website, more commonly known as a Deferred Prosecution Agreement.

¹⁶ Entered into on June 25, 2018. Available at <<https://tinyurl.com/yave87bf>>

¹⁷ Thus far, only 4 out of 21 independent technical advisors have been hired.

¹⁸ Participant parties. Available at: <https://bit.ly/2CeQc1K>

¹⁹ IUCN-Renova cooperation Agreement, p. 3.

²⁰ The third objective, in mutual agreement with the RF, was modified in September 2019 to better reflect RDP principles. The first version was: “Build stakeholder confidence in Renova’s scientific assessment and management responses”

The RDP currently has six experts on the following areas: Governance, Freshwater Ecology and Limnology, Engineering and Impact Assessment, Natural Resources and Ecological Economy, Water Management and Environmental Chemistry, and Landscape Management and Biodiversity. A seventh expert (on Sociology and Education) left in March 30, 2020, and is being replaced.

The main products of the Panel are to make recommendations to the RF on a scientific and technical basis. The recommendations are presented as Issue Papers (on specific topics) and Thematic Reports (in-depth, about gaps and opportunities that can answer critical questions for the landscape-scale perspective).

RDP governance is managed by a Project Board, which provides strategic guidance and is composed of representatives from the IUCN and the RF. The management and coordination of the Panel are overseen by the IUCN Business and Biodiversity Program, based in its headquarters in Switzerland. Direct technical support is provided through the IUCN Brazil Country Office. IUCN is responsible for submitting a detailed annual work plan and budget for written approval by Renova.

The RF works within a complex governance framework, with about 400 people participating in a collegiate process and with control shared by the various players.²¹ From 2016 to 2018, the Interfederative Council played a prominent leadership role in these arrangements. Since 2019, political and institutional external factors, as well as those within the RF, have influenced the RDP's work. General elections in Brazil changes political parties, the incoming administration attempted to discontinue²² CIF, and changes occurred at the top echelons of the CIF. Secondly, the disaster in Brumadinho County had two significant impacts: a reduction of trust in the sponsoring companies and, consequently, the RF; and questions about the RF governance model and its effectiveness in the reparation process. Noteworthy external factor was an escalation of conflicts, resulting in the judicialization of certain programs²³. An illustration of this may be found in the December 2019 publication of a National Council for Human Rights Resolution, which described the crimes in Mariana (Minas Gerais) and the Rio Doce Basin, following the collapse of the Fundão tailings dam, as human rights violations of exceptional gravity. In addition, the high turnover of RF staff, directors and presidency interrupted dialogues and ongoing processes.

2. METHODOLOGY

This midterm review took into consideration the Terms of Reference²⁴, which recommend compliance with evaluation standards based on the OECD DAC Evaluation²⁵ criteria of relevance, effectiveness, efficiency, impact, and sustainability. Furthermore, the procedure manual for establishing ISTAPs²⁶ supports an analysis of findings by observing, among other matters, the definitions of ISTAP Principles and references to the management process' expected timeline, which is divided into quarters.

From February to April 2020, quantitative and qualitative methods for data collection and analysis were adopted for this review, including: A review of relevant project documentation focusing on the documents listed in the TOR and others²⁷; Semi-structured interviews with key stakeholders (see Annex 1, page 112); Field visits to the Rio Doce basin; A Focus Group; Participant Observation during the 6th RDP Face-to-Face Meeting; Conducting a survey with the RF team, CIF members, and RDP members. Data and information from these sources have been systematized and included in the Data Collection Report, DCR (see Annex 1).

The semi-structured interviews were conducted with 37 individuals, including members of the following groups: Renova and Mining Companies (32%); IUCN (16%); RDP members (22%); CIF (14%: policymakers, regulators²⁸); Do-ers (11%: affected individuals; local leaders and technical advisors for the affected population); and Influencers (5% NGOs). The interviews were conducted in person (during field visits and at

²¹ Renova Foundation website: <https://bit.ly/3e4Hel1>

²²DOU. Portaria nº 18, de 7 de julho de 2016: <https://bit.ly/2ZFary0> and portaria nº 3.182, DE 1º de novembro de 2018 <https://bit.ly/3iCsjC4>.

²³ Federal judge, Mário de Paula Franco Júnior, from the 12th Federal Civil/Agrarian Court of Minas Gerais, has taken control of RF Program decisions, within the scope of a Public Civil Lawsuit.

²⁴ Midterm review TOR: <https://bit.ly/2ZJ8Mra>

²⁵ OECD evaluation guidelines. Available at: <http://tiny.cc/d24rpz>.

²⁶ ISTAP Procedures. Available at: <http://tiny.cc/istap>.

²⁷ For instance, a detailed review of reports produced on the scope of the MEL, IUCN clippings and so forth.

²⁸ The Project documents include the Public Prosecutors in the Regulators Category, beyond the regulatory institutions such as IBAMA, ANA.

the 6th RDP Face-to-Face Meeting), by videoconference or phone, according to a list prepared with the IUCN, prioritizing actors who had previous contact with the RDP.

The team of consultants was invited to attend the 6th RDP meeting, in March 2020, in the states of Espirito Santo and Minas Gerais to apply the Participant Observation method to collect information.

A focus group was held with members of the Panel to map their vision of RDP challenges, barriers to effectively delivering the recommendations to priority audiences, and implementation on the ground. Advantages and needs for improving the *modus operandi* were also discussed, as well as the relationship and interaction between the RDP and Renova. In addition, a brief review of the TOC was held, in order to understand the ownership, vision alignment, and strategies within the TOC.

Three surveys were applied, one to RDP members, and the others to the RF team, and CIF. The table below summarizes each survey's sample groups.

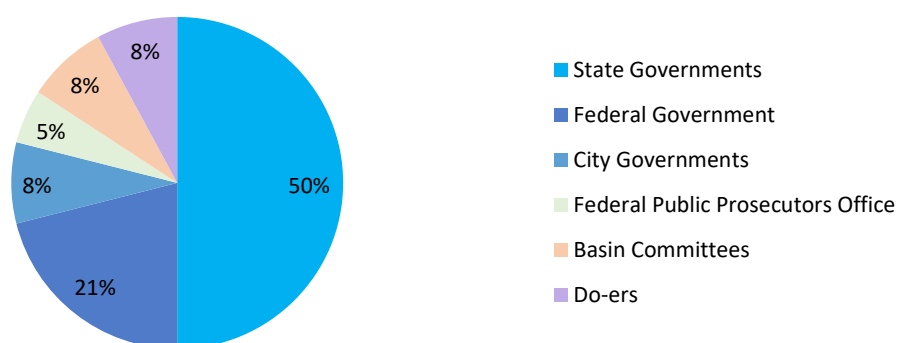
Table 1 – Survey groups, number of participants and response rates

Groups of Respondents	Survey submitted	Responses	Response rate
RDP members and former members	11	7 ²⁹	63%
RF Team (Consultants, RF Directors, and Staff)	75	48	60%
CIF	95	38	36%

It is important to notice the survey for CIF, the questionnaire was sent by e-mail and WhatsApp, and the figure in the table is related only to the initial number of questionnaires sent by e-mail. We estimate that the 38 forms received are equivalent to approximately 10% of CIF participants (including mayors, NGOs, and representatives of those affected).

Most of the CIF respondents were in the Policymaker category (79%). Fifty percent of respondents were representatives of state governments, 21% representatives of the Federal Government, and 8% of municipal governments. The other responses came from 2 members of the Federal Public Prosecutors Office, 3 members of basin committees, and 3 do-ers (2 technical advisors for the affected population and 1 from the Water and Sanitation Service).

Graph 1 - CIF Respondents



In Table 2 is presented the method to test “strength of evidence” based on the three-group responses.

Table 2 – Evidence Strengthen and Criteria

Rating	Criteria

²⁹ 5 members and 2 former members.

High strength of evidence	⇒ When evidence appears in at least 3 of the collection methods: interview + survey + participant observation + document analysis + focus group; when the document analysis is unambiguous.
Medium strength of evidence	⇒ When evidence appears in at least 2 of the collection methods: interview + survey + participant observation + document analysis + focus group, or the different stakeholders manifest the same opinion or information.
Low strength of evidence	⇒ When evidence appears in at least 1 of the collection methods: interview + survey + participant observation + focus group.

The following observations on the use of the evidence criteria and the presentation of the data and information should be considered:

- 1) Despite the criteria presented above, the evaluation team considered, in some cases, even not having 3 collection methods, the evidence as strong enough to be considered high. Nevertheless, in order to keep consistency and fidelity within the established criteria, they will always be highlighted.
- 2) The systematization of the interviews is organized by stakeholders groups (See Annex 1): Renova Directors; Renova Staff; Renova Consultants; Do-ers; Influencers; Regulators and Policymakers; IUCN; Mining Companies; and RDP.
- 3) In some cases, the information from two or more groups is together to preserve the source of the information (the interviewee).

One important source of information, as determined in the initial consultancy proposal, was in workshops to identify learning shared by members of the RDP, the IUCN and Renova, which had to be cancelled due to the global pandemic. Some lessons learnt by these actors emerged during interviews and the focus group.

3. MAIN FINDINGS OF THE MID-TERM REVIEW

3.1 Adherence to ISTAP criteria

“The four ISTAP principles (independence, transparency, engagement and accountability) work together and provide balance – they can be thought of as the four corners of a soccer field which marks out where the game is to be played. It is a question of balance between all four principles – if one is over-emphasized, for example, “accountability”, then it can be to the detriment of the other principles and ultimately the work and outputs of the Panel. Equally a singular emphasis on engagement or independence might risk how accountability to the contracting party is addressed, for example, the Panel might risk becoming less demand-responsive.”

Stewart Maginnis - Global Director- Nature-based Solutions Group

The mid-term review TOR includes an evaluation of the extent to which the RDP is adhering to core ISTAP principles: Independence, Transparency, Accountability and Engagement. This requires verification of the factors that contribute to hinder them. It also requires an assessment of which measures (policies, procedures, etc.) are appropriate for ensuring RDP adherence to ISTAP principles. The Independence principle requires that “the Panel should be established and operate free from any external influence (whether government, private sector, NGOs, scientists or IUCN). Collectively, the Panel members are free to reach what the Panel considers the most robust and feasible conclusions and recommendations based on the best available science”.

The ISTAP Engagement Principle determines that “The Panel should work with all affected parties during its entire lifetime. This includes recruiting Panel members who are willing to take evidence from a diversity of

disciplines and perspectives and to implement a clear stakeholder engagement plan as part of the Panel's activities."³⁰

The principle of engagement goes beyond efforts to disseminate products. According to the vision of IUCN's Global Director of the Nature-based Solutions Group, the Panel needs to champion the recommendations and should be clearly demand-responsive. The ISTAP Accountability Principle sets out that "The Panel should have a clear sense of purpose, deliver high-quality outputs in a timely manner, and be administered in a way that is consistent with IUCN's policies and procedures."

According to the above-mentioned Global Director, accountability can be seen as a counterweight or balance to the principles of independence and transparency. While the Panel maintains independence on how it reaches its conclusions and the freedom to consider different types of evidence, it must – at the same time – adhere to its TOR and the scope of the Panel's work.

The transparency principle ensures that the working arrangements, conclusions and recommendations of the Panel should be made openly accessible in an unaltered manner. According to the IUCN, transparency builds confidence and legitimacy in the knowledge that the Panel's integrity has not been compromised in reaching its conclusions. With independence, transparency guarantees non-interference in the Panel's work, much more so than that associated with a standard consultancy (DCR 2.2.1).

3.1.1 Independence

This MTR found high levels of evidence that the RDP has observed the principle of Independence. The RDP demonstrates independence in the choice of topics to be addressed, data to be considered, the approaches and analysis carried out, as well as in drawing its conclusions. The mining companies and stakeholders with the most contact with the RDP and the RF recognized its independence (DCR 2.1– interviews and Surveys).

The RF sometimes views the RDP's independence as a barrier to understanding its needs and demands. For the RF, now is the right time to "fine tune" the RDP's prioritization themes, creating a better match with RF demands (DCR 0 – from interviews with RF Directors). The RF has informed the RDP of its needs, particularly during biannual face-to-face meetings. In RDP4 (March 2019), the RF presented suggestions of critical issues and topics for future research, alongside demands for greater interaction with RF teams. In RDP5 (September 2019), the RF put forward certain challenges for the RDP to address, such as:

- A broader approach to restoration, with an overview of the different aspects that impact on the RF's decisions, including other stakeholders involved in the process;
- A more systemic vision, to help the RF integrate different work fronts (Ex: macro-indicators³¹ for reparation, looking at components before/during/after dam collapse);
- The way in which the RDP addresses the RF's demands and needs, and whether it observes the themes and trends that the RF predicts will be strategic in the medium and long-term.

Following this, during RDP5, the RDP held an internal discussion about how to accommodate the RF's comments and demands without threatening the Panel's independence. The RDP therefore stated that "the Panel can work with topics that are presented by the RF as their needs, but the Panel can go beyond what the RF considers to be important to them" (DCR 1 – Systematization of RDP5 meeting notes).

As one prominent IUCN leader noted, if the Panel's independence receives too much attention, it could become less demand responsive. Balancing ISTAP principles is a challenge and, in the RDP's case, more attention is paid to the principle of independence than to the others.

One mutual challenge for the RF and the RDP is to find a solution for their divergent narratives of the long-term vision: The Panel's long-term vision is "environmental and socio-economic health and resilience for the Rio Doce basin and adjoining coastal zone"; while for the RF it is the recovery of the basin to "the situation immediately prior to November 5th 2015", according to its founding objective³². In establishing the RDP, the

³⁰ Source: "Procedures for Establishing and Managing IUCN supported Independent Scientific & Technical Advisory Panels", which describes ISTAP procedures, roles and responsibilities. Available at: <http://tiny.cc/istap>. (Page 9)

³¹In March 2020, this topic was briefly discussed with the RF's Curator Impact area to identify areas which could be followed up by the Panel.

³² RF Constitution: <https://www.fundacaorenova.org/wp-content/uploads/2016/10/estatuto-registrado.pdf>

RF concurred with the long-term objectives of the Panel, but the changes that have occurred since 2019 (mentioned in the section **Error! Reference source not found.** - The RDP – A Brief History and Context) have pressurized the RF to increase focus on its constitution. To make the long-term vision of the RDP sustainable, it is necessary to engage stakeholders which has institutional mandate to implement this. This is critical to facilitating dialogue, and making the RDP more demand responsive, without jeopardizing its independence. However, this is not adequately addressed by the RF or the RDP.

Factors such as the RDP's high level of responsibility and commitment to independence, and established communication protocols, favor the observance of this principle. Likewise, the effective firewall that the IUCN promotes, creating privacy spaces for RDP discussions and ensuring the RF respects this dynamic, also favor adherence to this principle.

3.1.2 Engagement

There is a high level of evidence that the RDP has maintained its engagement with the RF, with a routine of monthly virtual meetings with focal points, and biannual face-to-face meetings, involving an agenda of meetings with the Project Board and with stakeholders from different institutions. The RDP has also established a protocol for the review of publications which engages those RF teams directly involved with the research themes, without prejudicing its independence in establishing final conclusions. **However, the RDP had not developed a strategy that allowed for the engagement of other relevant stakeholders, and remains very focused on the RF.** Because of this, it may have missed an opportunity to establish a relationship of knowledge construction and exchange which could promote the landscape-scale perspective, nature-based solutions and the RDP's long-term vision for the Rio Doce Basin. There is space, demand, and expectation, on the part of policymakers, regulators and Do-ers for further RDP engagement (DCR 2.3.1).

"First of all, we need to understand the Panel, we do not know why it exists, whether we can send them our demands, how we can interact. But a one-hour meeting cannot solve this, we need to have a day-long meeting, a workshop, to create a routine, to see whether the technical chambers are able to work with the Panel, perhaps establish a workflow for what is possible."

CIF Technical Chamber Policymaker statement

There are two aspects to consider in relation to engagement: one refers to the regularity of interaction with stakeholders and the other to the way this interaction takes place. In relation to the way the interaction takes place, we understand this to refer to the way in which meetings with stakeholders occurred, i.e. the methods and approaches used to promote the specialized and informed participation of the populations, the location, and the conditions under which conversations took place during the evaluation team's participant observation.

In terms of regularity, with the exception of the RF, all other stakeholders claim that they do not interact with the RDP as often as they would like. Taking the CIF as a privileged locus of engagement, which plays an important role in project strategy and includes representatives from all the stakeholder groups considered in the TOC, the policymakers we interviewed thought that communication with the RDP is insufficient and irregular (DCR 2.2.1, 2.3.1, 2.5.12, Interviews and Survey, page 41, 48, 108). Some CIF members only reported sporadic participation in presentations or meetings with the RDP, while members of the RDP also reported, equally irregular, participation in events or meetings with members of the CIF's Technical Chambers. In the case of the Prosecutors, no contact from the RDP was reported by the time this mid-term assessment took place. More than 80% of the policymakers who responded to the survey declared an interest in having more opportunities to interact with the RDP (DCR 2.3.3). The need for greater engagement with stakeholders was also widely expressed by the RF, which understands the importance of the Panel's role, as a body not directly involved in the socio-environmental conflict, in carrying out a social and political analysis of the reparation process (DCR 2.3.1; 2.3.2).

In terms of the forms of interaction, RDP meetings and presentations during RDP6 (March 2020) were analyzed, looking at the project's emphasis on knowledge construction and dissemination. **Participant observation suggested that the design of these meetings and the absence of professional facilitation reduced the potential for participation by and information-sharing with stakeholders.** Methodologies to promote the specialized and informed participation of the communities or the mutual construction of

knowledge (such as Art of Hosting, World Café or Fishbowl activities) were not applied (DCR 2.5.4). Likewise, the evaluator considers that some of the places where meetings with professionals from the RF are held present obstacles to listening, sharing and recording information³³ (DCR 2.3.1).

Another factor that may reduce engagement is the absence of a clear distinction between engagement and communication. A communications strategy exists, but there is no engagement strategy to inform the relevant stakeholders and encourage their commitment to the challenge expressed in the TOC. **The stakeholder mapping undertaken during the project's initial phase could be refined in order to enable these two strategies to dialogue with each other and improve their convergence.**

Factors that favor engagement are stakeholder interest in the RDP and the existence of RDP members with the interest, profile, and availability to interact with both CIF members and technical chambers, who can easily communicate with the public, and are recognized for their academic production or their work with public managers (DCR 2.3.2).

3.1.3 Accountability

As defined by the project monitoring strategy, there are three main areas for results within the RDP zone of accountability³⁴: product design (use of agreed prioritization criteria to define topics for Issue Papers (IP) and Thematic Reports (TR)); product delivery and quality (number of IPs and TRs delivered against an agreed annual work plan); and number of recommendations adopted and/or reflected in RF operational decisions.

Product design complied with the prioritization criteria agreed in the definition of IP and TR topics, although **the RF would welcome a fine-tuning of this prioritization, applying a different approach, such as a process to regularly revisit the same topics and consider their evolution** (DCR 0 – from interviews with high-level RF Directors).

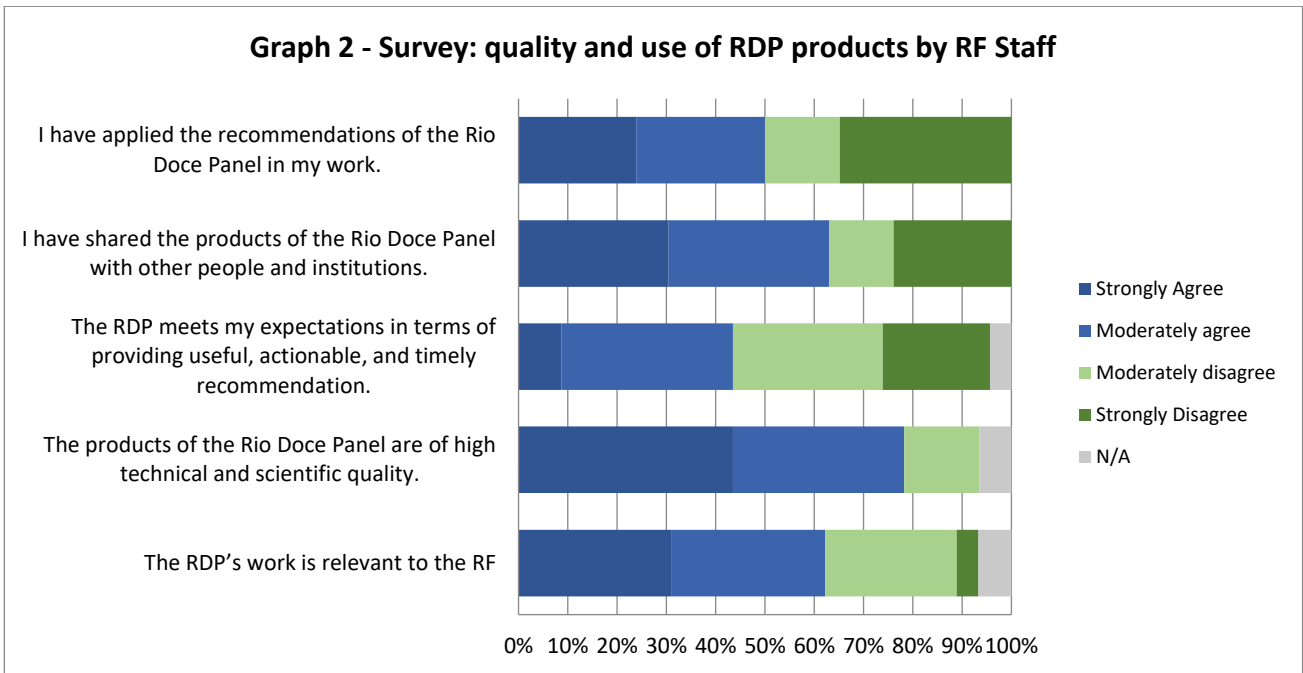
Regarding product delivery, a great deal of investment was made to build on the Panel's learning within the extraordinarily complex socio-environmental and political context. An effort was also made to systematize the RF's knowledge, in view of the intensive production of information and the search for solutions in the first year of the RDP, which took more time than expected. Despite these efforts, and because of the complexity of the process, **the percentage of outputs delivered was low, obtaining around 36% of what was planned for the first two years** (DCR 2.4.1; 2.5.5).

As seen in Graph 2, in terms of quality and timing, **70% of the participants consider the Panel's products to be of high technical and scientific quality** (DCR 2.4.1; 2.4.2), while 44% of respondents think that the RDP meets their expectations in terms of providing useful, actionable and timely recommendations. **Sixty-six percent have shared RDP products. Half of the survey respondents confirm that they have applied RDP recommendations to their work.**

³³ A case in point are meetings held in restaurants, where it seems that suitable areas are not set aside to reflect the importance of these discussions (DCR 2.3.1).

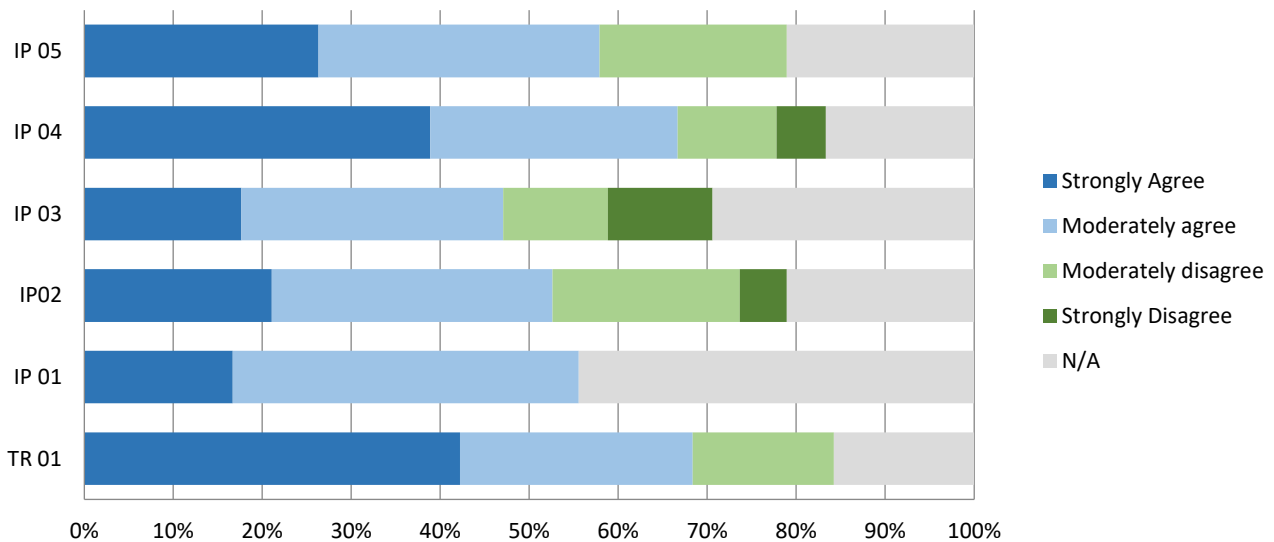
³⁴ Source: MEL 2018 Annual Report

Graph 2 - Survey: quality and use of RDP products by RF Staff



The RF's perception of the quality of RDP publications varies from one publication to another, with TR1 obtaining the best assessment, with 68% agreement about its technical and scientific quality, while the agreement for IP3 was 47%.

Graph 3 - RF Evaluation Survey
"The product in question is of high technical and scientific quality and represents a significant contribution to the design of RF programs"



There are early indications that there has been some integration of RDP recommendations into RF programs, but the evidence is mixed, and more in-depth study is required to measure its degree (DCR 2.5.11, Survey page 105). In the RF survey, 20 out of 32 respondents reported 11 examples of programs incorporating RDP recommendations. Based on the RF feedback table³⁵, 63% of the RDP's recommendations were integrated into foundation programs (DCR 2.5.11 and 2.8.4). Nevertheless, in interviews, this integration received little recognition from the RF team.

³⁵ Recommendations of the RDP and feedback from the RF: <https://bit.ly/2Z5f1X7>

RF programs that incorporated the Panel's recommendations, according to the RF Survey

- Key programs related to the Rio Pequeno dam in Linhares, such as water, fishing, infrastructure, biodiversity, and dialogue.
- Resuming agricultural and fishing activities
- Program for the Resumption of Agricultural Activities regarding the recommendation to create a baseline
- Social environmental Program
- Health Program
- Youth projects
- Water quality
- Participation in Social Development
- Sustainable Land Management
- Environmental Program
- Economy and Innovation

It is challenging for the foundation to evaluate the accountability of an independent Panel. RF Directors stated that they expected better performance (DCR 2.4.1, see RF Director interviews, page 65) and greater adherence (DCR 2.2.1, page 41, 2.5.3, page 79) to the context, and expressed their preference for a smaller number of products of greater technical and scientific weight (DCR 2.4.1; 2.1.2). According to its 2020 planning, the Panel is already implementing this measure, focusing on the Thematic Reports.

Factors that contribute to accountability (and transparency) include the definition of RDP accountability criteria within the MEL Strategy, and periodic Project Board meetings, since these provide a moment for assessment and the sharing of views. **However, delays in delivering annual M&E reports may reduce accountability.**

3.1.4 Transparency

There is a high level of evidence that the RDP maintains the principle of Transparency in relation to its priority audience, which is the RF, as well as with Policymakers at federal and state levels, and Influencers. In relation to municipal policymakers, the affected populations and their advisors, certain aspects could be refined to provide greater equality of access to information, promoting RDP transparency.

The RDP's website is the principal tool used to promote RDP transparency and comes under the responsibility of the IUCN. The website ensures that information about the mandate, actions, *modus operandi* and RDP recommendations, as well as all its minutes and other relevant information, is widely available. Nevertheless, **for an audience in small towns, including mayors and their advisors, the website's technical language, containing terminology in English, may present an obstacle to accessing information.**

Another relevant aspect is the Panel's transparency with the communities with which it maintains contact, as described in the section about engagement. **Although these populations experience inequality in access to information, no transparency measure has been adopted to reduce this gap in RDP meetings with the communities. During face-to-face meetings, the RDP has not taken the opportunity to enable communities to access recommendations or promote discussions about how these might impact on their future lives.** (DCR 2.2.1).

One factor that contributes to transparency, beyond the content on the RDP website, is the sending of hardcopies and digital publications to mayors and other stakeholders, regularly and during CIF meeting, visits, and events.

3.2 Relevance

The relevance analysis considers the following questions: to what extent does the work of the RDP address priority issues? How relevant is the RDP, and in particular its recommendations, advice and other outputs to: The conservation goal of restoring the Rio Doce basin? The RF? Regulators and policy makers? Do-ers and influencers? And, to what extent is the panel's composition fit for purpose?

To what extent does the work of the RDP address priority issues?

Although the RDP is recognized as an important initiative in the context of Rio Doce Basin reparations, it seems that, thus far, it has not been able to adequately align its work themes to RF priorities. As mentioned above, the RF's priority is the reparation and compensation process, which constitutes its founding objective.

According to interviews with the RF's Consultants and Directors, the initial expectation was to have a high-level organization, such as the IUCN, involved in the autonomous monitoring of RF activities, examining the most recent data. From the perspective of a prominent individual from the RF, *the theme of reparation is at the frontier of knowledge in almost everything in the social, environmental and political fields, and for this reason there are almost no off-the-shelf solutions:*

"When you are at the frontier of knowledge, uncertainty and ambiguity are at play. In this case, independent observers are vital to ascertain whether the search for solutions is correct, is appropriate. Lots of things are being produced and there is a need for greater proximity with other stakeholders, who are also producing knowledge, not only proximity, but an evaluation of what they are producing using the same criterion of quality as that used for RF activities."

During the interviews with the RF's Directors, the following themes emerged as being of most concern for the RF:

Compensation: this is a central theme. Proven cases are compensated. The TTAC states that unproven cases must be the exception, although there seem to be many recorded cases with no proof, some pertinent and others apparently not. We are seeking solutions and there are parallels elsewhere in the world where we could find examples, such as honor systems, based on ethical values. There also appear to be misaligned incentives, which is a difficult scenario to tackle.

Governance: is the reparations model appropriate? Will this solution be able to provide responses? Is the model sufficient? Compared to Brumadinho, what are the costs and benefits of this model?

Water quality: we have data that demonstrates that the water has returned to its pre-collapse quality and that it was not good quality, but may be consumed now, provided that it is treated. Despite this, there is a legitimate lack of confidence. This theme is hugely important.

Health and Tailings: there are studies that demonstrate that the tailings from the dam are not dangerous, there are no heavy metals. Other areas have the same level of contamination as the affected areas. Does it make more sense, from an environmental point of view, to leave the waste where it is, or to undertake a recovery process?

Resettlements: although a temporary process is underway, which ends within a year, this is of great concern.

For the RF's Directors, the Panel should not seek solutions to purely technical issues. Firstly, because of the low level of Panel integration with the RF's day-to-day activities, and secondly, because the technical and technological issues are on the right path. The CIF Secretariat also points out that it is not the role of the RDP to tackle specific and technical problems, but to act as a mobilizer for the long-term vision, through dialogue with CIF Executive Secretariats at state and federal levels. Another area they mentioned refers to recommended guidelines for mining activities and how to ensure that dam ruptures, such as those of Mariana and Brumadinho, are not repeated in the future (DCR 2.7.2).

How relevant is the RDP, and, in particular, its recommendations, advice and other outputs to: The conservation goal of restoring the Rio Doce basin? The RF? Regulators and policy makers? Do-ers and influencers?

Interviews with CIF policymakers suggest that **most stakeholders consider the initiative to set up an independent Panel to be important** (DCR 2.7.2). Its greatest contribution, in their opinion, is to encourage a

broader perspective about the health and resilience of the Rio Doce Basin ecosystem over the long term, given that the focus of actors directly involved is completely absorbed by the reparation process's immediate needs (DCR 2.7.2).

In terms of the relevance of the RDP's work to the conservation goal of restoring the Rio Doce Basin, **50% of CIF survey respondents agree that the RDP's recommendations are useful and appropriate to the policies and programs for Rio Doce Basin Recovery and Conservation** (20% abstained from answering this question, probably because they were unaware of the publications, since **18% of the participants were willing to evaluate publications** (DCR 2.7.2 Survey page 126)). Although most representatives from the groups of Regulators, **Do-ers, and Influencers** who participated in the semi-structured interviews had previous contact with the RDP, they **were unaware of the Panel's publications and recommendations** and, therefore, unable to assess their relevance.

The RF survey revealed that 62% of the respondents consider the work of the RDP to be relevant to the RF, 71% agreed with the suitability and usefulness of the RDP's work to recover the Basin and 85% agreed with the relevance of the RDP's work for the Basin's conservation objectives (DCR Error! Reference source not found.).

To what extent is the Panel's composition fit for purpose?

Considering the above-mentioned priorities established by RF Directors, and an analysis of the curricula and declared competencies of its members, the current RDP profile is partially suitable. **Prominent actors at the RF state that matters such as Governance³⁶, Compensation, and an Honor System** are areas for which the Panel could add international experience.

At the outset, when contracting researchers for the RDP, the chosen option was to draw up a single and broad TOR containing several areas of expertise. Subsequently, the work themes were prioritized, with one of the criteria being the existence of expertise among contracted researchers (DCR 2.5.3, findings about prioritization criteria). This criterion may have overshadowed the need for other expertise to meet stakeholder demands.

According to statements made by RDP members in the survey, the following TOR areas are not covered: Hydrology, Marine Biology and Toxicology³⁷. In line with these statements, the Panel's current composition includes expertise in the following areas (DCR 2.3.2):

- Impact assessment
- Landscape management and restoration
- Economic development including livelihood strategies, community development and enterprise development (2)
- Social Dynamics
- Brazilian Environmental Policy
- Integrated water resource management (2)
- Freshwater ecology
- Experience with mitigation measures, especially, but not exclusively, with respect to mining activities and tailings management
- Public Policy - Governance
- Biodiversity conservation
- Environmental costs and benefits assessment

The Terms of Reference to replace a member of the Panel, published in April 2020, include significant changes. Three large work-related areas have been highlighted and enhanced: Environmental remediation of impacted areas; Environmental compensation and infrastructure; and Human Rights, social participation and livelihoods. These changes may lead the Panel to a closer relationship with the themes of the interdependence

³⁶ A Natural Resource Governance Framework (NRGF) is being pushed forward by the IUCN, however, the RDP's stakeholders do not relate this initiative to the Panel's work.

³⁷ Since the panel composition has changed, some thematic areas are now less well covered.

of communities and natural resources, social participation, and Human Rights. **The refining of the TOR also appears to meet the RF's needs regarding the themes that the Panel should address³⁸.**

3.3 Effectiveness

The following questions were posed to evaluate effectiveness:

- What can we learn from the way the RDP operates and is supported by the IUCN?
- How effective is the RDP's *modus operandi*? Is the panel provided with adequate resources and support from the IUCN to deliver its outputs? What has, and has not, worked well so far? How have problems been resolved?
- How effective are the current strategies to reach out and influence RDP targeted audiences? What factors have contributed to accelerating or hindering the uptake of RDP recommendations by its targeted audience(s)?
- To what extent are the Monitoring, Evaluation and Learning (MEL) strategy and tools helping: (a) to answer key guiding questions, (b) to detect the required program implementation adjustments for better progress towards results, and (c) to collect the right kind of data to conduct an impact evaluation at the end of the project? What adjustments to the MEL system are recommended to help understand the impact of the RDP?

Four evaluation categories were adopted to facilitate the presentation of the Effectiveness Analysis: a) Effectiveness of the *Modus Operandi* b) Effectiveness of the current strategies to reach out and influence RDP targeted audiences; c) Effectiveness of M&E; and d) Effectiveness of IUCN support. Given that this is an MTR and some of the strategies are still at an initial stage, we did not adopt a graded effectiveness scale.

3.3.1 Effectiveness of the RDP's *Modus Operandi*

There is a high level of evidence that the RDP has managed to develop a structured process to draft its publications, from the selection of themes to their development, in peer and RF review, editing, ISBN registration and publication. This is the product of learning and adaptive management by the RDP and the IUCN. **A high level of evidence also demonstrates that the RDP's *modus operandi* could be refined through the construction of more effective planning and prioritization processes, improving its performance in delivering planned products.**

The implementation rate of RDP annual plans was low, with around 36%³⁹ of planned products delivered (DCR 2.4.1; 2.5.5). According to interviews with the RF team (DCR 2.4.1), there is evidence that changes to the RDP's composition meant that more time was required for certain products, although other factors relating to its *modus operandi* may have influenced this low performance rate, including:

- **The way in which annual plans are drafted does not appear to consider a more accurate analysis** of the strengths, weaknesses, opportunities and threats for each theme (for example, identifying factors that may involve risks for the drafting of papers, such as a lack of current published and systematized data, or identifying cooperation opportunities with other research groups), which could support the development of more realistic plans. **This analysis also suggests the need to contract new members or consultants to support certain tasks** (DCR 2.4.1, see "Renova Staff and Consultants, and Mining Companies' interviews")

³⁸ In March 2019, during RPD4, the following topics, relevant to the RF, were among those listed: the historical role of basic sanitation in the basin and how improvements could contribute to integral reparation; a case study to compare post-disaster resettlement cases; the landscape approach; ecosystem restoration, the importance of traditional populations for restoration and sustainable practices; public management and social participation to ensure a legacy; vulnerable populations that are not included in the education or economic development programs.

³⁹ In Year 01 (2018), 1 out of 8 scheduled products was delivered, while in Year 2 (2019), 4 out of 11 products in the annual work plan were delivered.

- **The criteria adopted to prioritize the research themes does not take account of the availability of recent systematized and published data**, which could mean that these tasks require more time, thus delaying the drafting of publications (DCR 0).
- The low delivery performance rate also raises questions about the suitability of the amount of time Panel members dedicate annually to the production of papers and the suitability of the member profile.
- Some RDP members mentioned the need for face-to-face meetings during a paper's final phase (DCR 2.5.4, pages 82 and 83).

Regarding internal procedures, **RDP members mentioned the need to improve internal communications**, specifically to create a protocol for drafting and responding to e-mails to avoid excessive messages, and to use a better document management tool. Two of them also mentioned the need to organize face-to-face meetings to enable greater immersion in the local context (DCR 2.5.4, pages 82 and 83).

The RF considers both the time taken to develop publications, and the amount of effort and time the RF team has to dedicate to the review process, excessive. It appears that one learning for the RF and the RDP might be the development of fewer, but more consistent, products.

3.3.2 Effectiveness of strategies to reach out and influence the RDP's targeted audiences

The strategies in place to reach out and influence the RDP's targeted audiences are in the initial stages. The analysis of these strategies' effectiveness took as a reference the results described in the project's logical framework:

- Recommendations and knowledge generated by the RDP disseminated and considered by RF programs;
- Recommendations and knowledge generated by the RDP disseminated and influencing government policies and regulatory frameworks;
- Communication and information about the work of the RDP disseminated among Do-ers (affected population, farm cooperatives, fishers' associations, traditional communities, steel and mining companies, traders and tourism);
- Scientific findings, knowledge, and lessons from the RDP process shared and taken up by Influencers (media, social movements, NGOs, universities, and international agencies).

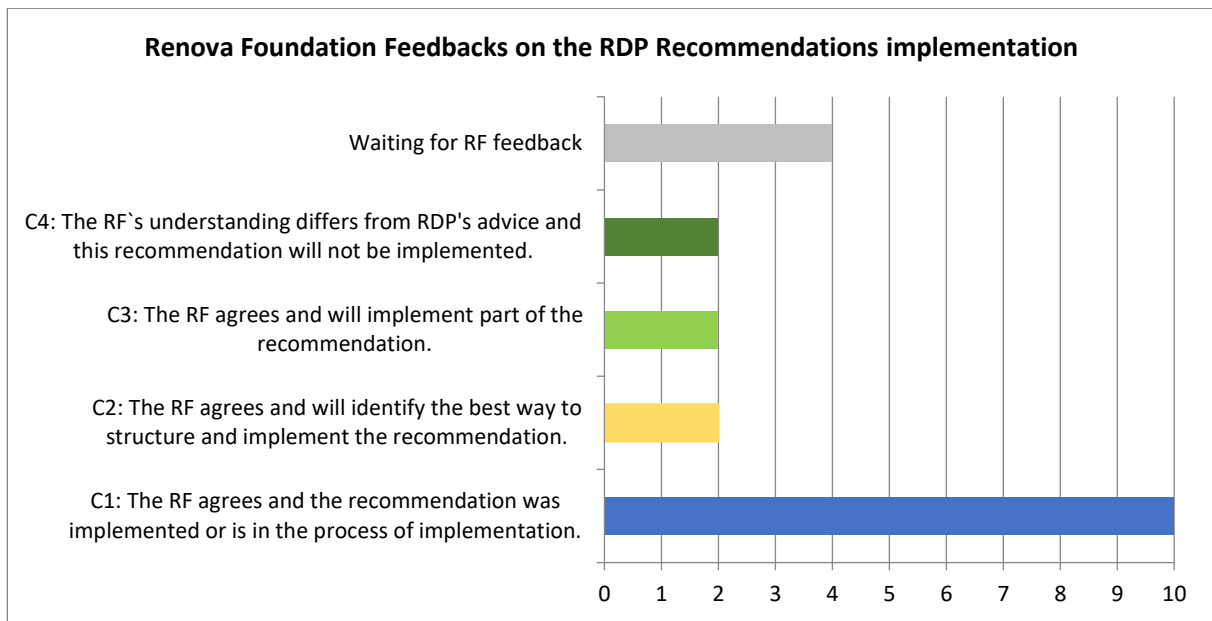
According to survey findings, RF staff⁴⁰ and Policymakers at federal and state levels, who are part of the CIF, were aware of the RDP, its independence and some of the publications it produced. Regulators, Do-ers and Influencers have little or no knowledge of the RDP and its products. Only one mayor responded to the survey aimed at the CIF (DCR 2.5.7). For most of the CIF stakeholders, communication with the RDP could be more regular, providing more opportunities to interact with the RDP (DCR 2.3.3, see CIF survey, page 62).

In terms of influence on the RF, **there are early indications that RDP recommendations are taken up by different Programs (DCR 2.5.11, page 105). Nevertheless, the evidence is mixed, and more in-depth studies are required to understand the extent to which, and how, these recommendations are incorporated.**

The data generated by the RF Feedback Table indicates a 63% adoption rate for recommendations, although information from the interviews does not confirm this data, in fact, it questions both the suitability of the evaluation criteria in the feedback chart and the accuracy of the feedback (DCR 2.8.4; 2.5.11).

The graph below shows the number of recommendations provided and their adoption status.

⁴⁰ Questionnaires were sent to 75 RF professionals who had some form of contact with the RDP, and to 95 CIF members, of these 38 responded to the survey.



The RF fully agrees with 12 of the 16 evaluated recommendations and reports the implementation of 10 of them. In two cases, the RF will identify the best means of implementation, but does not say when, while in two other cases the RF partially agrees with the recommendations. In a further two cases, the RF partially agrees with the recommendation and will implement part of it, but there is no mention of when or how this will take place. This theme is discussed further in the section about the MEL system.

Regarding Policy Makers, there is no indication of the RDP influencing the publication of new regulations or policies. Nonetheless, the CIF survey revealed that policymakers who know about or made use of RDP recommendations are, for the most part, members of the Technical Chambers that analyze RF programs (DCR 2.7.2 page 126). One of the interviewees from the Minas Gerais government stated that they had used one of the RDP recommendations in a study for the Technical Chamber regarding environmental impacts (DCR 2.7.2). Respondents to the CIF survey and interviewees emphasized **the need for greater RDP contact with the CIF**, recalling an incident when an RDP recommendation was delivered after the CIF had recommended the same course of action (DCR 2.5.7).

Among Do-ers, there is no evidence of RDP influence, as predicted in project indicators. In relation to Influencers, also taking project indicators into account, there are early indications of recognition, but not influence.

The RF, IUCN and RDP have not, thus far, been able to establish collaborative partnerships for communication activities, and, so far, the RF has not played the leading role that was anticipated. One example of this is the fact that the most recent news regarding the Panel on the RF website dates from 2019 (DCR 2.5.7, see interviews with RF Staff, page 91, and Document Analysis, page 94).

Another factor that affects the development of feasible recommendations and their uptake refers to diverging narratives. **It is not a matter of choosing which vision will define the RDP's work, but rather how the RDP can align its vision of the future for the Rio Doce Basin with stakeholders who have the legal authority and skills to implement it.**

One positive aspect is that the RF and the CIF Secretariat are supportive of IUCN and RDP communications, sharing information provided by the RDP with its audiences. There is space and opportunity to increase partnerships with these institutions.

3.3.3 Effectiveness of the Monitoring, Evaluation, and Learning (MEL) strategy and tools

The Monitoring, Evaluation and Learning (MEL) strategy and tools were designed in line with best practice, although their development over the time line was fragmented. A set of tools and approaches to track programs against result areas was developed at different times (the priority settings sheet was developed in March 2018, and the other tools came later, with an emphasis on the RF's public feedback chart in 2019). The

following key building blocks for the strategy were considered in the evaluation: Learning Questions; Target Audience Analysis and Identification; TOC; and Communication & Knowledge Logical Framework.

The **Learning questions** are well designed, allow lessons learned from the project to be extracted and have supported this mid-term assessment.

The **Target audience analysis and identification did not appear to adequately address the actors' interests and did not include an analysis of the legal and institutional framework that could provide an understanding of the main institutions' mandates and tasks.** This affected the logframe's design, creating confusion between RF and CIF roles. The CIF's tasks are to inspect, monitor and guarantee quality in the implementation of programs executed by the RF. Despite this, one of the markers for the indicators of long-term objectives envisages "The RF submitting changes to CIF programs, taking RDP recommendations into consideration". This marker does not take account of the fact that there are no CIF programs, rather TTAC programs designed and implemented by the RF.

Regarding the **Theory of Change**, it is important to stress that this was jointly conceived by the IUCN, the RDP, and the RF within a political and institutional context of high expectations and hopes regarding the RF's performance. This led all the parties involved to build a long-term vision beyond the RF's mandate. At the same time, the inclusion of stakeholder groups in the design of the TOC created expectations of their involvement in the strategy. **However, at least two interpretations about the same TOC emerged:** on the one hand, the RF expects the RDP and the IUCN to communicate with and engage stakeholders, promoting the long-term vision; while the RDP has the same expectations of the RF.

In fact, the TOC describes a direct relationship between the RDP and the RF, in which the RDP delivers knowledge products and receives feedback from the RF. Other audiences receive technical and scientific products through communication and dissemination activities. Prior to this mid-term review, no descriptive narrative of the TOC, clearly establishing roles and responsibilities, was available. During the interviews, diverging TOC interpretations emerged. **Although jointly developed, the TOC does not appear to be used by the RF, the IUCN and the RDP as a shared management tool** (DCR 2.5.2, see "Comments on the TOC and the CKL").

Another aspect related to the TOC concerns the change in the RF presidency and the intensification of socio-environmental and legal conflicts. The RF, which initially validated the RDP's long-term vision, is at an impasse: since it is a foundation, it must act according to the objective laid down in its constitution,⁴¹ but this objective is restricted in terms of its long-term vision.

With regard to the CKL, **the fragmented⁴² development of the project and MEL tools, as well as a lack of analysis of the institutional legal frameworks and a lack of TOC description, produced a logframe that does not reflect the various viewpoints of the main project agents** - the RDP, the IUCN and the RF. There are differences in their understandings of advocacy⁴³ between the RDP, the IUCN and the RF (DCR 2.3.3 Interviews page 59, 2.5.2 Interviews page 77, 2.5.7 interviews page 92). Although advocacy is not an objective of the RDP or the IUCN, in its accountability line to policymakers and regulators, the TOC chart establishes: "recommendations reflected in government policies and acted upon". In the CKL, the only assumption in the long-term objective states that the "Work of the Panel can convince decision-makers that a healthy watershed, rich in biodiversity, is not inconsistent with economic activity that supports local livelihoods." Both these provisions, in **the TOC and the CKL respectively, describe advocacy, indicating the need for alignment on this issue.**

Regarding the **set of tools and approaches to track programs against result areas**, we would highlight two of these: the priority settings sheet and the document for public feedback from the RF. Regarding the priority

⁴¹ RF Constitution: Art. 6 – The RF's *exclusive objective* is to manage and execute the measures laid out in its socioeconomic and socio-environmental programs, including promoting social assistance to the impacted population, since the collapse of the dam was the responsibility of the main sponsor company, located in the Germano Complex, in Mariana ("event"), *observing the socio-environmental and socioeconomic situation immediately prior to November 5th 2015*, as described in the TTAC.

⁴² The preparation of the RDP project followed the steps laid out in the ISTAP procedures, but did not follow the time line for establishing its main project milestones.

⁴³ Of the various definitions existing for advocacy, the one adopted by UNICEF best converges with what is proposed in the project's logical framework: Advocacy is understood to constitute deliberate efforts, based on demonstrated evidence, aimed at directly and indirectly persuading decision makers, interested parties and other key audiences to support and implement activities that contribute to the project's objectives. <https://bit.ly/3daJE17>

settings, **there appear to be flaws in the criteria established and the methodology adopted (DCR 2.5.3)**. The fundamental issue is a lack of stakeholder engagement in setting priorities. The exclusive response from the RDP to criteria such as “the issue/theme relates to priorities of/for local communities” or “helps resolve conflict” or “contributes to the vision of building a new reality for the basin and the people” seems to have disregarded the need for references either in public policies, or from listening to stakeholders. The absence of criteria in the priority settings sheet regarding available, systematized, and published information or data, may have led to themes being prioritized even when it was not possible to study them within the established timeframe, as mentioned in the *modus operandi* analysis.⁴⁴

Lastly, the RF’s public feedback chart aims to verify the degree of integration of RDP recommendations into the RF’s programs. To this end, it establishes 4 categories related to the implementation of recommendations⁴⁵. This chart is then published on the RDP website as a measure of transparency. Although the RF participated in establishing criteria, **interviews with the RF suggest that the categories do not adequately describe the status of certain recommendations**, either because these recommendations are beyond the RF’s mandate (and it should, therefore, not be the only party responsible for implementation), or because the recommended measure was already being deployed, regardless of RDP recommendation. This points to the need for adjustments to the categories, and for other follow-up methods to complement the feedback chart and provide a better understanding of RDP recommendation uptake.

In short, the MEL strategy contains good tools and guiding and learning questions to support and advise, which, as we have stated, has also been true for this independent review. **On the other hand, a substantive review of the CKL and tools for the prioritization and follow-up of recommendation uptake appears to be paramount to making the RDP’s MEL strategy more effective.**

3.3.4 Effectiveness of IUCN support

There is a high level of evidence to indicate that the support provided by the IUCN was effective in supplying the RDP with the conditions required to develop its work and deliver recommendations and publications. There is also a high level of evidence to show the support from the IUCN, in terms of Communication, Outreach, and Monitoring and Evaluation, was less effective, given the delays in developing and implementing these strategies.

The agreement established between the IUCN and the RF has three objectives, namely: to provide independent expert scientific advice and guidance to the RF; to provide a landscape-scale perspective; and to enhance stakeholder engagement in the restoration of the Rio Doce basin. The IUCN is responsible for convening and managing the RDP, for all contracts⁴⁶, and for the delivery of a communication strategy to ensure that interested parties have access to information in order to enable independent progress assessment and provide opportunities to interact with the RDP⁴⁷.

In relation to the agreement between the IUCN and the RF, the process of establishing the ISTAP and hiring the Panel chair and members was carried out in a diligent manner by the IUCN, in light of the initial contract established between the IUCN and the BHP⁴⁸. IUCN support creates the conditions for RDP work, providing technical, logistical and communication support.

A firewall to preserve RDP independence in relation to the RF is in place, principally to establish protocols for the development of RDP products and to guide communication between stakeholders, including Guidelines

⁴⁴ Source: Priority Settings Sheet.

⁴⁵ Category 1: “RF agrees and the recommendation was implemented or is in the process of implementation”; Category 2: “RF agrees and will identify the best way to structure and implement the recommendation”; Category 3: “RF agrees and will implement part of the recommendation”; Category 4: “RF’s understanding differs from RDP advice and this recommendation will not be implemented”.

⁴⁶ IUCN-RF Cooperation Agreement, item 3.2.

⁴⁷ IUCN-RF Cooperation Agreement, item 12.2.2.

⁴⁸ The RDP was born out of dialogue between the BHP and the IUCN. The initial RDP stage was financed by the BHP. The IUCN-RF Cooperation agreement was signed in November 2017.

for RDP Authors; Coordination Meetings with RF guidelines; and the Communication Protocol for the IUCN and the RF.

The IUCN also hired the team project, initially composed of a Program Officer and a Communication Specialist. These two professionals left the team in the first year of the project (the first specialist contracted to the communication department only remained with the team for 3 months). This change caused delays in the development of the communication strategy, which only occurred in December 2018, and of the website, which was launched in March 2019 (the seventh quarter), along with the institutional videos and factsheet.

Based on RF and IUCN interviews, given the significance of dissemination for the project and the need to coordinate with the RF's communication department, there is evidence that the degree of effort in communication does not meet the RDP's communication needs (DCR 2.5.7, see RF and IUCN interviews). By the end of data collection for this midterm review (April 2020), the most recent news on the RF website about the RDP dates back to September 2019. Similarly, news clippings provided by the IUCN do not contain new or regular news about the Panel.

Monitoring, Evaluation and Learning activities have been supported by the IUCN from the beginning of the project. Some evidence seems to demonstrate that M&E actions were irregular, with more consistent efforts starting in mid-2019. The March 2020 hiring of an expert for the Brazilian team, with 70% of her time dedicated to the project, is a sign of improvement in this area, although delays in fine-tuning the M&E tools may have prejudiced the consistency of data that has been collected, as mentioned in the section above.

From a strategic point of view, support for institutional coordination with the secondary audience is fundamental to the effectiveness and sustainability of the project, and is an area that appears to be underdeveloped. Given the characteristics of the Panel's Terms of Reference, and the principle of independence, it seems reasonable to expect the IUCN to play a more prominent role in institutional coordination. This does not involve the IUCN speaking for the Panel, nor does it refer to advocacy, but to preparing the ground for the RDP to be recognized and for its products to be more easily disseminated.

3.4 Efficiency

The guiding questions for the efficiency assessment are: "To what extent is there balance between RDP products and the level of effort, time and resources expended?"; "Have spending and project delivery progressed according to the planned schedule?"; "Are there less costly ways of achieving the same products?".

The significant financial investment agreed with the RF is adequate, considering the high level of complexity and challenge, and the project's 5-year duration, up to November 2022. The IUCN and RDP learning curve should be highlighted as an element that has tended to enhance achievements in 2020.

To facilitate understanding, the presentation of the following analysis will consider project management, RDP support, communication, and dissemination to be IUCN responsibilities; while implementation itself, which includes product deliveries and engagement with audiences, are the responsibilities of the RDP, with IUCN support.

Despite the funding available, the IUCN's ownership in managing it, and the outstanding expertise of the team, the IUCN seems to have underestimated both the human resources and time required to communicate and disseminate RDP products, as well as for monitoring (DCR 2.6.1).

The analysis of financial reports revealed the relatively low budget allocation for the strategic components of Communication Costs and M&E. Despite the significant importance of communication for the project as a whole, the forecast budget, including investments in editing and translation, was less than or similar to the administration budget (DCR 2.6 – see Graphic 3, p. 117, and tables 2 and 3, pages 122 and 123). The project would have been more efficient if the team had been supported by the inclusion of *ad hoc* communication experts, or even permanent communication assistance. Regarding M&E, from September 2019, there was a significant increase in investments in time and tools, and a local expert was hired in March 2020, which is extremely positive (DCR 2.6 – Graph 4, page 118 and table 3, page 122).

Regarding the RDP's work, there is a lack of balance between the resources invested and the results achieved, since the RDP's work and products have not met certain goals established in the project. Compared to planned outputs for the first two years, the percentage delivered was around 36% of the target, while the percentage of recommendations adopted and/or reflected in RF operational decisions was around 63%; according to the MEL, high performance is attained at 75% (DCR 2.4.1; 2.5.5).

Lastly, there are **no elements that suggest less costly ways of delivering the same outputs. Despite efforts by the entire team, financial and human resources, and time could have been more effectively distributed, and this should be pursued.**

3.5 Sustainability

For the purposes of the sustainability⁴⁹ analysis, the 11 TOR questions are presented throughout this section. Since this is a multi-stakeholder project, aspects of coordination are also considered at Project Board level, where the evaluators have identified areas for improvement in order to strengthen project management and sustainability.

To what extent is the project set up to deliver its Theory of Change?

As described in the section about the effectiveness of Monitoring and Evaluation, there is divergence between the RDP's and the RF's TOC narratives, where the long-term vision ("Long-term environmental and socio-economic health and resilience for the Rio Doce basin and adjoining coastal zone") goes beyond the RF's mission, requiring more robust advocacy and engagement strategies with stakeholders who work in this broad territory. It is not a question of the RDP letting go of its long-term vision, but rather of seeking alliances that make it viable and sustainable.

The Logical Framework's objective must be consistent with the 5-year-duration of the project, while, at the same time, contributing to the long-term vision, although in this case, it cannot coincide with a long-term vision that may take more than a decade to achieve. If the objective remains as it is at present, the project's final evaluation may be prejudiced, since the objective goes beyond the project's formal duration, but this period will be the reference for external evaluations. Further, the indicators for the project's long-term objective are inconsistent with the CIF's and RF's legal and institutional frameworks, something that needs to be corrected.

The analysis of the assumptions in the TOC indicated some important aspects to take into consideration in any analysis of project sustainability:

- The RDP is not very well known by the stakeholders involved in Basin Recovery, although there is an expectation of greater involvement on the part of policymakers (DCR 2.2.1, see interviews and CIF survey).
- With pressure for the RF to focus on recovery objectives, there are competing views about the TOC's long-term vision (divergence of narratives between the RDP and the RF) (DCR 2.8.9).
- The political commitment to the recovery of the Basin declared by policymakers is not accompanied by actions or appropriate investment in public policies. There is an overload of demands on the RF, which has neither the mandate, nor the capacity to achieve the recovery of the entire Basin.

In addition to these assumptions, the TOC also describes the drivers that influence the achievement of the long-term objective as: social movements, politics, public prosecutors, the media, regional economic diversification, climate change events, rural demographic changes, global trade politics and changes in technology. Nevertheless, it appears that neither the assumptions, nor the drivers are regularly analyzed in order to verify the effectiveness of strategies. Some topics have been discussed, however, such as climate change, events in 2020, and judicialization.

⁴⁹ OECD Sustainability: Will the benefits last? The extent to which the net benefits of the intervention continue, or are likely to continue. Includes an examination of the financial, economic, social, environmental, and institutional capacities of the systems needed to sustain net benefits over time. Available at: Evaluation Criteria: <https://tinyurl.com/y43qayef>.

To what extent does the RDP meet the RF's expectations in terms of providing timely and actionable recommendations?

Given the above-mentioned divergent narratives between the RF and the RDP, the RDP has not been able to fully meet the RF's expectations in terms of timely and actionable recommendations. In the view of the RF, some recommendations are relevant, while others fall outside the scope of the RF. For these project contributions to remain after the end of the RDP project, and to generate positive impacts, fine-tuning between the RF's demands and the RDP's priorities is required, respecting a balance between independence and accountability.

To what extent does the RF meet the RDP's expectations in terms of providing timely and constructive feedback about their recommendations?

From the perspective of RDP members, 70% of survey respondents agreed that the RF meets the RDP's expectations in terms of providing timely and constructive feedback about their recommendations (DCR 2.8.5, page 142). The systematization of the minutes of face-to-face meetings⁵⁰, demonstrates that the RF provides the RDP with: analyses of the foundation's current situation and the reparation process, comments about RDP products, and considerations about RF demands in terms of priority issues and desirable approaches for the RDP to consider (DCR 1, pages 158 and 159, Minutes RDP4 and RDP5).

What are the early markers that demonstrate that the RDP's recommendations are adopted by the RF? Is there any evidence of these recommendations currently being implemented on the ground?

There are early markers that demonstrate that the RDP's recommendations are adopted by the RF and are being implemented on the ground (DCR 2.5.11, page 106, Renova Survey). Despite this, there appears to be a lack of information about how this works or the factors that favor the integration of recommendations into the foundation's programs. The uptake of recommendations by the RF is a pillar of project sustainability and the IUCN recognizes the need for a better understanding of this process, and is already working on this.

What are the major barriers that prevent the RDP's recommendations from being adopted or implemented?

As mentioned above, more in-depth studies are required to improve understanding of how recommendations are adopted or implemented by the RF.

The evidence analyzed by the Mid-Term Review indicates the following barriers:

- The long-term vision of the RDP differs from that of the RF, affecting the prioritization of topics for research and the recommendations made.
- Recommendations are addressed to the RF, when some should be addressed to other institutions with a complementary mandate to implement them, making use of the stakeholder's engagement plan, which, as foreseen in the Cooperation Agreement, the RDP project should create.
- The exclusive focus on RF hinders engagement with other stakeholders, which could contribute to the drafting of recommendations and their effective adoption: the lack of interaction of the RDP with the CIF and its technical chambers hinders the complementarity and synergy of the work of both bodies; irregular involvement with other research institutions engaged in the repair of the Basin weakens data and information sharing by/with the RDP (DCR 2.3.1. Source: table of external meetings and meeting notes available at RDP's drive).
- From an RF perspective, the exclusive use of published data excludes updated data, which could generate more relevant survey results. On the other hand, even without using unpublished data, the Panel could assess whether the current procedure is correct, and whether good science and appropriate methodology are being applied. The RDP has initiated this by looking at the Quali-Quantitative Systematic Water Monitoring Program, and revegetation priorities.
- The fact that the main stakeholders have not realized that there are divergent interpretations of the TOC and, consequently, the lack of an objective resolution for this divergence, demonstrates that the project needs to strengthen inter-institutional dialogue and listen to the needs of all parties. This is a

⁵⁰ See 1, page 117, DCR Annex.

recurring issue in multi-stakeholder projects, where it is necessary for an independent consultancy to ensure the balance of inter-institutional relations, to promote resolute dialogue, and to monitor established agreements. Another important aspect is the strengthening of the RF team's identification with the RDP project, a necessary condition for the project's contributions to continue after its completion.

What are the early markers of the RDP's influence on regulators and policymakers? On the do-ers and the influencers?

There are early markers of the RDP's influence on policymakers, but there are no markers of influence on do-ers and influencers, as established by the Logical Framework. The RDP's efforts to communicate with and engage policymakers, regulators, do-ers and influencers appear to be incipient, given the need for higher levels of engagement (DCR 2.2.1, 2.3.1, 2.3.3, see policymakers' interviews; and CIF survey 2.5.7).

To what extent have external factors influenced the work of the RDP?

Since 2019, political and institutional external factors, as well as those within the RF, have influenced the context of the RDP's work. Initially, general elections in Brazil brought changes to the presidency of the republic and to state governments; the Federal Government attempted to discontinue councils and committees such as the CIF, and changes occurred at the top echelons of the CIF. Secondly, the disaster in Brumadinho had two significant impacts: a reduction of trust in the sponsoring companies and, consequently, the RF; and questions about the RF governance model and its effectiveness in the reparation process. One noteworthy external factor was an escalation of conflicts, resulting in the judicialization of certain programs⁵¹. In addition, the high turnover of RF staff and Directors and changes to the RF presidency have created discontinuity in dialogues and processes – their resumption will take time. Internal changes have also affected the RDP project, in particular the withdrawal of 4 RDP members (two in 2018, one in 2019, and one in 2020) (DCR 2.4.1, see Renova Staff and Consultants, and Mining Companies).

Are there any positive or negative unintended results caused by the work of the panel that can be demonstrated?

No positive or negative unintended results were identified.

However, given the vulnerability of most of the impacted populations and the inequality of access to information reported by the communities during the field visit, it seems reasonable to suggest that, when it communicates its objectives and work during field visits, the Panel treat transparency with particular care. Designing communication materials for ease of visualization and comprehension could facilitate this process.

4. CONCLUSIONS

Efforts to recover the Rio Doce Basin, following the collapse of the Fundão tailings dam, depend on collaborative action by multiple stakeholders, with the involvement of all those affected. The RF is one of the most significant stakeholders, given its mission to develop compensation programs, to implement the restoration of the Rio Doce Basin, and to find solutions to ensure that the affected populations are compensated. These tasks involve challenges over the short, medium and long term, and the countless emergency situations that constitute the RF's daily work.

Relevance

As highlighted by a prominent RF consultant, in this context, where some of the solutions required are at the frontier of knowledge, independent observers, such as the RDP, are vital to ascertain whether the search for solutions is correct and appropriate. The CIF interviewees also noted the relevance of the RDP's work, since it puts forward a long-term vision, while most stakeholders are under pressure from immediate demands.

⁵¹ Federal judge, Mário de Paula Franco Júnior, from the 12th Federal Civil/Agrarian Court of Minas Gerais, has taken control of RF Program decisions, within the scope of a Public Civil Lawsuit.

Although there is a need for greater harmony in prioritizing the issues addressed by the RDP, both the RF and the policymakers consulted during the evaluation acknowledge their relevance and potential to contribute to the conservation goal of restoring the Rio Doce basin.

ISTAP Principles

Regarding adherence to ISTAP principles, the RDP observes *Independence*, but balancing the ISTAP principles is a challenge and, in the case of the RDP, more attention is paid to independence than to accountability, transparency or engagement.

The RDP also observes the *Engagement* principle with the RF, however, the RDP did not develop a strategy that allows for engagement with other relevant stakeholders; it remains very focused on the RF. The RDP is responsible for the **stakeholder's engagement plan** and the IUCN is responsible for implementing the **communication strategy** in order to enable independent progress assessments and provide opportunities for interaction with the RDP⁵². These are complementary activities that need to be aligned in order to strengthen all the ISTAP's principles, but particularly those of accountability and engagement, in an ongoing dialogue of cooperation with the RF.

Regarding the *Accountability* principle, the main findings indicate that:

- a high percentage (70%) of survey participants consider the technical and scientific quality of the Panel's products to be high, and most of them have shared RDP products (66%);
- half of the respondents confirmed that they have applied RDP recommendations to their work;
- the percentage of outputs delivered was low (36%) compared to plans for the first two years.
- there are early indications of the integration of RDP recommendations into RF programs, more studies are required to assess its degree;
- for the RF, a fine-tuning of theme prioritization is required, applying a different approach, such as a process to regularly revisit the same topics and consider their evolution.
- delays in delivering annual M&E reports may reduce accountability.

The RDP maintains the principle of *Transparency* in relation to the RF, as well as to Policymakers at federal and state levels, and to Influencers. In relation to municipal policymakers, the affected populations and their advisors, certain aspects could be refined to provide greater equality of access to information. The Terms of Reference for contracting new RDP member(s), published in April 2020, provided an opportunity to add new profiles to the RDP, favoring greater approximation with the municipalities and the Technical Advisors for the affected population (recently hired, in line with the TAC Gov, by the *Fundo Brasil de Direitos Humanos*), and greater care in preparing and running meetings with the communities.

Effectiveness

The RDP has managed to develop a structured process to draft and publicize its products, but the RDP's *modus operandi* has to be refined to construct more effective planning and prioritization processes, improving its performance in delivering annual plans.

The strategies in place to reach out and influence RDP target audiences developed by the IUCN are in their initial stages, and require more investments and efforts to be more effective.

The MEL strategy contains good tools, guiding and learning questions to support and advise project management. A substantive review of the Communication and Knowledge Logical Framework, and of the follow-up tools for the uptake of the recommendations, appears to be paramount to making the RDP's MEL strategy more effective.

The support provided by the IUCN was effective in providing the RDP with the conditions required to develop its work and deliver recommendations and publications. Communication, Outreach, and M&E were less effective, given the delays in developing and implementing these strategies. From a strategic point of view,

⁵² IUCN-RF Cooperation Agreement, item 12.2.2.

support for inter-institutional partnerships with the CIF and regulators is fundamental to project effectiveness and sustainability, and is an area that seems to be underdeveloped.

Efficiency

The significant financial investment agreed with the RF is adequate, considering the high level of complexity and challenge, and the project's 5-year duration, up to November 2022. The IUCN and RDP learning curve should be highlighted as an element that has tended to enhance achievements in 2020.

The IUCN seems to have underestimated both the human resources and time required to communicate and disseminate RDP products, as well as for monitoring. The project would have been more efficient if the team had been supported by hiring a local M&E expert earlier, even though the HQ team partially assumed this task.

In terms of planning, more detailed analyses of the time required to develop papers, of researcher availability and of the cost-benefit of adding new members (or hiring *ad hoc* consultants) may increase the RDP's efficiency.

Lastly, there are **no elements that suggest less costly ways of delivering the same outputs.**

Sustainability

In view of the divergent narratives about long-term vision between the RF and the RDP, the Panel was unable to fully meet the RF's expectations in terms of timely and actionable recommendations. It is worth noting that some of the demands presented by the RF were not pertinent to the type of delivery planned for the RDP, something that mainly occurred at the beginning of the project. Some of these demands are representative of consulting services rather than independent advice from an ISTAP.

To the RF, some recommendations are considered relevant, while others go beyond its competence. At the same time, the RDP does not adequately engage other stakeholders directly involved in issues addressed in the recommendations.

The evidence also shows that, while the categorization of the RF's feedback regarding the RDP's recommendations may be accurate, follow up of this feedback, in particular, needs to be improved, in order to aggregate information about how this integration takes place and identify the factors that favor or hinder it.

There are early markers of the RDP's influence on policymakers, do-ers and influencers, as established by the Logical Framework and the TOC. The RDP's efforts to communicate with and engage policymakers, regulators, do-ers and influencers appear incipient, given the need for higher levels of engagement.

For the project's contributions to continue after completion and to generate positive impacts, it is necessary to adjust the fit between the RF's demands and the RDP's priorities, respecting the balance between independence and accountability. It is also fundamental to engage other relevant stakeholders to collaboratively support the RDP long term vision.

Final Considerations

Since it is in the midst of implementation, in light of the project's initial learning and the changes that have taken place on the political and institutional scene, the RDP has an opportunity to re-read and develop a more in-depth understanding of the RF's legal framework of governance. It would also benefit from re-reading the TOC and re-evaluating its strategies, especially with regard to communication and engagement. Such a re-reading would enable the necessary corrections to be made to the project's Logical Framework matrix. It is essential for the project's Logical Framework and strategies to better reflect the institutional relationships between the CIF, the RF and Public Prosecutors.

The appropriation of monitoring and evaluation instruments and the construction of a coordinated vision for the TOC between the RDP, the IUCN and the RF, will benefit the RDP project and create opportunities for more collaborative activities, such as communication and inter-institutional partnerships.

The Panel should not refrain from providing recommendations for the long term, but it is necessary to understand the RF's limitations and map stakeholders with the institutional mandate and legal power to support the implementation of the RDP's long-term vision.

The RDP members are engaged in other research groups at their home institutions, but the RDP project does not regularly engage with other research institutions that participate in basin recovery. IUCN's support to implement this measure is critical and could result in the promotion of collaborative activities and increase the relevance and effectiveness of the RDP project.

The prioritization of RDP themes and planning is another aspect that could be improved through specific methodologies, appropriate tools and professional facilitation. Although a participatory focus is not common practice at the RDP's approach, given the RF's multiple stakeholders and the large quantity of variables that need to be considered for prioritization, listening to and involving relevant actors may promote more effective prioritization.

As a multi-stakeholder project, the project management would itself benefit from an independent consultancy to ensure the balance of inter-institutional relations, to promote resolute dialogue, and to monitor established agreements. This consultancy could also support the strengthening of the RF team's identification with the RDP project, a necessary condition for the project's contributions to continue after its completion.

Finally, as mentioned above, the project is significant for the context of the Rio Doce Basin, and has the opportunity to engage more actors in its efforts and correct certain aspects, so as to improve both adherence to ISTAP core principles and effectiveness in achieving its objectives and sustainability.

5. RECOMMENDATIONS

Some of the below recommendations will require a change to RDP practice, notably in taking ownership of the Monitoring and Evaluation strategies and tools built by the project. Another necessary cultural change concerns the need to balance the four ISTAP principles and involve key actors in informing the RDP about planning and prioritization. The following recommendations seek to support these adjustments:

Project Management and Coordination

1. The IUCN, the RDP and the RF: to jointly review the written narrative about the TOC, to ensure that it is fully appropriated; this narrative should take account of the objective, strategies, assumptions and drivers, and serve as a reference for project monitoring and evaluation.
2. The IUCN, the RDP and the RF: to review the format of Project Board meetings, periodically incorporating an analysis of the TOC, assumptions and drivers, and providing information about progress made. To systematize these discussions into a six-monthly progress report, as envisaged in the Cooperation Agreement.
3. The IUCN, the RDP and the RF: to review the categories in the feedback chart and provide a better understanding of the RDP's recommendation uptake using other follow-up methods, such as the "Sistematización de Experiencias"⁵³.
4. The IUCN: to hire an independent consultancy, over the medium term, to provide regular support to project governance, to plan and moderate Project Board coordination meetings and to follow up agreements made by the Project Board in later meetings. This facilitation consultancy should include fluent Portuguese and English speakers and have prior access to stakeholders from the three bodies – the RDP, the RF and the IUCN, in order to plan meeting agendas. Given that these three bodies have

⁵³ "Sistematización de Experiencias" (The Systematization of Experiences) is a methodology developed in Latin America that supports collective processes for the co-construction of knowledge from practices developed in projects or social processes. It seeks to understand how practical experiences have developed, the factors that favored, or did not favor, them, and learning and recommendations for their improvement. Reference: Holliday, Oscar Jara. To Systematize Experiences. Monitoring & Evaluation Series. Brazilian Ministry of Environment. Brasília, 2006.

distinct organizational cultures, independent facilitation is essential. It is also recommended that all members of the RDP are invited to attend Project Board meetings as observers.

5. The IUCN and the RF: to agree upon collaborative communication and dissemination activities for RDP products that involve IUCN and RF resources, based on a proposal submitted by the IUCN.

Modus Operandi

6. The IUCN, the RDP and the RF: When working with project board meetings, the independent consultancy could also advise on prioritizing themes and RDP planning, establishing prioritization and planning methodologies that facilitate more feasible plans to be developed, supporting the RDP in the continued refining of its *modus operandi* and identifying the need to hire *ad hoc* consultants or new members.
7. The IUCN and the RDP: Review the process for the development of RDP products, incorporating face-to-face meetings between the paper's lead researcher and researchers who have collaborated on its development at key moments, or when required, as has occasionally happened.
8. The RDP: To consider the mandate, powers and limitations of the RF and *key stakeholders*, clearly establishing "what is recommended", "for whom it is recommended", "in which sphere and over what period of time", when developing Recommendations.
9. The IUCN and the RDP: To set up a reference group for the Panel, with IUCN support, which meets in independently-facilitated annual workshops, using appropriate methodologies, aimed at providing support for RDP prioritization and planning; and to set up a network to support the dissemination of RDP work. This reference group should include representatives from the main stakeholder groups, favoring those with whom the Panel has already had contact, particularly: RF Focal Points, CIF members who represent the states of Minas Gerais and Espirito Santo, Mayors, members of Regional Chambers, advisors to those affected and research institutions.
10. The IUCN: To hire a document management specialist to support the IUCN in studying the incorporation of online document management tools (e.g. Intranet) that facilitate the work of researchers and reviewers in drafting papers.
11. The IUCN: To develop an internal communication protocol, agreed with RDP members, for e-mail exchanges, to optimize the use of this tool, avoiding, for example, an excess of messages, especially when the information is not aimed at the whole group.

Communication and Outreach

12. The IUCN: To conduct a Stakeholder Analysis that examines the decision-making chain in the reparation process, and the legal and institutional framework within which stakeholders operate. Based on this analysis, to make the necessary corrections to the Logical Framework Matrix and strategies.
13. The IUCN: To review the communication strategy, based on the Stakeholder Analysis. To develop an annual communication work plan, taking account of work demands and the need to hire supporting consultants.
14. The IUCN and the RDP: To draw up an engagement plan to complement the communication strategy, taking account of the Stakeholder Analysis and the available project resources. To assess the potential of RDP members to undertake engagement activities to support the Chair, and identify institutional coordination activities which may be undertaken by the IUCN.
15. The IUCN: To submit a proposal to the Project Board for collaborative communication and dissemination activities for RDP products, involving IUCN and RF communication resources, ensuring that these activities do not prejudice stakeholder perceptions of Panel independence.
16. The IUCN: To expand efforts to make RDP information accessible to policymakers in the municipalities, to the affected populations and their advisory services. To this end, to develop communication

products that are more accessible to this group, including graphic materials to support RDP communication.

17. The IUCN: To hire consultants specialized in participatory methodologies (such as: Pedagogy of Cooperation, Graphic Facilitation, CNV, Art of Hosting, and Theory U) to support the planning and facilitation of the RDP's external communication, especially with the communities.

Project Efficiency

18. The IUCN: To allocate more resources to communication, in line with revisions of the Logical Framework and strategies.
19. The IUCN: To hire *ad hoc* communication consultants or a permanent communication advisor to support the communication specialist.
20. The IUCN: To review the distribution of administrative tasks, exempting the project officer and communication specialist of tasks that are the responsibility of the administration department.

Annex - Data Collection Report



RIO DOCE PANEL MIDTERM REVIEW

DATA COLLECTION REPORT

Brasília, May 2020

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1. INTRODUCTION

This report presents the organization and preliminary results of data and information collected regarding the work carried out by the Rio Doce Panel (RDP). The report includes an evaluation matrix containing the key criteria (Independence, Transparency, Engagement, Accountability, Effectiveness, Efficiency, Relevance, and Sustainability), evaluation questions, and information sources. Moreover, there is a chart analyzing the evidence strength assessed from the triangulation potential between the following collection methods employed in this stage of the project midterm review:

- **Document analysis**

The document analysis focused especially on data reports, MEL Strategy and other MEL materials (spreadsheets, tools, etc.), and in the documents listed in the TOR that guides this mid-term review:

- Contract between RF and IUCN
- TTAC and TTAC2
- Panel TORs
- Panel recruitment material
- All Panel publications
- RPD Project Board meeting minutes
- All Panel meeting minutes
- Work plans

- **Semi-structured interviews**

37 semi structure interviews were conducted with members from the following groups: IUCN; RDP; RF; Mining companies; CIF – including policy-makers, regulators, and public-prosecutors; Do-ers; and Influencers.

Additionally, other documents were also analyzed, such as: the consolidated finance reports, RF's feedback chart on RDP's recommendations, basic institutional documents (ISTAP Guidelines, IUCN to establish ISTAPs, IUCN M&E Guidelines), and other documents listed in the Google Drive folders made available by the IUCN office in Brazil.

- **Participant Observation**

Participant observation approach was used during the 6th RDP meeting, in March 2020, in the states of Espirito Santo and Minas Gerais.

- **Focal Group**

A focal group was held with the members of the Panel to map their vision on the RDP's challenges, the current political and institutional context of the RF, and the barriers to effectively deliver the recommendations to the priority audiences and to see it being implemented on the ground. The modus operandi advantages and needs of improvement were also discussed, as well as the RDP and RF's relationship and interaction. In addition, a brief review of the TOC was done to understand the ownership, vision alignment, and strategies within the Theory of Change. The evaluation team had many questions about the TOC since it hadn't a narrative's description, that later was developed by the IUCN team. Considering this, the evaluation team's questions were also intended to improve their understanding of TOC from the RDP's perspective.

- **Survey with members of RDP, RF team, and CIF.**

RDP members survey: forms were sent to 11 members and former members. 7 responses were received (63% reply rate), divided into 5 current members and 2 former members.

RF team survey: 75 forms were sent to RF staff that have participated in RDP public presentations and/or RDP product's reviews. 48 responses received (60% reply rate).

CIF Survey: the evaluation team requested the CIF executive secretary to e-mail the form to 95 members and participants of the technical chambers in 3 governmental levels (federal, state and city) – the precise number is not available since the forms were forwarded by the advisory groups and technical chambers, and the CIF executive secretary sent a WhatsApp message reinforcing the participation request. 38 responses received (roughly a 38% reply rate): 50% from representatives of state governments (19), 21% from representatives of the Federal Government (8), and 8% from city governments (3). The rest of the replies were received from 2 members of the Federal Public Prosecutors Office, 3 members from the basin committees, 2 influencers (2 technical assistance for the affected population), and 1 do-er (water and sanitation service). Thus, 92% participants are policy-makers. We estimate that the 38 forms received are equivalent to approximately 10% of the CIF participants (including mayors, NGOs, and representatives of the affected population)

The Evaluation criteria are described at the item **Error! Reference source not found.** Midterm Review Themes and Questions. The levels of strengths for the evidence criteria are explained below:

1) High when evidence appears in at least 3 of these collection methods: interview + survey + participant observation + documental analysis + focus group; When the documentary analysis is not unambiguous.

2) Medium when evidence appears in at least 2 of these collection methods: interview + survey + participant observation + documental analysis + focus group, or the different stakeholders manifest the same opinion or information.

3) Low when evidence appears in at least 1 of these collection methods: interview + survey + participant observation + focus group.

The following observations on the use of the evidence criteria and the presentation of the data and information should be considered:

- 1) Despite the criteria presented above, the evaluation team considered, in some cases, even not having 3 collection methods, the evidence as strong enough to be considered high. Nevertheless, in order to keep consistency and fidelity within the established criteria, they will always be highlighted.
- 2) The systematization of the interviews is organized by stakeholders groups (See Annex 1): Renova Directors; Renova Staff; Renova Consultants; Do-ers; Influencers; Regulators and Policymakers; IUCN; Mining Companies; and RDP.
- 3) In some cases, the information from two or more groups is together to preserve the source of the information (the interviewee).

One important source of information, as determined in the initial consultancy proposal, was in workshops to identify learning shared by members of the RDP, the IUCN and Renova, which had to be cancelled due to the global pandemic. Some lessons learnt by these actors emerged during interviews and the focus group.

Following are the findings and systematization of data collection based on the evaluation criteria and the groups of actors interviewed.

2. DATA COLLECTIONS FINDINGS

2.1. Independence	Findings	Strength of evidence
<p>KEY QUESTION: TO WHAT EXTENT IS THE RDP MAINTAINING INDEPENDENCE?</p>	<p>RDP maintains its independence. Maintaining independence is not an issue for the Panel.</p>	<p>High</p>
<p><i>[Independence]</i></p> <p>2.1.1. To what extent are the Panel members free to reach what they consider as the most robust and feasible conclusions and recommendations based on the best available science?</p>	<p>The Panel works independently in choosing and prioritizing the topics it plans to work; in choosing: analysis criteria, literature used, scientific methods; and in drafting its conclusions and recommendations.</p>	<p>High</p>
<p><u>Semi-structured interviews</u></p> <p><u>IUCN</u></p> <ul style="list-style-type: none"> • “The ISTAP principle of “independence” needs to be understood in the context that Panel provides advice on issues that are characterized by a degree of scientific and technical uncertainty. The Panel therefore is called upon to use the breadth and depth of Panel members understanding and experience to make the best scientific and technical judgement call where knowledge and understanding are, to a degree, lacking. This is very different from building stakeholder consensus on what is the most acceptable approach – rather it is to ascertain what is, in all likelihood, the most scientifically and technically credible approach. In that respect the Panel needs to be free to reach its conclusions without lobbying or interference from third parties who may hold particular opinions and perspectives that may not be entirely informed by the best knowledge available (science but equally this could be 	<p>The Panel works independently in choosing and prioritizing the topics it plans to work; in choosing: analysis criteria, literature used, scientific methods; and in drafting its conclusions and recommendations.</p>	

traditional knowledge, social science etc.). The Panel should assess the implementation and provide practical recommendations. *What is the best way to tackle the problem?*"

- "A Panel is not a consensus mechanism. They have independence from the contracting -party to make evidence-based recommendations on the best available science and knowledge, using their expert judgment and experience. This means that ISTAPs are only appropriate to address particular types of challenges / problems and it is not advised that they are used more generally where other mechanisms might be more appropriated – for example a stakeholder roundtable to build consensus."
- "Renova is different from any other contracting party that has engaged a Panel because they are a Foundation charged with addressing the consequences of the tailings dam spill rather than the Company responsible for the problem. This makes the context somewhat different from other Panel processes and created somewhat different dynamics. The start-up of the Panel benefited from the engagement of Renova leadership including individuals such as Roberto Waack."

Interviews with RDP, IUCN, Renova Foundation, and Mining Companies

- In the interviews conducted with panel members, IUCN and RF focal points, all the interviewees agreed in recognizing the RDP independent work in relation to RF.
- The RDP independence is expressed from the moment of prioritizing its working topics up to the methodological choices, data identification and drafting its conclusions and recommendations.
- Even though the review process of RDP products counts with the participation of members from RF, and other independent and anonymous peer reviewers, the RF reviews are only accepted if they are coherent with the data and analysis carried out by the Panel.
- The participation of RF's focal points in the monthly meetings reinforces the engagement with RF and does not affect the panel independence. Whenever the panel needs to decide or discuss a sensitive issue, they ask the focal points to leave – this is an approach already accepted and consolidated.
- Independence does not mean neutrality. It means not affecting your opinions in the recommendations presented.
- Independence is not having relations with Renova's Stakeholders (Vale, Samarco and BHP), and not having participation investments in the processes.
- There was an eliminatory question in the form (of Panel Member's recruitment process) about involvement with companies, and several MG candidates were involved, as Vale is an important employer in the region.
- For RF, the selection of the topics to be researched is not RF's top priority. But there is a fine tuning in prioritization that would be important, with a different approach, such as, have a process that regularly would revisit the same topics and their evolution.

<ul style="list-style-type: none"> “People in the Panel work in several institutions that are being favored by Renova funding scientific investigation. It would be difficult for Panel members to make strong statements that could harm their colleagues. Therefore, they are not totally independent.” “They should not contradict their peers’ (academics/universities) theories and methodologies, e.g.” 		
<p>+RDP Survey</p> <p>Regarding the question: “The Panel members are free to reach what they consider as the most robust and feasible conclusions and recommendations based on the best available science” the results are for 7 replies (5 current members and 2 former members):</p> <ul style="list-style-type: none"> 2 former members: 1 strongly agree, 1 moderately agree 5 active members: strongly agree 		
<p>+Participant Observation</p> <p>During the participant observation of RDP 6 meeting, especially during interaction and dialogue with RF Team, it was possible to observe the panel’s independent standpoint.</p>		
<p>+Focus Group</p> <p>I see the RDP work as a great opportunity to help RF to see beyond the emergencies;</p>		
<p><i>[Independence]</i> 2.1.2. How is the Panel’s independence perceived by the Panel Members, CIF and Renova?</p>	<p>Stakeholders with more contact with the Panel are aware of its independence.</p>	<p>High</p>

<p><u>Semi-structured interviews</u></p> <p><u>Renova Director</u></p> <p>"The discussion on what is a priority for redress does not hurt independence, pointing out studies to be considered does not hurt independence either."</p> <p><u>Policy-makers (Members of CIF or its technical chambers)</u></p> <p>Not all the stakeholders interviewed declared being aware of the panel's independence in relation to RF. The low level of information regarding the panel and the few contact opportunities were pointed out as reasons for the lack of clarity regarding the panel's independence.</p> <p><u>Regulators (Public Prosecutor)</u></p> <p>The only public prosecutor interviewed said that he was not aware of the panel, or of its independence in relation to RF. When the interviewers presented the RDP Fact-sheet, he recalled a meeting at FGV, when he saw a presentation from one of the Panel members stressing the previous situation of the Rio Doce Basin – an argument that, in the prosecutor's perspective, is not favorable to the affected population and is used by the mining companies to reduce their share of responsibility in the basin recuperation efforts.</p> <p><u>Do-ers</u></p> <p>2 do-ers⁵⁴ were interviewed - none of them recalled any previous contact with the RDP, therefore they were not aware of the panel or its relationship with RF.</p> <p><u>Influencers</u></p>	<p>Stakeholders in RF or in CIF with a higher level of contact with Panel are aware of its independence.</p> <p>For Stakeholders without a history of contacts with Panel, its independence status is not clear.</p> <p>For Do-ers, despite its participation in CIF meetings, the Panel is unknown.</p> <p>The bulk of influencers contacted by the Panel are aware of its independent nature.</p>	
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⁵⁴ 3 mining companies (in the Do-ers category, according to the Project's Theory of Change) representatives were interviewed, all of them work directly with RF advising the curator council or participating in the review of the RDP products, therefore they are more fit as RF than Do-ers.

<p>3 stakeholders were interviewed (Fundo Brasil, Rosa Fortini e AEDAS). 2 of them already had contact with the Panel, and one expressed being aware of its independence in relation to RF.</p>		
<p><u>Renova Survey</u></p> <p>For the question: “I understand the objectives of the RDP and its independent nature when drafting recommendations for RF”</p> <p>From the 48 replies: 76% strongly agree, 15% moderately agree e only 9% moderately disagree (the disagreement level is not related to the time working for RF).</p>	<p>91% of the interviewees agree that they are aware of the objectives and the independent nature of RDP.</p>	
<p><i>[Independence]</i></p> <p>2.1.3. What are the factors that contribute to Independence? What are the factors that contribute to diminish Independence?</p>	<p>Commitment of members, communication protocols and IUCN firewall favor the independence of the RDP.</p> <p>Conservatism and lack of innovation can be seen as a way</p>	<p>Low</p>

	of not making the best use of RDP's independence.	
<p><u>Semi-Structured Interviews</u></p> <p><u>Policymakers and Regulator, Renova's Directors, Staff and Consultants, and Mining companies</u></p> <p>Based on the interviews, in general, IUCN brand contributes to this principle.</p> <ul style="list-style-type: none"> For the majority of the RF and mining companies' interviewees, the IUCN brand represents independence and quality assurance for the environmental aspects of the process. The possibility to freely define the themes and approaches without external intromission and bias, but considering the real priorities and stakeholders' power of influence and role in the context. <p><u>Regulators, Influencers and Policymakers</u></p> <ul style="list-style-type: none"> To dialogue and be introduced mainly by RF to the different audiences can diminish the Independence and the external perception about RDP's independence. 	<p>Factors contributing: the high level of responsibility and commitment of RDP to independence; the communication protocols established; the firewall IUCN promotes, creating privacy spaces for RDP discussions.</p> <p>What makes the perception of independence less attractive is the fact that RDP is introduced into the dialogue spaces by the RF.</p>	
<p><u>RDP Survey (5 from 6 active members and 2 from 4 former members answered)</u></p> <p>What are the factors that contribute to Independence?</p> <ul style="list-style-type: none"> No comment Personal integrity of Panelists - no personal or professional linkages to Renova and its funders Independence is a principle The decision about the themes/issues, and the approaches towards them Be more innovative. Look for ideas and experiences that are feasible for the RD Basin. Knowledge and scientific based recommendations Unbiased and impassionate perspectives 	<p>The integrity and commitment of the members of the RDP to the principle of independence are recognized by the vast majority of actors.</p> <p>Some mention excessive conservatism and lack of innovation in the process as</p>	

<p>What are the factors that diminish the RDP Independence?</p> <ul style="list-style-type: none"> • Leadership unconnected to Brazilian thought leaders and policy influencers. • none • limited knowledge of the role of the Panel • I don't see any • To be too conservative. Being afraid to present concepts that might not be well received by its sponsor. • I don't see any • Interference from shareholders and Renova regarding causal vectors associated with the dam break 	<p>factors that diminish independence or potential.</p>	
<p><i>[Independence]</i></p> <p>2.1.4. What measures (policies, procedures, etc.) would be appropriate to ensure adherence of the RDP to the ISTAP principles?</p>	<p>The RDP demonstrates independence in the choice of topics to be addressed, data to be considered, the approaches and analysis carried out, as well as in drawing its conclusions.</p> <p>RDP has maintained its engagement with the RF. However, the RDP has, so far, not managed to implement its engagement strategy with other relevant stakeholders.</p> <p>RDP maintains the principle of Transparency in relation to its priority audience. In relation to municipal policymakers, the affected populations and their advisors, certain aspects could be refined to provide greater equality of transparency.</p>	<p>High</p>

	A better equalization between the principle of independence and others will benefit the project to achieve the expected results.	
2.2. Transparency	Findings	Strength of evidence
KEY QUESTION: TO WHAT EXTENT IS THE RDP MAINTAINING TRANSPARENCY?	RDP's website guarantees: transparency of its mandate, its actions, modus operandi, and recommendations. Nevertheless, the site is not much accessible to the municipalities' citizens and representatives. Panel's transparency to communities with whom they dialogue could be improved.	High
<i>[Transparency]</i> 2.2.1. To what extent does the Panel communicate its mandate and recommendations in a transparent and accessible way?	RDP's website is loaded with information on the Panel, its mandate and its modus operandi. However, it is not accessible to a broad audience.	High
<u>Semi-structured interviews</u> <u>IUCN</u> <ul style="list-style-type: none"> • "Transparency another key ISTAP principle – it is a key part of the process and rooted in IUCN's own key institutional values. If a contracting party desires a high degree of control over and screening of the Panel recommendations, greater direct (hands-on) control of the Panels operational costs and expenditure this will inevitably impact the level of transparency by which the Panel operates. In such cases it may be preferable for 	RDP's communication via its website is transparent since all its minutes and all relevant information on the panel are available there. However, it is not	

<p>the contracting party to directly engage consultants over whom they can exercise greater control. Panels work in the opposite way and the advantage of this is that it confers a very high degree of legitimacy to Panel recommendations and finding (much more so than that associated with a standard consultancy). Transparency and Independence therefore work together – independence guarantees non –interference in the Panel’s work while transparency gives confidence and legitimacy that the Panel’s integrity has not be compromised in reaching those conclusions.”</p> <ul style="list-style-type: none"> • Regarding engagement and participation, “engagement” is also a principle of Panels. It is not only a matter of publishing recommendations, but the Panel need to champion these recommendations. • RDP has a habit of visiting stakeholders and presenting results to Renova. • Communicator and the monitoring person need to work together to improve outreach. • Interviewee's answered, when asked about the way the information is provided to the affected population, which can result in an unintended violation of human rights and an increase in disparities: the Panel’s recommendations should not impact human rights (<i>by not having an effective/transparent communication</i>). As long as they take into consideration human rights, he doesn’t see a risk. He added that there is willingness to improve, but he said that information is on the website in Portuguese, information is there and available, thus there is transparency and concern with human rights. • “Regarding communication of its mandate, the RDP members try to do it in all public presentations and via the website as well.” • Transparency, in terms of providing accessible information to other audiences besides RF, is not seen as a role of the panel. In general, RDP members say that their audience is primarily the RF and it is up to RF to communicate the recommendations to other audiences. • IUCN team understands the opportunity to adapt language and find ways to communicate in a more accessible way RDP’s technical and scientific products to the Influencers, Do-ers and Rio Doce Basin society. However, they believe that they need to gather more content. They are studying new, more accessible, communication products (such as social media). These measures are in the planning stage. • Limitation of channels - using IUCN South networks (essentially Spanish), without content in Portuguese, does not favor RDP. • There is no institutional space to have an IUCN Brazil page, in Portuguese. <p><u>RDP</u></p> <ul style="list-style-type: none"> • A short report is produced at each meeting (with those affected). This was the first time they heard about suicide and drug abuse in the basin. It is necessary to reinforce the incorporation of social themes as transversal in the papers. The issue of human rights is an immediate obligation, but it is not necessarily up to them to do something so immediate. 	<p>easily accessible for the target audience, especially the cities’ audience (policy-makers and do-ers).</p> <p>Lack of clarity regarding the roles: RF and influencers refer to IUCN and RDP as a single entity.</p> <p>RDP itself seems to blur its role and IUCN’s.</p>	
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<ul style="list-style-type: none"> • There was an eliminatory question in the form (of Panel Member’s recruitment process) about involvement with companies, and several MG candidates were involved, as Vale is an important employer in the region. <p><u> Policymakers and Regulators (Members of CIF or its Technical Chambers)</u></p> <ul style="list-style-type: none"> • The system (CIF) needs to understand the relevance level of the Panel. One thing is my perspective. I recommend talking to the executive secretary because the space where the use of ideas would have more adherence would be with the CIF’s secretary. [to participate in] inter-chambers meetings in which the chamber’s coordinators participate, technical coordination in the states. It is an interesting moment when the participation of panel members can help in more specific debates. I have made that proposal during a plenary session after their (RDP) presentation, and more recently, during a stock taking session we were carrying out. • For my peers and myself, the way things are is great. It would be good to have a more accessible language. Translate it so the affected population can understand. • One of the interviewees (city level) said that he understood the role of the panel, but he had a hard time to access the website information. After opening the website and see banners and expressions in other language (English) he gave up delving information in the research, he explained that he expected that the rest of the information would be in English as well. After that he has not visited the website again. • One of the interviewees (state level) said that there is a matter of quantity and quality of the interaction of RDP with CIF members. The low interaction did not allow them to be clear about the mandate or the modus operandi of the RDP. <p><u>Renova Staff and Consultants</u></p> <ul style="list-style-type: none"> • RDP does not communicate much with CIF and other stakeholders – they should engage in more dialogue with the state prosecutor and other audiences. • “It is necessary to have the courage to be a Panel that is not only for Renova, I like the texts that were produced, could have more attention to the media, the communication of society as a whole, perhaps the best way to translate is through the media.” 		
<p><u>Participant Observation:</u></p>	<p>RDP did not make use of approaches that could make the communication more transparent and more accessible to the</p>	

<p>The evaluation team was able to observe how accessible and transparent is the RDP communication with the audience visited by the panel during RDP6.</p> <p>During the observation activities in RDP 6, the evaluation team was able to follow 3 meetings with community representatives⁵⁵:</p> <p>Observation:</p> <ul style="list-style-type: none"> • Communities were previously informed about the RDP’s members visit by the program officer. • The meeting approach was previously discussed by the panel members, with definitions of chairs and note takers. • Communication was made orally, without the aid of specific visual tools aiming at increasing public accessibility, or a graphic representation that could allow the audience to understand what is the panel, its goals, products and its relation with RF. • No tool or communication dynamic with the audience was used to build trust, empathy or proximity. • RDP has benefited from an intrinsic characteristic of these audiences: hospitality. • It was not informed, in a transparent way, what would be the destination of the information collected during the meetings. Apparently, there was no interest in information regarding tourism in those communities. • The answers to communities’ representatives regarding the panel and its products were given without any depth and without checking if the message was understood. • In one of the communities, the fishermen asked what the RDP members were looking for, and talked about the flow of several people from outside the community who show up, talk, and go away without any feedback. There was no answer to this remark. • None of the recommendations directly linked to the fishermen was presented, discussed or made available in hard copy. • The meeting helped RDP to collect Information on the current situation of the communities, their relationship with RF, topics related to other research work or about other researchers that have been to those communities, but without caring to leave relevant information for the community, based on the Panel’s work. 	<p>communities they were dialoguing.</p> <p>Recommendations are not shared or explained to communities.</p> <p>IUCN did not make facilitators available, or graphic devices or publications that could facilitate the communication between RDP and communities.</p>	
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⁵⁵ Meeting with Hauley Valim, member of the collective “Regenera Rio Doce”

Meeting with Leônidas Carlos (president of Fishers' Association of Povoação), Zé do Sabino and Carlos Sangalia (members of Advisory Council)

Meeting with Andrea Ferreira, member of the Association of residents of Povoação and member of Renova’s Advisory Board; a member of the local Association of fishermen; and Fátima Neves, president of the Handicraft Association of Povoação.

<p>+Document Analysis</p> <p>Website</p> <p>The RDP’s page is located inside the IUCN website, where some banners and titles are displayed in English. Even though information is available in English and Portuguese, this format does not make information accessible to audiences in the cities. There is a presentation video (https://youtu.be/uY_aolKJZO4), on air since June 14th 2019, with 450 views.</p> <p>Fact Sheet</p> <p>Is a short document due to its nature and objective? The expression “independent” shows up in the title and in the introductory text. On the back there is a highlight to Monitoring, Evaluation and Learning. For some of the interviewees in RF, it is not clear if the reference to monitoring in the Fact Sheet deals with the RDP project or about the reparation process. For RF’s directors, the Monitoring and Evaluation of the reparation process is one of the RDP’s key tasks, related to the third objective of their Agreement. In the interviews, the directors expressed that they have discussed proposing the RDP to give up searching for solutions to focus on Monitoring and Evaluating the reparation process.</p>	<p>Website with banners in English, references from policy-makers regarding the difficulty to access information in the website.</p> <p>Fact Sheet is accessible, however with a dubious interpretation regarding a specific aspect for RF</p>	
<p>+Renova Survey:</p> <p>Regarding the question: “I know the RDP objectives and its independent character in drafting recommendations for RF”</p> <p>From 48 replies, 91% agreed (76% strongly agreed) and only 9% slightly disagreed (the disagreement level is not related to the time they have been working at RF).</p> <p>When questioned on how they receive information from RDP, almost 80% said that they receive it via RF channels. 7% via RDP’s website and 9% via RDP’s public presentations.</p>	<p>RF’s professionals are aware of the objectives and independence of RDP in relation to RF.</p>	
<p><i>[Transparency]</i></p> <p>2.2.2. To what extent does the RDP work arrangements are accessible to the target audience?</p>	<p>RDP’s website is loaded with information on the Panel, its mandate and its modus operandi. However, it is not accessible to the cities’ audience.</p>	<p>High</p>

<p>+Semi-structured interviews</p> <ul style="list-style-type: none"> • Even though the website contains all the information to better understand the work arrangements, among the interviewees, out of 4 policy makers interviewed, 2 knew the RDP work arrangements. • The Do-ers interviewed did not know neither the Panel nor its work arrangements. 	<p>The site contains all the information necessary to understand the work arrangements, but it is not easily accessible for the target audience.</p>	
<p>+Document Analysis</p> <p>RDP's website (https://www.iucn.org/rio-doce-panel) contains a broad range of information regarding the Panel's work arrangements. The FAQ section brings comprehensive information regarding the panel.</p> <ol style="list-style-type: none"> 1. <i>What is the Rio Doce Panel?</i> 2. <i>What and how are the challenges being addressed in the Rio Doce Basin?</i> 3. <i>What has been IUCN's experience with other large-scale cases and environmental restoration initiatives?</i> 4. <i>What are the objectives and approach of the Rio Doce Panel?</i> 5. <i>What has the Panel accomplished so far?</i> 6. <i>How does the Panel monitor the implementation of the recommendations?</i> 7. <i>How can the work done by RDP be monitored?</i> 8. <i>How does the Panel decide on the topics of the papers?</i> 9. <i>What are the roles of the IUCN Secretariat, Members, and Commissions in the ISTAP process?</i> 10. <i>What is the relationship between the Rio Doce Panel and the different stakeholders?</i> 11. <i>How are Rio Doce Panel members selected and who is currently on the Panel?</i> 12. <i>How does the Panel's current work relate to other (similar) disasters?</i> 13. <i>How can the Panel's contributions help the Rio Doce basin recover?</i> 14. <i>How does the Rio Doce Panel's work differ from other analyses and studies conducted in the basin?</i> 15. <i>What are the information sources used in the Panel's reports?</i> <p>However, when the topic is the Panel's approaches, the information presented does not delve into concepts that are obvious, only naming them:</p>	<p>For the audience composed by RF technicians, policy-makers and regulators, the RDP website is suitable to keep them updated on the working arrangements of the panel.</p> <p>However, for the cities' audience, including mayors and local organizations, the site is not friendly.</p>	

<p><i>RDP works with an approach that focuses on:</i></p> <p><i>Integrated and long-term strategy</i></p> <p><i>Landscape-scale perspective</i></p> <p><i>Nature-based solutions</i></p> <p>Fact Sheet</p> <p>The Fact Sheet brings a brief explanation on the RDP’s modus operandi.</p>																				
<p><u>CIF SURVEY</u></p> <div data-bbox="103 485 1458 933"> <p style="text-align: center;">CIF</p> <table border="1"> <caption>Survey Results Data</caption> <thead> <tr> <th>Statement</th> <th>Strongly Agree</th> <th>Moderately agree</th> <th>Moderately disagree</th> <th>Strongly Disagree</th> <th>N/A</th> </tr> </thead> <tbody> <tr> <td>I am aware of the recommendations elaborated by the Rio Doce Panel.</td> <td>10%</td> <td>60%</td> <td>15%</td> <td>10%</td> <td>5%</td> </tr> <tr> <td>I know the objectives of the Rio Doce Panel and I am aware of its independence in the elaboration of recommendations for the Renova Foundation</td> <td>25%</td> <td>30%</td> <td>15%</td> <td>20%</td> <td>10%</td> </tr> </tbody> </table> </div>	Statement	Strongly Agree	Moderately agree	Moderately disagree	Strongly Disagree	N/A	I am aware of the recommendations elaborated by the Rio Doce Panel.	10%	60%	15%	10%	5%	I know the objectives of the Rio Doce Panel and I am aware of its independence in the elaboration of recommendations for the Renova Foundation	25%	30%	15%	20%	10%	<p>38 replies to the survey, 92% under the policy-maker category (mostly from Federal and state governments).</p> <p>53% of the replies said that they know the objectives of the panel and its independent character to the RF.</p> <p>67% said that they know the recommendations.</p>	
Statement	Strongly Agree	Moderately agree	Moderately disagree	Strongly Disagree	N/A															
I am aware of the recommendations elaborated by the Rio Doce Panel.	10%	60%	15%	10%	5%															
I know the objectives of the Rio Doce Panel and I am aware of its independence in the elaboration of recommendations for the Renova Foundation	25%	30%	15%	20%	10%															
<p><u>+RDP Survey</u></p>	<p>Regarding the transparency and accessibility of the recommendations to the target audience:</p> <p>100% agreement regarding the transparency and accessibility to RF.</p>																			

<p style="text-align: center;">RDP</p> <p>RDP communicates the recommendations with transparency in an accessible way to the Do-ers and Influencers.</p> <p>RDP communicates the recommendations with transparency and in an accessible way to the Policy Makers and Regulators.</p> <p>RDP communicates the recommendations with transparency and in an accessible way to the RENOVA Foundation team.</p> <p>0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%</p> <ul style="list-style-type: none"> ■ Strongly Agree ■ Moderately agree ■ Moderately disagree ■ Strongly Disagree ■ N/A 	<p>58% disagreement for policy-makers and regulators.</p> <p>57% agreement for Do-ers and influencers</p>	
<p>2.3. Engagement</p>	<p style="text-align: center;">Findings</p>	<p style="text-align: center;">Strength of evidence</p>
<p>KEY QUESTION: TO WHAT EXTENT IS THE RDP MAINTAINING ENGAGEMENT?</p>	<p>RDP does not have a suitable engagement strategy with stakeholders. It is too focused on RF and does not create opportunities for collective knowledge construction. Adopts a vertical information collection approach, with not much interaction with relevant stakeholders.</p>	<p style="text-align: center;">High</p>

<p>[Engagement]</p> <p>2.3.1. To what extent is the RDP working with all affected parties?</p>	<p>The RDP does not work with all affected parties, nor do they seek to influence stakeholders who have a role or an important role in implementing their recommendations, other than the RF.</p> <p>The instruments for checking adoption and the scope of its recommendations need to be improved.</p>	<p>High</p>
<p>+Semi-structured interviews</p> <p><u>IUCN</u></p> <ul style="list-style-type: none"> • Regarding engagement and participation, “engagement” is also a principle of Panels. It is not only a matter of publishing recommendations, but the Panel needs to champion these recommendations. • The complexity of the Panel context is also variable. A good rule of thumb is the more social and political issues, the greater the level of complexity within which the Panel has to make its recommendations. Normally, the immediate scientific and biodiversity elements are easier to address. While the Niger Delta had major social complexities, it is probably not at the same geographic scale as the RDP. In the case of the Niger Delta, one of the key social considerations was better communication out to the communities – they wanted to understand the nature of the Panels work and its conclusions. Initially, there was some disagreement with the contracting party who had a series of ongoing law suits against them and were concerned what communication to the communities might entail. However, adhering to our ISTAP principles (including the fourth principle of engagement) IUCN convinced the contracting party of the importance of this type of social outreach with some very positive outcomes as documented in the Niger Delta Stories of Influence. • RDP has a habit of visiting stakeholders and presenting results to RF. • Communicator and the monitoring person need to work together to improve the outreach. 	<p>The principle of engagement goes beyond the efforts to disseminate products.</p> <p>The RDP should be clear demand responsive.</p> <p>RDP, in general, did not seem aware of the ISTAP principle of engagement or had some resistance due to the highly politicized and conflicting environment.</p>	

<ul style="list-style-type: none"> • The Panel realized that they should work with other stakeholders to have more power. They are aware that working only with RF is not fruitful. <p><u>RDP</u></p> <ul style="list-style-type: none"> • RDP representatives participate in congresses and events presenting their work. • For the RDP its key audience is the RF. The responsibility to promote engagement with other stakeholders belongs to RF. • According to one of the panel members: “we delivered the products, then it is done, now it is up to RF”. • From 2019 onwards, RDP started meetings with RF staff to delve into the recommendations. • The relationship with the Public Ministry is scarce and deserves to be deepened. • On technical advice for communities: The Panel's role is not to provide solutions or dialogue with stakeholders, but to listen to incorporate ideas into the Panel's analysis. It would be important to work with these advisors, but not to get involved in fulfilling tasks. <p>4 policy makers, 1 regulator, 2 Do-ers and 4 Influencers were interviewed about the knowledge, quantity and quality of the interaction with RDP</p> <p><u>Policy Makers and Regulators</u></p> <ul style="list-style-type: none"> • The Basins Committee, body responsible for managing the basin, was personally contacted once by the panel. The interviewee receives information and publications from the panel in a regular basis. • The representative from Secretary of Environment of Minas Gerais, who only recently joined CIF, even though has some knowledge regarding RDP’s products, explained that she does not receive information regularly. She participated in one one-hour long presentation with the Panel, which she classified as not sufficient. She would like to have the opportunity to participate in a workshop with panel members. The representative from Secretary of Environment of Espirito Santo knows the panel and receives information in a regular basis. <p>Policymakers testimonials:</p> <ul style="list-style-type: none"> • “First of all, we need to understand the Panel, we do not know why it exists, if we can send them our demands, how can we interact. However, it is not a one-hour meeting that will be able to solve this, it would be important to have a day-long meeting, a workshop to generate a routine to see if the technical chambers would be able to work with the Panel, to possibly create a workflow in whatever is possible.” 	<p>There is room, demand and expectation, from part of RF’s, policy makers, and influencers for further engagement from RDP.</p>	
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- For one of the Espirito Santo policy-makers interviewed, 3 of the RDP's perceptions were remarkable: that the recovery process is only faced through cooperation and integration of actions; that the participation of those affected is essential; as well as transdisciplinarity.
- Effective participation of the affected population is my key preoccupation. Especially considering the low credibility of RF.
- The system (CIF) needs to understand the relevance level of the Panel. One thing is my perspective. I recommend talking to the executive secretary because the space where the use of ideas would have more adherence would be with the CIF's secretary. [to participate in] inter-chambers meetings in which the chamber's coordinators participate, technical coordinations in the states. It is an interesting moment when the participation of panel members can help in more specific debates. I have made that proposal during a plenary session after their presentation, and more recently, during a stock taking session we were carrying out.
- There is a matter of quantity and quality of the interaction of RDP with CIF members. The low interaction did not allow them to be clear about the mandate or the modus operandi of the RDP.
- "The key necessity is to organize a discussion/product analysis. The public prosecutors' advisors are able to delve into the analyses of the recommendations they bring, in rebuttal, but it takes very long for them to provide us with an answer, which is always very cautious. "IUCN" participates in a more equidistant way than an organization with a fixed set of rules [such as the public prosecutor's office]. I believe that the CIF system and RF are not fully using this potential. IUCN tries to make a broad hearing process. They re-affirm the saying of other actors: the fishing issue, the importance of diagnostics before resuming fishing, the need to portray what is happening. When the panel speaks, they bring in other practices. I did not have preparation to deal with a disaster, I was prepared to deal with risk. That is the panels main differential. If they could draft, edit and deliver in a more agile fashion, it would be excellent.
- Regarding the Public Prosecutor's office, the only representative from this segment the was interviewed said that he had never received any publication or information regarding the panel. He receives a note about the RDP presentation at CIF, but he did no watch it because he believed that it was a RF initiative, and not an independent presentation.

Do-ers and Influencers

- Out of the 2 newly created technical assistances advisories interviewed, one said that they were contacted when the RDP visited the city of Rio Doce. It was explained that it was a very short visit (roughly one hour long) and they had a number of questions for the Panel, but it was not possible to deliver the questions. A community was also left with several information gaps. They would like to know what they could ask the Panel and if they could receive advice from the panel regarding their questions on economic alternatives for the region. They

even thought about looking for one of the panel members to ask for support their studies, in view of their lack of capacity to carry out the research due to being too involved in solving the emergencies in the region.

Renova Staff:

- RDP does not engage with city halls, it does not mobilize people, it does not engage stakeholders in the implementation.
- The TOC involves other actors, so why the recommendations cannot be addressed to these other actors? Involve the prosecutor’s office, states.RDP members are too focused at RD.
- There are some recommendations that go beyond RF’s sphere of action and influence, because they go beyond the TTAC. Reparation is a process way beyond the capacity of RF. Revitalizing the basin (the scope of the panel) goes way beyond what the panel is focusing.
- The panel’s model does not dialogue with RF’s needs. The federal government, 2 states governments and city halls of 43 affected cities and deliver reparation. Whatever is not connected to that is not responsibility of RF. RF cannot do that alone, or has minimum capacity to execute.

Renova Consultants:

- “I cannot conceive of the repair without listening to the communities, and without considering the evolution of this process. In the environmental field, ok, but in the more social and political context it needs to be analyzed by someone independent. And I don't see that role.”
- “It cannot be just for Renova, it is not a Panel to guide the RF, but to give visibility to society of how the repair is going from a scientific point of view. It is not just for CIF, nor just for RF, it is for society. You have to be able to talk to society as a whole, including those affected, it is not with hermetic, excessively technical language.”
- “The mining companies built through the law firms, a narrative based on causal effects, directly and indirectly affected. They made a barricade so big of protection that forced the other side to do the same thing, there is a fight of narratives and in the middle the affected people. Where is IUCN analyzing this process?”

+Document analysis

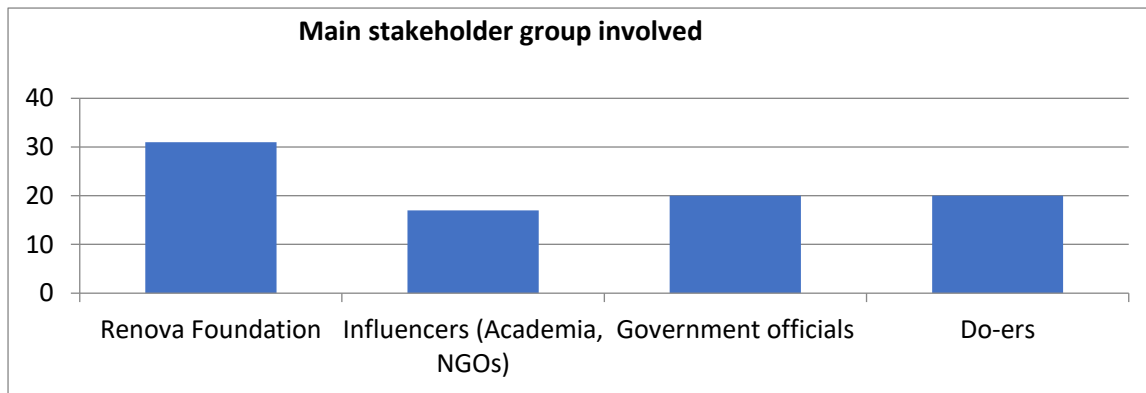
Document: Panel External Meetings Register

The RDP held 87 meetings, including presentations, meetings, and events as observers.

Panel Meetings (all Panel Life)

2017-2019	TOTAL	2017-18	2019
Presentations	22	4	18
Meetings	58	27	31
Events as observers	7	3	4
Total	87	34	53
Group of Stakeholders			
Renova Foundation	31	8	23
Influencers (Academia, NGOs)	17	7	10
Government officials	20	13	7
Do-ers	20	7	13

Reuniões com membros do CIF	2017	2018	2019	2020
Gov Fed	1	1	1	
MG			1	1
ES			1	
CBDH		2		
MAJORS	1		1	



The RF is the stakeholder with the larger number of meetings (31)

10 Meetings with different CIF members.

2 Meetings with Majors.

20 meetings with do-ers, 3 of them held twice.

Meetings with Do-ers

Date	Place	Stakeholder		
March 2018	Belo Horizonte	Meeting with CBH-Doce and fisherman representatives	meeting	RDP2
March 2018	Linhares - Regência	Meeting with Associação de Pescadores de Regência	meeting	RDP2
September 2018	Periquito	Meeting residents of Resettlement Liberdade	meeting	RDP3
September 2018	Governador Valadares	Meeting with Fishers' Colony Z19	meeting	RDP3
September 2018	Governador Valadares	Meeting with the Chair of the Rio Doce Watershed Committee	meeting	RDP3
November 2018	Governador Valadares	Participation at 3rd Rio Doce Integrated Seminar at Univale	observer	
November 2018	Ouro Preto	II Rio Doce D Day	observer	
March 2019	Regência	Meeting with Comboios indigenous leaders	meeting	RDP4
March 2019	Regência	Meeting with President of Association of Entrepreneurs of Regência	meeting	RDP4
March 2019	Regência	Meeting with Tamar Turtle Project	meeting	RDP4
March 2019	Aimorés	Meeting with Instituto Terra	meeting	RDP4
March 2019	Aimorés	Meeting with young leaders of Rio Doce Basin	meeting	RDP4
October 2019	Barra Longa	Meeting at Culture and Development Community Centre (CPCD) with community agents	meeting	RDP5
October 2019	Santa Cruz do Escalvado	Meeting with representatives of Rio Doce and Santa Cruz do Escalvado affected people commissions	meeting	RDP5
October 2019	Barra Longa	Participation at ROAM workshop hosted by WRI and Renova	observer	RDP5

Do-ers meetings take place during face-to-face meetings.

The Basin Committee, the Regency Fishermen's Association and Univale received two visits in different years.

November 2019	Governador Valadares	Presentation at 4th Rio Doce Integrated Seminar at Univale	presentation	
March 2020	Regência, Linhares	Meeting with Hauley Valim, member of the collective "Regenera Rio Doce"	meeting	RDP6
March 2020	Regência, Linhares	Meeting with Leônidas Carlos, Zé do Sabino, Marcus ((Fishers' Association of Regência) and Carlos Sangália (Pró-Tamar)	meeting	RDP6
March 2020	Povoação, Linhares	Meeting with Andrea Ferreira (resident of Povoação and Renova's Advisory Board) and Fátima Neves (Handicraft Association of Povoação)	meeting	RDP6

Date	Place	Government officials		
September 2017	Brasília	Meeting with President of ICMBio (only Panel Chair)	meeting	RDP1
September 2017	Brasília	Meeting with President of Ibama (only Panel Chair)	meeting	RDP1
September 2017	Mariana	Meeting with Deputy Mayor of Mariana	meeting	RDP1
September 2017	Rio Doce	Meeting with Mayor of Rio Doce	meeting	RDP1
September 2017	Belo Horizonte	Meeting with MG State Department of the Environment	meeting	RDP1
March 2018	Vitória	Meeting with IBIO	meeting	RDP2
March 2018	Vitória	Interfederative Committee Meeting - CIF	observer	RDP2
March 2018	Vitória	Meeting with IBAMA and Roberto Waack	meeting	RDP2
March 2018	Vitória	Meeting with ICMBio about impact on the coastal areas and UCs	meeting	RDP2
March 2018	Vitória	Meeting with ES Secretary of Environment	meeting	RDP2
March 2018	Linhares	Meeting with Secretary of Environment of Linhares	meeting	RDP2
September 2018	Galiléia	Meeting with the Mayor of the Municipality of Galiléia	meeting	RDP3
October 2018	Brasília	1st Workshop on Protected Areas Consolidation Guidelines	meeting	

RDP 3 Internal Report

<p>There is a reference to a request from RF staff:</p> <p>“The Panel discussed how to respond to interactions and demands from the Renova Staff and decided that the Panel can receive specific technical questions and will reflect if it is a priority to use the time to discuss and research. The panel will not advise on their work but can help with specific questions. In the case of events or workshops, one or two members can attend if the Panel thinks it is a priority.”</p> <p>There are also mentions to requests from RF for which the panel advised to hire consultancy companies.</p> <p><u>RDP 3 Internal Report</u></p> <p>Board of trustees meeting:</p> <p>“The Board expressed a desire to have their technical teams reviewing Panel outputs as part of the review process”</p> <p>RF’s technicians started to review RDP’s publications, without affecting RDP’s independence to finalize their conclusions and recommendations.</p> <p><u>RDP 5 Internal Report</u></p> <p>Project Board Meeting Main outcomes were:</p> <p>Suggestion to approach public prosecutors’ reparation workforce (José Adécio) and Luciano Penido;</p> <p>Until RDP6 Face-to-Face Meeting, RDP had not contacted the Prosecutor’s Office.</p> <p><u>RDP 6 Internal Report</u></p> <p>A RF Director mentioned another risk for RDP: legal action over RF could see the Panel’s work as a dispersion of Renova’s priorities. Renova’s teams have intense pressure and cannot divert attention to other agendas (as was seen when the Panel requested revision of TR02). A mitigation strategy is to interact more with other stakeholders so that RDP is perceived as an important initiative also by other stakeholders in addition to Renova.</p>	<p>RDP was requested a couple times to interact more with RF.</p> <p>RF requested RDP more engagement with other stakeholders, especially the public prosecutors. And in RDP 6 it was requested to interact more with other stakeholders as a whole, in a sustainability strategy for RDP.</p>	
<p><u>+Participant Observation</u></p> <ul style="list-style-type: none"> • There is a vertical relation towards other actors invited to dialogue. • There is not a neutral facilitation allowing mediation between questions and answers and enabling an easygoing environment, favorable to building knowledge. 	<p>The Panel tends to prevail in relation to other stakeholders, assuming a vertical distance towards others. The usual</p>	

<ul style="list-style-type: none"> • Even when interacting with RF, the technicians were received as information sources, being exposed to several questions, without considering the necessary breaks. • During the presentation of Issue Paper 5, a vertical distance was kept, separating the presenter from the audience. 	<p>approach is to collect information instead of trying to build collective knowledge.</p>	
<p><i>[Engagement]</i></p> <p>2.3.2. Does the Panel composition include a diversity of disciplines and perspectives according to its long-term vision?</p>	<p>The Panel presents discipline gaps and lacks knowledge areas that would be relevant to stakeholders' engagement.</p>	<p>High</p>
<p>+Semi-structured interviews</p> <p><u>RDP</u></p> <ul style="list-style-type: none"> • The majority of RDP's members declared that the composition and number of members of the Panel is adequate. Only one member interviewed made a remark regarding the potential contribution of a specialist in marine biology. <p><u>Renova Directors and Consultants, and Mining Companies</u></p> <ul style="list-style-type: none"> • RF's directors considered the Panel composition acceptable, however it would be important to have one internationally recognized Governance specialist.⁵⁶ • RDP has no competency to evaluate Governance and this is the problem of RF, which is a "tricephalic" institution (governed by a judge, a board of trustees, a board of directors and the CIF). • The Biodiversity Convention CBD points out to Governance. 	<p>RF considers the profile of the Panel members acceptable, but one of the directors and a consultant said that it would be good to have an internationally recognized governance specialist.</p> <p>RDP members, during interviews, said that the members' profile is adequate, but one of the members declared that it would be useful to have a specialist in river-ocean flows.</p>	

⁵⁶ A Natural Resource Governance Framework (NRGF) is being pushed forward by IUCN, however, the RDP stakeholders do not relate this initiative to the Panel work. More information available at: <https://bit.ly/2Bgs4eZ>.

<ul style="list-style-type: none"> • One representative said that a research about the profile of the panel members, in relation to other ISTAPS, revealed that the RDP had the weakest profiles among the ISTAPS analyzed. The research compared Western Gray Whale Advisory Panel, the Niger Delta Panel and RDP. • An investigation⁵⁷ on the profile of the RDP in relation to other ISTAPS has been carried out. Based on this, the interviewees consider that the RDP has the weakest profile among the analyzed ISTAPS. The file provided by one of the interviewees compares the Western Gray Whale Advisory Panel, the Niger Delta Panel, and the RDP in terms of nationality and profile of members, how many PhDs, analysis of recommendations regarding a typology that seeks to characterize them about how specific or general they are. 	<p>Mining companies expressed critic, reactive and defensive positions toward the Panel.</p>	
<p>+Documental Analysis</p> <p>IUCN ANNUAL RDP SURVEY</p> <p>Q15 The Panel's composition is fit for purpose</p> <p>2018: strongly agree (57%), moderately agree (43%),</p> <p>2019: strongly agree (57%), moderately agree (29%), moderately disagree (14%)</p>	<p>In the annual survey, most Panel members are satisfied with the composition of the Panel, with a few remarks.</p>	
<p>+Documental Analysis</p> <p>(RDP TOR + Panel members profile)</p> <p>According to the TOR, the hired members of the panel need to have specific expertise in one or more of the following areas:</p> <ul style="list-style-type: none"> • Landscape management and restoration • Economic development including livelihood strategies, community development and enterprise development (2) • Social Dynamics • Brazilian Environmental Policy • Integrated water resource management (2) 	<p>TORs used the expression “social dynamics”, which is too generic and does not specify the kind of social dynamic, or social groups, or even approaches that were sought. They could have specified demographic, ethnic, market, conflicts or even contemporary dynamics involving networks, governance, public policy, etc.</p>	

⁵⁷ For the team of evaluators, this survey seems to be a compilation of data collected on the Internet.

<ul style="list-style-type: none"> • Freshwater ecology • Experience with mitigation measures, especially, but not exclusively, with respect to mining activities and tailings management • Public Policy - Governance • Biodiversity conservation • Environmental costs and benefits assessment 																				
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Yolanda Kakabadse, Chair of the Panel. GOVERNANCE	Graduation in Educational Psychology (Wikipedia)	Curator of Ford Foundation, Former President of IUCN, Former President of WWF, former Ecuadorian Minister of Environment																		
Francisco Barbosa, Deputy Chair of the Panel, FRESHWATER BIOLOGY	Graduation in Natural History, Masters in Ecology and Natural Resources, PhD in Environmental Engineering, Researcher.	Professor in the Federal University of Minas Gerais (UFMG)																		
Christianne Maroun, WATER MANAGEMENT AND ENVIRONMENTAL CHEMISTRY	Graduation in Industrial Chemistry, Masters in Environmental Chemistry, PhD in Energy and Environmental Planning	Professor of Environmental Engineering at PUC-Rio and Environmental Management and Sustainability at FGV																		
Luis E. Sánchez ENGINEERING AND IMPACT ASSESSMENT	Graduation in Mining Engineering, and Geography, Specialization in " Mining Techniques", PhD in Natural Resource Economics and Development	Professor of Mining Engineering at Polytechnical School, University of Sao Paulo.																		
Maria Cecilia Wey de Brito. LANDSCAPE MANAGEMENT AND BIODIVERSITY	Graduation in Agronomy, MsC in Environmental Sciences	Member of EKOS Brazil Institute.																		

<p>Peter H. May</p> <p>NATURAL RESOURCES AND ECOLOGICAL ECONOMY.</p>	<p>PhD in Natural Resource Economics and Master's in Regional Planning from Cornell University.</p>	<p>Former Secretary of Biodiversity and Forests of the Ministry of the Environment of Brazil</p>	<p>Professor at the Department of Development, Agriculture and Society of the Federal Rural University of Rio de Janeiro (UFRRJ)</p>																										
<p>+Documental Analysis</p> <p>+SURVEY para os membros do RDP: answered by 5 of 6 active members and 2 of 4 former members.</p> <p>The members declared the following expertise:</p> <table border="1" data-bbox="107 703 1335 1385"> <thead> <tr> <th>Areas of Expertise of TOR</th> <th>Members</th> <th>Former Members</th> </tr> </thead> <tbody> <tr> <td>Landscape management and restoration</td> <td>3</td> <td>1</td> </tr> <tr> <td>Integrated water resource management</td> <td>2</td> <td>0</td> </tr> <tr> <td>Freshwater ecology</td> <td>1</td> <td>0</td> </tr> <tr> <td>Economic development including livelihood strategies, community development and enterprise development:</td> <td>1</td> <td>2</td> </tr> <tr> <td>Experience with mitigation measures, especially but not exclusively with respect to mining activities and tailings management</td> <td>1</td> <td>0</td> </tr> <tr> <td>Social Dynamics</td> <td>0</td> <td>2</td> </tr> <tr> <td>Hydrology:</td> <td>0</td> <td>0</td> </tr> </tbody> </table>				Areas of Expertise of TOR	Members	Former Members	Landscape management and restoration	3	1	Integrated water resource management	2	0	Freshwater ecology	1	0	Economic development including livelihood strategies, community development and enterprise development:	1	2	Experience with mitigation measures, especially but not exclusively with respect to mining activities and tailings management	1	0	Social Dynamics	0	2	Hydrology:	0	0	<p>During the Mid Term Evaluation of Panel Member resigned.</p> <p>Panel presents a gap in Social Dynamics (broad expression). There is no specialist in social dialogue or coordination/participation (engagement).</p> <p>Panel does not include the following areas sought after in the TOR: Hidrology, Toxicology and Marine Biology. For the Marine Biology role, a consultant was hired to provide an overview about the topic during RDP6.</p>	
Areas of Expertise of TOR	Members	Former Members																											
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Toxicology:	0	0			
Marine Biology	0	0			
Hydraulic and or Civil Engineering	0	0			
Other stated areas					
Public Policy Governance	1	0			
Biodiversity Conservation	1	0			
Environmental costs and benefits assessment	1	0			
Brazilian Environmental Policy	0	1			
<p><i>[Engagement]</i></p> <p>2.3.3. To what extent does the RDP have a clear stakeholders engagement plan as part of its activities?</p>			<p>Based on the ISTAPs engagement definition, the RDP doesn't have a clear stakeholders engagement plan as part of its activities.</p>		High
<p><u>+Semi-structured interviews</u></p> <p><u>RDP</u></p> <ul style="list-style-type: none"> For panel members, RF is their key audience and activities related to stakeholders' engagement is responsibility of RF. <p><u>IUCN</u></p> <ul style="list-style-type: none"> "There are no lessons learned from the outcomes yet, but there are lessons learned from RDP's processes. The TOC exercise was important. They are also working to improving the knowledge management: is the knowledge produced being used by a broad group?" Regarding engagement and participation, he wanted to clarify that engagement is also a principle of Panels. It is not only a matter of publishing recommendations, but the Panel need to champion these recommendations. RDP has a habit of visiting stakeholders and presenting results to RF. 			<p>There is a Communication Plan, that partially works as a Stakeholders' Engagement Plan as communication public.</p> <p>There is not a single strategy to RDP "to champion these recommendations".</p>		

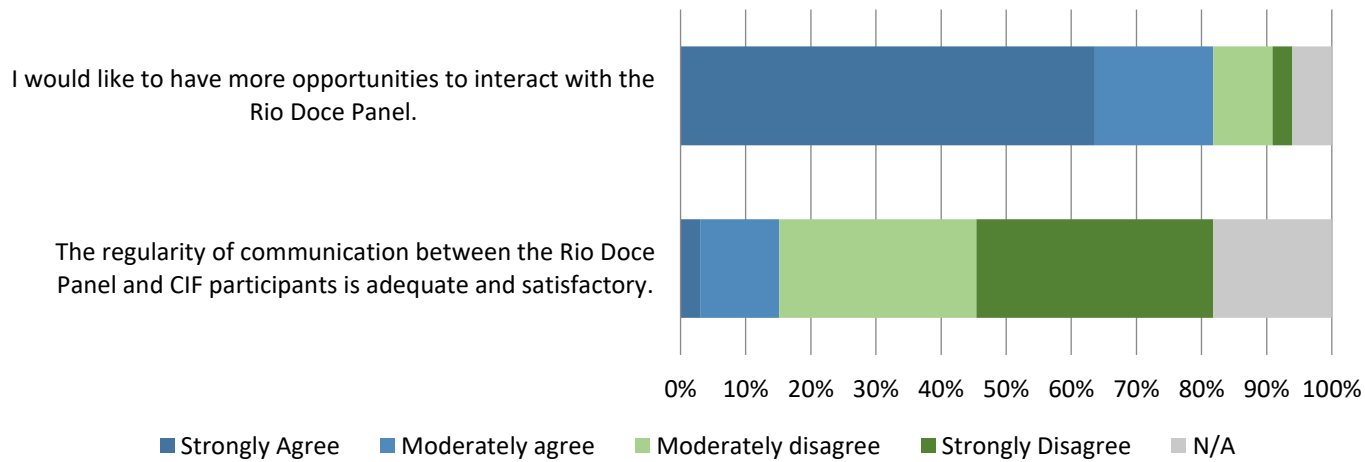
<ul style="list-style-type: none"> • Communicator and the monitoring person need to work together to improve the outreach. • “We do not create a separate stakeholder engagement plan. We consider stakeholder mapping, Theory of Change and communication plan as the engagement strategy.” • In 2019, a Panel’s Communication Plan was written with a focus on audiences, strategies, communication products, as well as means of verification (version December 2019) 	<p>A clear distinction between engagement and communication is missing.</p>	
<p><u>Renova Staff</u></p> <ul style="list-style-type: none"> • One key interviewee at RF considers that the challenged expressed in the TOC is an advocacy challenge, and not a communication challenge, therefore other approaches and strategies are required. • An interviewee from RF’s communication area understands that IUCN does not have enough manpower to handle the communication strategy required by RDP. • The Human Rights Directory has directly linked to the Renova Head Office which illustrate that engagement and human rights are strategic for RF. In this area two tools are being implemented and are considered innovative even for the United Nations: risk analysis (on the Human Rights perspective) and human rights Audit. 		
<p><u>Policymakers</u></p> <ul style="list-style-type: none"> • Environmental programs will be delivered. It can take time, but it will. The challenge in the whole process is to qualify the affected people participation. To strengthen the participation of the affected people with qualification. What kind of action can be done to promote that? There are no references on that. • “First of all, we need to understand the Panel, we do not know why it exists, if we can send them our demands, how can we interact. However, it is not a one-hour meeting that will be able to solve this, it would be important to have a day-long meeting, a workshop to generate a routine to see if the technical chambers would be able to work with the Panel, to possibly create a workflow in whatever is possible.” • For one of the Espirito Santo policy-makers interviewed, 3 of the RDP’s perceptions were remarkable: that the recovery process is only faced through cooperation and integration of actions; that the participation of those affected is essential; as well as transdisciplinarity. • Effective participation of the affected population is my key preoccupation. Especially considering the low credibility of RF. • The system (CIF) needs to understand the relevance level of the Panel. One thing is my perspective. I recommend talking to the executive secretary because the space where the use of ideas would have more 		

<p>adherence would be with the CIF's secretary. [to participate in] inter-chambers meetings in which the chamber's coordinators participate, technical coordination in the states. It is an interesting moment when the participation of panel members can help in more specific debates. I have made that proposal during a plenary session after their presentation, and more recently, during a stock taking session we were carrying out. There is a matter of quantity and quality of the interaction of RDP with CIF members. The low interaction did not allow them to be clear about the mandate or the modus operandi of the RDP.</p>		
<p>+ Document Analysis</p> <p>The Cooperation Agreement signed with RF rules that one of its objectives is to:</p> <p>"Build stakeholder confidence in the Renova scientific assessment and management responses: Transparency and engagement will be central to the operation of the RDP. Information will be science-driven and evidence-based and the RDP's reports and recommendations will be publicly available. Engagement with interested and affected stakeholders will be integral to the ISTAP process."</p> <p>The agreement further defines that:</p> <p><i>"A communication strategy for the RDP will be developed by IUCN and Panel Members which will be implemented and updated as necessary. The aim of the strategy is to ensure that interested parties have access to information to enable independent assessment of progress and to have opportunities to interact with the RDP"</i></p> <p><u>Communication Plan (version: December 2019)</u></p> <ul style="list-style-type: none"> • There is a structured communication plan that encompasses the audience defined in the TOC, which has the following objective: "Recommendations and knowledge generated by the RDP addressed properly to the primary audience, mainstreamed into public and private sectors; policy and regulatory frameworks influenced and enforced; and, communication and information exchange scaled-up among the key stakeholders." • The plan is structured as a communications and product dissemination plan for RDP looking to reach the maximum influence in the target audience. 	<p>There is a communication protocol.</p> <p>There is a communications strategy which has a matrix logical format, with outputs, activities, results, and indicators to be tracked.</p> <p>There is a stakeholder mapping, albeit superficial, and does not consider a governance analysis, which is complex.</p> <p>There is not a robust engagement strategy up to the challenge expressed in the TOC.</p> <p>The RDP project took much longer than defined in IUCN guidelines for ISTAPS to write down its</p>	

<p><u>Procedures for establishing and managing IUCN-supported Independent Scientific & Technical Advisory Panels</u></p> <p>“4.4.2 Within the first quarter of its establishment, the Panel, in collaboration with the Project Manager, should identify stakeholder engagement requirements and prepare a stakeholder engagement plan and a communications protocol and strategy. The stakeholder engagement plan and communications strategy should be communicated to the Director General and a summary made publicly available</p> <p>4.4.5 By the end of the first quarter of the Panel’s establishment, the Project Manager should create a dedicated web page through which the public can be regularly updated on the Panel’s progress.”</p> <p><u>RDP5 Internal Meeting Report (presentation)</u></p> <p>According to the presentation, the dates for launching and delivering tools and communication products started in March 2019, 18 months after project started.</p> <ul style="list-style-type: none"> • Website launched in March, 2019 • Institutional video: June, 2019 • Newsletter: September, 2019 	<p>communication plan and the website.</p>	
<p><u>+RDP Survey</u></p>	<p>43% agrees and 43% disagrees that the frequency of face-to-face meetings between the Panel Members and the CIF is sufficient and appropriate for the recommendation’s dissemination.</p>	

<p style="text-align: center;">RDP Survey</p> <p>The frequency of face-to-face meetings between the Panel Members and the CIF is sufficient and appropriate for the recommendations dissemination.</p> <table border="1"> <caption>RDP Survey Data</caption> <thead> <tr> <th>Response</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Strongly Agree</td> <td>42%</td> </tr> <tr> <td>Moderately agree</td> <td>0%</td> </tr> <tr> <td>Moderately disagree</td> <td>28%</td> </tr> <tr> <td>Strongly Disagree</td> <td>12%</td> </tr> <tr> <td>N/A</td> <td>18%</td> </tr> </tbody> </table>	Response	Percentage	Strongly Agree	42%	Moderately agree	0%	Moderately disagree	28%	Strongly Disagree	12%	N/A	18%		
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<p>+CIF Survey</p>	<p>66% disagrees that the regularity of communication between the Rio Doce Panel and CIF participants is adequate and satisfactory.</p> <p>82% would like to have more opportunities to interact with the Rio Doce Panel.</p>													

CIF Survey



2.4. Accountability

Findings

Strength of evidence

KEY QUESTION: TO WHAT EXTENT IS RDP MAINTAINING ACCOUNTABILITY?

RDP has tried to deliver quality products in time, however not with much success.

IUCN could make an investment in RDP's communication, in *ad hoc*

Medium

	consultancies to support the process.	
<p><i>[Accountability]</i></p> <p>2.4.1. What are RF's perceptions about the timing of delivery of RDP outputs?</p>	<p>RDP has not managed to find a delivery pace suitable to RF's (recommendations arrive when they are already being implemented or they take too long to be elaborated).</p> <p>Stakeholders of different groups express the same opinion or information.</p>	High
<p><u>+Semi-structured interviews</u></p> <p><u>IUCN and RDP:</u></p> <ul style="list-style-type: none"> • “The third ISTAP principle is Accountability. Accountability & transparency may sound similar but they are not. Accountability can be seen as a counterweight or balance to the principles of independence and transparency. While the Panel has the independence on how it reaches its conclusions and the freedom to consider different types of evidence it must – at the same time – stick to its TORs and therefore remain focused on the how the scope of the Panel's work was defined. For example – even if it is of interest to Panel members they cannot stray into an area of unrelated work to the Panel's TORs.” • “Important to understand that the four principles (independence, transparency, engagement and work together and provide balance – they can be thought of the four corners of a soccer field which marks out where the game is to be played. It is a question of balance between all four principles – if one is over-emphasized – for example “accountability” then it can be to the detriment of the other principles and ultimately the work and outputs of the Panel. Equally a singular emphasis on engagement or independence might risk how accountability to the contracting party is addressed (for example the Panel might risk being less demand responsive.” • Panels are expensive, thus the contracting parties should be glad with the results. The RDP is working to apply a more deliberative approach. 	<p>RDP has not managed to find a delivery pace that is equally high quality and timely.</p> <p>RDP has not managed to keep up with the changes that happened in RF's context.</p>	

- One year working in an Issue Paper is too long.
- The main challenge is involving all RDP members in the work and mobilization because each one has a different agenda and speed of response.

Renova's Directors:

- The Panel was designed with the reality of that moment, and it changed. At this time, it would be important to have evaluation of solutions put forward not only by Renova, but on solutions in progress to get out of the theoretical debate that is a hornet's nest.
- Considering the team's time demands in reviewing publications, we would be better off with a smaller number of papers, but with a higher content density.
- The Panel delivered much less than expected, according to its own planning.
- "The selection of the topics to be researched is not RF's top priority. But there is a fine tuning in prioritization that would be important, with a different approach, such as, have a process that regularly would revisit the same topics and their evolution"
- The elaboration and review time of the publication is by far too long.
- There is a difficulty in matching RF's rhythm with the panel's rhythm. RF has a very intense rhythm, changes are quick, construction and deconstruction of solutions happen all the time, thus it is very difficult to follow it from the outside and grasp what is going on.
- It would be better to have less publications, but more in-depth and better quality than several shallow publications.
- Even though they [RDP members] propose recommendations that have been considered relevant, some arrive when there is nothing we can do with them, because the Programs are already under way. For instance, in the case of the Juparanã dam, RDP's work dynamic was not compatible with the legal decisions' dynamics and RF's data production. And the RDP jumped the gun by launching a publication amidst a discussion it was not following, this would require much more interaction of RDP with RF's day-to-day.

Renova Staff and Consultants, and Mining Companies

- To define accountability to an independent Panel is not simple.
- RDP has 6 specialists. RF has 550 employees. RF is very dynamic. RDP cannot keep up with the speed of change.

<ul style="list-style-type: none"> • When one of the RDP members left and a new one entered, we had to redo everything again and the paper took too long to come out. • RDP's rhythm is slow in relation to reparation's, which is dynamic. It is not the panel's fault, or RF', it is a matter of context. When they manage to come up with a recommendation the context has already changed. A good example is the first thematic report: they took and one and a half year to deliver a report that does not meet our demands. Timing is relevant and affects very seriously. We have been repeating it frequently. • Regarding efficiency and accountability: "This is a dear and expensive Panel to the Renova" (the interviewee used the word "caro" that in Portuguese has both meanings of "dear" and "expensive"). • The Panel cannot cope with the changes in the project (Renova actions). They need to be quicker in writing papers. Or they need to look on long term trends. • Problems with timeframe: time to write and publish. The other is that comments (review) take forever and they are one-way street. They don't even provide a response (such as: we are independent and we don't incorporate that) • Papers were not technical and with bad timing. • Renova took the Panel's recommendations on board, but it is uncertain how people in the ground use that kind of information. Therefore, not sure if the information is helping people in the ground. <p><u>Policymakers</u></p> <p>"When the Panel speaks, he brings other practices, other references. I did not have preparation to deal with disaster, I had to deal with risk. That is the Panel's differential. If the formatting could be more agile, it would be excellent."</p>		
<p>+Document Analysis</p> <ul style="list-style-type: none"> • Analysis of the samples and documents showed that none of the planning proposed had a good implementation rate. The topics, numbers and types of product were changed at each planning. In year 1 (2018), 1 out of 8 products was delivered. In year 2 (2019), 4 out of 11 products predicted in the annual work plan were delivered, almost 36% delivery rate. <p>MEL 2018 Annual Report</p> <ul style="list-style-type: none"> • <i>Zone of accountability: Delineates results attributed to RDP actions from those that rely on other actors.</i> • <i>The RDP defined three main result areas within its zone of accountability. These were mapped on the theory of change:</i> 	<p>RDP planning, in relation to the publications, was not fulfilled.</p> <p>Tools for checking adoption and reach of recommendations need to be improved.</p>	

<ul style="list-style-type: none"> ○ <i>Product design:</i> <ul style="list-style-type: none"> ▪ <i>Use of agreed prioritization criteria to define topics of the Issues Papers and Thematic Reports. We equate use of agreed prioritization criteria with RDP product salience.</i> ○ <i>Product delivery and quality:</i> <ul style="list-style-type: none"> ▪ <i>Number of Issues Papers and Thematic Reports delivered against an agreed annual work plan.</i> ▪ <i>Number of Thematic Reports allocated ISBNs by the IUCN Publication Review Committee. We equate ISBN allocation with Thematic Report credibility (Issues Papers being too short to be considered for ISBNs by the IUCN Publication Review Committee).</i> ○ <i>Recommendation uptake:</i> <ul style="list-style-type: none"> ▪ <i>Number of recommendations adopted and/or reflected in RF operational decisions.</i> 	<p>The information from RF Feedback Framework and Interviews lack of convergence.</p>	
<p><i>[Accountability]</i></p> <p>2.4.2. What are RF’s perceptions about the scientific and technical quality of RDP outputs?</p>	<p>RF’s perception in relation to quality of RDP’s products varies.</p>	<p>Medium</p>
<p>+Semi-structured interviews</p> <p><u>Interviews with RF Directors and Consultants, and mining companies</u></p> <p>Expectation:</p> <ul style="list-style-type: none"> ● “RF’s initial expectation was that it would be interesting to have a high-level organization such as IUCN doing part of the independent monitoring work of RF’s actions using more recent data.” ● “The Panel would do an exempt and independent evaluations of the technical and scientific analyses presented by other actors, such as institutions hired by the public prosecutors’ office to carry out studies”. ● “There is a matter of quality: after all the review process, I would receive a document from IUCN in which there were wrong information or overtaken by new evidence. It is very complicated to see a publication come out and then having to say that there are wrong data or conclusions.” <p>Opinions regarding RDP publications delivered and in progress:</p> <ul style="list-style-type: none"> ● IP1: is very generic, they talk generalities, just like the Thematic Report 1. ● The panel is supposed to be strong, independent, and technical. It’s first paper (TR01) was very high level. They were building on the ground context. The description was much more technical, a very soft narrative. ● Other papers afterwards had a very poor narrative and not so technical. For example, the fishing ban used old data as reference. ● From June 2019, papers were irrelevant, and sometimes no data supporting it. ● The only feasible Panels are those that support a narrative. 	<p>When expressing its expectations in relation to RDP, RF seems to be more focused on the third objective of the Agreement that, by mutual consent, was modified in the RDP’s TOR.</p> <p>RF, often, refers to IUCN and RDP as the same entity.</p> <p>After the launch of IP 3, the relationship with the communication area and technicians & managers changed. That coincides with several other</p>	

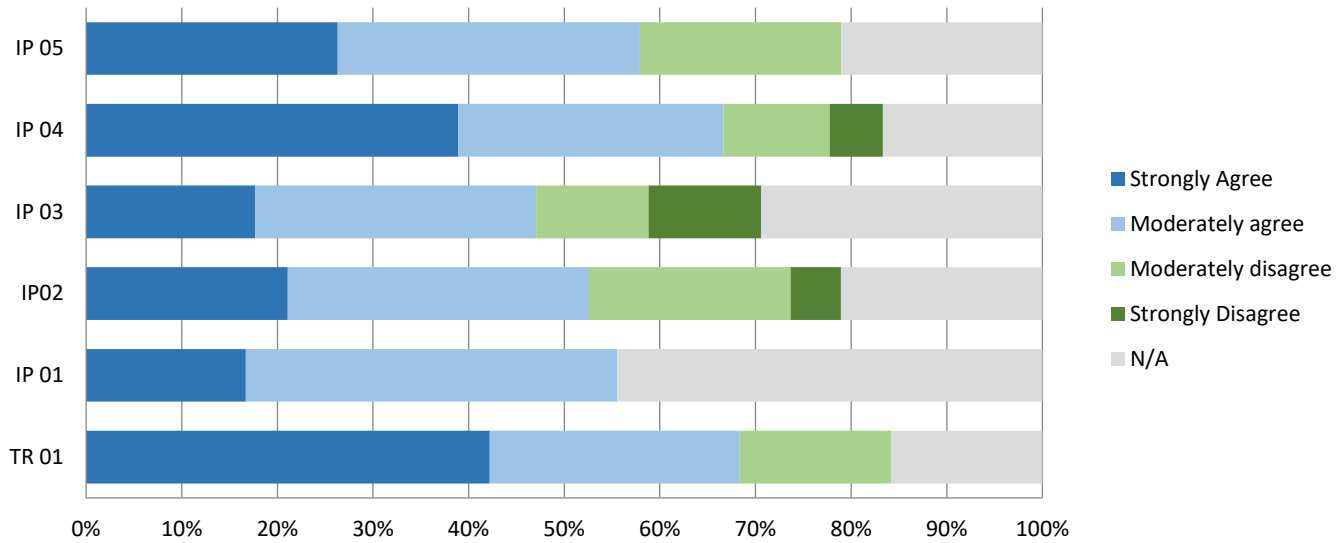
<ul style="list-style-type: none"> • Panel could play a role in contextualizing science data. • The Panel is analyzing long term issues, but not the very technical aspects related to the incident (such as water quality, fishing, etc.). • It is hard to come with a solution that is accepted by all. • Questions about the quality of the peer review and the rigor of the group. Wonder if all the authors participate in the publications. • IP2 on fishing: they bring good criticism, which we recognize, because when it is a fact, it is hard not to acknowledge. But there was one strangeness: because after the publication, RF brought up a truckload of information that needed to be considered. • IP2 on fishing: not very useful, shallow, speak commonplaces, more targeted to a broad public looking for a less biased opinion. • Climate change: not a topic that we agree with, it is not within RF's scope that does have a tight level of liberty and works with specific objectives which is the damage reparation, monitored by the prosecutor's office. As a foundation, RF cannot work outside its scope. We became very exposed to criticism when we bring in new questions, we are accused of trying to leave the key issue. RF has an expiry date. • After the first papers come out, a research paper was commissioned on the other ISTAPs to compare the number of researchers, diversity of expertise and their CVs. The result was that the Panel in Brazil was not as well equipped in term of personnel in comparison with others (2.3.2). • Renova took the Panel's recommendations on board. but it is uncertain how people in the ground use that kind of information. Therefore, not sure if the information is helping people in the ground. <p><u>Opinions regarding IP3 and recommendations on Juparanã mobile dam:</u></p> <ul style="list-style-type: none"> • "That affected the Panel credibility" • "Regarding to build or not a dam in Juparanã there is a matter of using outdated data and not considering more recent data that, however, have not been published. That generated a recommendation not feasible in engineering aspects, with an unjustifiable implementation cost, besides high potential impact for the population. We here baffled with that recommendation, especially because they did not take in consideration other variables and infrastructure alternatives." 	<p>events that might have influenced that change, as well.</p> <p>Triangulates with IP3's evaluation by RF staff, in which it comes up as the publication with the lowest marks.</p> <p>There is a shift in perception regarding RDP's products. The initial euphoria, as per a RF staff testimonial, started to fade away as RDP was not able interact up to the staff expectations and the recommendations were not more adherent to reality.</p> <p>Mining companies adopted a more critic and defensive position in relation to the Panel.</p>	
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<ul style="list-style-type: none"> • “Justice defined the removal. But the panel suggested building a huge gate. Did they really understand the situation? Their recommendation disregarded other preoccupations of RF. E.g. building a permanent dam would imply in flooding a vast area and removing a population.” • “Everyone was convinced that the dam needed to be removed because there was a human problem involved. Everyone involved was aware that the risks of keeping the dam were high, if IUCN sustained the recommendation that the dam was supposed to be kept in place, there would be a great responsibility in that.” • “We reached a limit of legal responsibility for the RDP on something that could have had a devastating risk, including human. On that moment we discussed a lot with the Panel, then the language of the first version of the paper was tuned down.” • “The panel should acknowledge the fragility of a publication, in a situation where relevant data were not published”. • “The dam was removed in December 2019, with the common understanding of all technical advisories that agreed that it was necessary to remove that from there. But it was necessary to do everything possible to avoid the contamination of the lake by the Rio Doce. The alternative was to build something mobile. But, technically it was impossible to do what the Panel was suggesting, then it was found a solution which was to find an emergency dam place, in case there was a Rio Doce flood that could risk contaminating the lake. • The paper on Juparanã artificial barriers: it was a good idea for a paper but with the wrong conclusions. The same happens to the priority areas of the Panel. • The company doesn't use the papers. Apparently, RF is not using the papers either. • 7 RF technicians of several areas were interviewed. Some of them did not know in depth the Panel’s work. Others, that have followed it more closely, pointed out that: • There was a lot of expectation when they heard about the panel, the presence of specialists such as Peter May and Luis Sanchez cheered up the technicians. But as time passed by and the delay in receiving the products, the initial excitement faded away. • When they received the IP3 there was a strangeness, because it seriously contradicted RF’s technical area. • It is impossible to have accountability in an independent Panel that does not take into consideration the scope of action of RF. The panel becomes another actor that sees RF as a punching bag. 		
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<p>+Document Analysis:</p> <p><u>On the RDP3 Report and Visit Itinerary</u> it is mentioned that:</p> <ul style="list-style-type: none"> • Roberto Waack talked about the challenge to integrate short-term and long-term perspectives: “The pressure is increasing and the claim for compensation is stronger. Roberto also highlighted the importance of linking the programs to visions like the landscape for 2050, including themes like climate change, low carbon economy, health, and how to communicate this to youth. Roberto explained how the Foundation is working with a broader concept of landscape, integrating physical/technical elements and also the feeling/memories it brings to people and the value of it to people.” <p>Also, on the Board of Trustees Meeting:</p> <ul style="list-style-type: none"> • “They showed a very positive position about the First Thematic Report; • The Board hopes for support on issues such as cumulative impacts and climate change, and they look forward to the Issues Papers on Fisheries and Local Livelihoods. <p>Note: It is possible to perceive a change in the discourse and priorities of RF after Brumadinho’s dam accident and the departure of RF’s then-president Roberto Waack. There is also a change in the positioning of RF technicians after the publication of IP03.</p>	<p>RF’s demands and vision in relation to RDP changed with time: Roberto Waack seemed to have a vision that went beyond reparation. In October 2018, Roberto and the curator council incentivized the Panel on questions related to climate change.</p> <p>This position changes radically in 2019, after Brumadinho Dam incident and the scale up of conflicts within CIF. RF starts to focus exclusively on reparation actions.</p>	
<p><u>Renova Survey</u></p> <p>_48 replies expressed their opinion in relation the statements below.</p>	<p>Approximately 80% of the survey participants recognize the technical and scientific quality of RDPs products.</p> <p>44% of the respondents agree that the product meet their expectations in relation to useful recommendations, feasibility and timely (9% strongly agree and 35% moderately agree). 52% disagree (22% strongly disagree and 32% moderately disagree). 50% said</p>	

<p style="text-align: center;">Renova</p> <table border="1"> <caption>Survey Results for Renova</caption> <thead> <tr> <th>Statement</th> <th>Strongly Agree</th> <th>Moderately agree</th> <th>Moderately disagree</th> <th>Strongly Disagree</th> <th>N/A</th> </tr> </thead> <tbody> <tr> <td>I used the recommendations of the Rio Doce Panel in my work.</td> <td>25%</td> <td>25%</td> <td>15%</td> <td>35%</td> <td>0%</td> </tr> <tr> <td>I have already shared the products of the Rio Doce Panel with other people and institutions.</td> <td>30%</td> <td>30%</td> <td>10%</td> <td>30%</td> <td>0%</td> </tr> <tr> <td>The RDP meets my expectation in terms of providing useful, actionable, and timely recommendation.</td> <td>10%</td> <td>35%</td> <td>30%</td> <td>20%</td> <td>5%</td> </tr> <tr> <td>The products of the Rio Doce Panel have high technical and scientific quality.</td> <td>45%</td> <td>35%</td> <td>15%</td> <td>5%</td> <td>0%</td> </tr> </tbody> </table>	Statement	Strongly Agree	Moderately agree	Moderately disagree	Strongly Disagree	N/A	I used the recommendations of the Rio Doce Panel in my work.	25%	25%	15%	35%	0%	I have already shared the products of the Rio Doce Panel with other people and institutions.	30%	30%	10%	30%	0%	The RDP meets my expectation in terms of providing useful, actionable, and timely recommendation.	10%	35%	30%	20%	5%	The products of the Rio Doce Panel have high technical and scientific quality.	45%	35%	15%	5%	0%	<p>that they have used the recommendations in their work.</p> <p>63% said that have shared RDP products.</p> <p>44% said that RDP meet their expectation, 42% disagree.</p> <p>78% agree that RDP products have high technical and scientific quality.</p>	
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<p><u>RDP product evaluation</u></p> <p>Out of 48 replies, 19 decided to evaluate RDP’s products, expressing their opinion about the level of agreement in relation to the statement: “The product in discussion presents high technical and scientific quality and represents a significant contribution for designing RF’s programs”.</p>	<p>TR1 is the product with best evaluation, with 68% agreement on its quality and 16% of moderately disagreement, 44% N/A.</p> <p>IP4 has 67% agreement on its quality and 17% disagreement (6% strongly disagree).</p> <p>IP1 has 56% of agreement on its quality and no disagreement.</p> <p>IP5 has 58% agreement on its quality and 21% moderately disagreement.</p>																															

Renova Evaluation
"O produto em questão apresenta alta qualidade técnica e científica e representa uma contribuição significativa para o desenho dos programas da Fundação Renova"



IP2 has 53% agreement on its quality and 26% disagreement (5% strongly disagree).

IP3 has 47% agreement on its quality and 24% disagreement (12% strongly disagree), 29% N/A.

2.5. Effectiveness	Findings	Strength of evidence
<p>KEY QUESTION: TO WHAT EXTENT IS THE MONITORING, EVALUATION AND LEARNING (MEL) STRATEGY AND TOOLS SET UP HELPING TO:</p> <p>(a) answer key guiding questions, (b) detect any needed program implementation adjustments for better progress towards results, and (c) collect the right kind of data in view of conducting an impact evaluation by the end of the project? What adjustments to the MEL system are recommended to help understand impact of the project?</p>	<p>MEL tools need adjustment and a redesign to be more adherent to the legal and institutional framework of RF and Rio Doce Basin.</p>	<p>Medium</p>
<p><i>[Effectiveness]</i></p> <p>2.5.1. To what extent is the MEL Strategy and Tools set up helping to answer the guiding questions?</p>	<p>MEL tools are not adherent to the legal and institutional framework of RF and Rio Doce Basin.</p>	<p>Medium</p>
<p><i>[Effectiveness]</i></p> <p>2.5.2. To what extent is the MEL Strategy and Tools set up helping to detect any needed program implementation adjustments for better progress towards results (To what extent are the Communication and Knowledge Logical framework - CKL indicators and Progress Markers appropriate)?</p>	<p>Idem</p>	<p>Idem</p>
<p>The MEL key building blocks are denominated as follow:</p> <ol style="list-style-type: none"> 1. Learning Questions 2. Theory of change 3. Target audience analysis and identification 4. Communication & Knowledge Log Frame 5. Set of tools and approaches to track progress against Results Areas <p><u>Comment on the Learning questions:</u></p>	<p>The TOC is one of the MEL blocks, however, the TOC does not consider the legal and institutional framework of the RF.</p>	

<p>MEL strategy will address the following key questions:</p> <ul style="list-style-type: none"> • Is the Panel informing and influencing target audiences in the way it anticipated? If not, then how? • Is the Panel and IUCN performing as they expected in the planning phase? • What impact has the Panel on how its audience undertake their core activities and how lasting are these changes likely to be? • Are there any unintended consequences of Panel actions? • What does the Panel know that could enhance other ISTAP-related processes? <p>Some information will be displayed below in order to highlight inconsistencies in the TOC logic. The guiding question for this analysis is: since the TOC is adaptable, one of the questions to ask is: to what extent is the TOC still adherent to reality?</p> <p><u>The TOC Narrative:</u></p> <p><i>“The Rio Doce Panel’s (RDP) vision is long-term environmental and socio-economic health and resilience for the Rio Doce basin and adjoining coastal zone. This vision shall be achieved through an approach that is nature-based, integrative, and grounded in the landscape.</i></p> <p><i>Recognizing that the process of knowledge adoption is iterative not linear, active not passive, contextualized, needs-based rather than curiosity-driven, or pull more than push, the RDP contributes to its vision through the timely delivery of salient, credible and legitimate Recommendations packaged in Issues Papers and Thematic Reports. Topics for these products are set by the RDP based on priority theme criteria and are informed by Renova Foundation (RF) and other stakeholder’s needs. Members of the Panel use data and studies that are publicly available to develop their analysis and make their recommendations.</i></p> <p><i>In addition to supporting the work of the Panel, IUCN develops and implements a tailored communication and uptake strategy aiming at disseminating the Recommendations among the different target audiences identified by the Panel as key actors in the repair process. As the primary target audience of the Panel is the RF, most of the communication and uptake strategy focuses on them, notably through regular scheduled meetings with technical and governance teams and other communication activities with on-ground teams and operational staff. In addition, a feedback flow is in place in order to understand the extent to which RF agrees on the recommendation. This aims at having the RDP’s Recommendations adopted and reflected in the RF’s implementation of the programmes and integrated areas.</i></p> <p><i>As secondary priority audience, a range of other stakeholders (Regulators, Do-ers, Influencers (2) are reached by IUCN and RDP through different means of communication, and with differing levels of intensity and investment (this prioritization is reflected in the order – from top to bottom – represented in the graphic). The Panel is open to evaluating invitations to present</i></p>	<p>The Target audience analysis and identification is not deep enough and do not clarify the legal framework and the governance aspects.</p> <p>As result, the CKL is affected, and the MEL as a whole.</p>	
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the recommendations to these stakeholders. This aims at raising awareness and informing a broader set of concerned stakeholders of the recommendations and the work of the Panel. Although neither the Panel nor IUCN is accountable for how this information is acted upon by these stakeholders, it is hoped that the awareness-raising and the recommendations will influence their behavior and lead to positive actions.

Ultimately, RF actions, combined with actions from other stakeholders, will contribute to social, environmental and economic health for the Rio Doce. Learning about what works, when, where and why will help inform other similar initiatives. IUCN intends to measure how the RDP recommendations may or may not have influenced these actions.”

The Communication and Knowledge Logical Framework replicate RDP’s long-term objective with the following assumption: *“Work of the Panel can convince decision-makers that a healthy watershed, rich in biodiversity, is not inconsistent with economic activity that supports local livelihoods”.*

Two indicators of success were conceived to guide the work of communicating the Panel’s knowledge products:

- Policies that promote environmental and socio-economic health and resilience for the Rio Doce Basin and adjoining coastal zone.
 - o Expect to see: **Expanding Capacities and raising awareness:** Meetings organized at government level and knowledge products shared that could help reinforcing policies that promote environmental and socio-economic health and resilience for the Rio Doce basin and adjoining coastal zone
 - o Like do see: **Broadening horizon and increasing political will:** New concept and ideas are being debated. Policymakers took actions in favor of policies that promote environmental and socio-economic health and resilience that will benefit the basin
 - o Love to see: **Affecting Planning and Policy:** New policies and/or reinforcement of policies that promote environmental and socio-economic health and resilience for the whole Rio Doce basin and adjoining coastal zone
- RF’s projects have action plans and result frameworks aligned with the RDP recommendations.
 - o Expect to see: **Discussion within RF about how RDP recommendations should be implemented** (RF’s internal meetings to elaborate a workplan)
 - o Like do see: **RF submitting changes in CIF programs considering RDP recommendations**
 - o Love to see: **Changes in CIF programs regarding RDP recommendations**

Comments on the Theory of Change and the Communication and Knowledge Logical Framework

- To give the dimension of the complexity of the situation, the objective established by RDP cover the Rio Doce Basin’s territory, which has a drainage area of approximately 86,715 km² - out of which 86% are located in the state of Minas

Gerais and the rest in Espirito Santo. The population living in the Rio Doce Basin is dispersed in 229 cities, being 203 in Minas and 26 in Espirito Santo, gathering 3.5 million inhabitants. Within the basin territory is located one of the most important industrial centers in Brazil.

- In the context of the basin, RF is the responsible for the execution of programs determined in the TTAC, as per its creation statute: “Art. 6th – *Renova Foundation has as its exclusive objective to manage and execute the measures present in the socioeconomic and socioenvironmental programs, including promoting social assistance to the impacted population due to the failure of the dam belonging to the main sponsor company, located in the Germano Complex, in Mariana (“event”), observing the socioenvironmental and socioeconomic situation immediately before November 5th 2015*⁵⁸”
- CIF’s role is to “**guide and validate the acts of RF**, established by Samarco and its shareholders, Vale and BHP, **to manage and implement the recuperation measures for the damages caused by the tragedy**”.
- Considering this framework, before being considered as a guiding landmark for proposing recommendations for RF, the RDP’s main objective should be discussed by the territory governance structure, i.e. CIF, body responsible for guiding and monitor RF, and the Curator Council, which is responsible for RF’s decision making.
- Since RDP main goal is relevant and coherent, there do not seem to be a problem for RDP to dialogue and have CIF’s support. Regarding RF’s Curator Council, apparently this is the most conservative link and the most resistant to broadening the vision regarding the basin, keeping the proposal of returning the basin to the situation immediately prior to November 2015.
- Regarding the CKL, the assumption for long-term objectives, the indicators and its markers deal with political incidence (“*can convince decision-makers*”, “*Policymakers took actions*”, “*reinforcing policies*”, “*new policies...*”). However, especially output 3 (Recommendations and knowledge generated by RDP reflected in government policies and regulatory frameworks) does not seem that the activities are enough for the communication, engagement and incidence objectives.
 - In markers “*Like to see: Renova submitting changes in CIF programs considering RDP recommendations*” and “*Love to see: “Changes in CIF programs regarding RDP recommendations”*”, it is necessary to consider that they are not “CIF Programs”. The programs are listed in TTAC, but who design the programs is RF, CIF provides the approval or presents recommendations for changes. It would be better, instead, to say “RF programs”. Therefore, the marker “*Renova submitting changes in CIF programs considering RDP recommendations*” is not coherent, since it is RF that designs the programs and present it to CIF. CIF might want to revisit them, but the initiative is from RF (this understanding was confirmed with CIF’s executive secretary).

⁵⁸ RF’s Statute.

<ul style="list-style-type: none"> ○ The two major indicators seem to be adequate in the sense of directing one action for public policies and the other actions for RF. However, RF has the initiative of innovation regarding the programs listed in the TTAC, with the freedom of being prepositive within the limits to fulfill its objectives. But it has no incidence role, since it would be odd if as the program executor it tried to influence the body responsible for its monitoring. Conversely, the sponsor companies' power in the Curator Council has made RF's proposals more conservative than what the CIF would like. ○ In short, the TOC seems to have distorted view of RF's and CIF's roles, which impact the defined strategies. ● The Target audience analysis and identification seems to have been carried out in a superficial way (which was confirmed in an interview with IUCN team) and does not properly considers RF's legal and institutional framework, consequently generating a distortion in the TOC. ● Regarding the judicialization, in late 2019, the judge of the 12th civil court took for himself the decision power over part of the programs executed by RF, leaving CIF with an advisory role removing its decision maker role for these specific programs. In view of that, RF loses its prepositive power. Within this scenario and for these programs, the TOC becomes even less adherent to reality. <p><u>Target audience analysis and identification</u></p> <p>The stakeholders' analysis and identification were carried out in a superficial way without taking in consideration the legal and institutional framework, which end up creating problems in the TOC and, consequently, in the CKL. It is worth repeating what was listed under the TOC and CKL above: the complexity and singularity of the challenge require an in-depth analysis of the power and influence relations among the institutions and actors that participate in the process.</p>		
<p><u>+Stakeholders Interviews</u></p> <p><u> Policymakers and Regulators</u></p> <ul style="list-style-type: none"> ● Renova makes the first proposition on the construction of the programs foreseen in TTAC. The CIF/Technical Chambers analyze Renova's proposal, agree or propose adjustments, and the technical chambers monitor. <p><u>RDP Members</u></p> <ul style="list-style-type: none"> ● The majority of RDP members did not recall the CKL framework. They considered the TOC adequate, but only one of the members declared using it frequently. ● One RDP member declared discomfort with TOC, but decided not to delve into what could be improved. 	<p>RDP did not take ownership of the TOC, nor the MEL strategy, which were supposed to assist the members in the decision-making process.</p>	

<ul style="list-style-type: none"> • One RDP member said that did not know the document. <p><u>IUCN</u></p> <ul style="list-style-type: none"> • The MEL was developed subsequently to the TOC. Looking back: RDP1 - first visits, and the RDP getting to know each other and feeling the challenge; RDP2 - to start the design of the TOC; RDP 3 the TOC was finalized with the graphic. It doesn't make sense to develop the MEL from the very beginning without a TOC. What we had is a process indicator, when the system set place how late was the Panel on producing things. • (Regarding) The information uptake by the target audience, the Panel hadn't produced anything until one year of the project. It is impossible to track the uptake of the use of the recommendation if they were not written. Does not make sense to report immediately after the publication because it needs time to penetrate to the target audience. • Even though part of the MEL strategy, the "CKL framework is not a working document for the RDP, but for IUCN. IUCN tries to make RDP meetings less bureaucratic." • RDP Project receives monitoring support from IUCN HQ; • A workshop in March 2018 was organized to elaborate monitoring tools (learning questions, stakeholder analysis and prioritization set) • A monitoring officer was hired in March 2020. <p><u>Renova Directors</u></p> <ul style="list-style-type: none"> • RDP's role is to monitor and evaluate the reparation, if the actions are being carried out properly, if RF is making use of good science when adopting reparation measures. <p><u>Renova Staff</u></p> <ul style="list-style-type: none"> • When I got to know about the TOC I realized the emphasis in the communication work. However, the TOC brings an advocacy challenge, and not necessarily a communication one. • To carry out advocacy initiatives, RF is not the most suitable stakeholder due to several reasons: because it has a duty listed on its statute, which it cannot extrapolate; because it became a "punching bag" for all stakeholders; because it is involved in a series of critical events with very tight deadlines, which generates incredible pressure over its staff. 	<p>The Planning and M&E cycle is not being properly considered by RDP. The annual plans have recurrently reinforcing the same gaps.</p> <p>IUCN, RDP and RF do not have the same vision about the TOC.</p>	
<p><u>+Focal Group:</u></p> <ul style="list-style-type: none"> • When questioned about RDP's vision on the TOC and the necessity of interacting with the stakeholder groups that appear in the TOC graphic, members of the Panel presented different views: some understand that the Panel's communication is 	<p>The RDP members do not have the same</p>	

<p>carried out by RF, and RF communicates to other groups its work; others were not sure regarding who is responsible for the communication, others questioned the meaning of the accountability line present in the graphic (this issue came up because there was no narrative describing the TOC, only the graphic).</p> <ul style="list-style-type: none"> • One Panel member said that RF is the Panel’s client and, therefore, the Panel communicates with RF. And, based on the communication strategy, they (RF) make the material reach other stakeholders. • In view of so many different understandings and doubts regarding the TOC, some members agreed that what is expressed in the TOC graphic is not clear enough. 	<p>vision about the TOC.</p>	
<p><i>[Effectiveness]</i> 2.5.3. To what extent the RDP themes prioritization approach and method are appropriate?</p>	<p>The approach and prioritization methodology need improvement.</p>	<p>Medium</p>
<p>+Semi-structured interviews</p> <p><u>IUCN</u></p> <ul style="list-style-type: none"> • The prioritization tool could be improved. • “The methodology to prioritize themes is a potential shortcoming of the model”. <p><u>RDP Members:</u></p> <ul style="list-style-type: none"> • In general, they regard the prioritization tool as adequate. • No objection to the selected criteria. • No objection in consult other stakeholder to carry out the prioritization. <p><u>RF Staff</u></p> <ul style="list-style-type: none"> • Not aware of the prioritization tool • In principle, they are not worried with theme prioritization, leaving to RDP this task. • Currently believe that a maybe a dialogue on priorities would be appropriated to allow greater adherence of RDP’s recommendation to RF’s reality. 	<p>RDP did not involve relevant stakeholders on the prioritization set analysis. This would be fundamental considering the complexity of the whole situation.</p> <p>The Engagement plan is still pending.</p>	
<p>+ Document Analysis</p> <p>The RDP defined a set of 11 questions/criteria to set up priorities for the Issues Papers and Thematic Reports:</p>	<p>The approach and prioritization methodology need improvement to</p>	

<p>1. Can the RDP provide useful and informed scientific response to the issue/theme (does the Panel have the expertise to look into that)?</p> <p>2. Does the issue/theme address long-term solutions and build resilience (including the foreseen impacts of climate change)?</p> <p>3. Does the issue/theme align with the RDP’s Terms of Reference and Scope?</p> <p>4. Can the RDP provide timely response to the issue/theme (is the timing appropriate)?</p> <p>5. Does the issue/theme address basin wide solutions?</p> <p>6. Will responding to the issue/theme contribute to the vision of building a new reality for the basin and the people?</p> <p>7. Does the issue/theme directly contribute to improve social and environmental conditions?</p> <p>8. Does the issue/theme relate to priorities of/for local communities?</p> <p>9. Will responding to the issue/theme help resolve conflict?</p> <p>10. Does responding to the issue/theme help setting the Rio Doce as a sustainable development model for other basins?</p> <p>11. If it is an issue, does responding to the issue add value to better understanding the RDP’s prioritized Themes?</p> <p>It was defined other 3 mandatory criteria for prioritization, considering the number of positive answers to the questions:</p> <ul style="list-style-type: none"> • High Priority: The subject receives a positive answer to the TOP 3 + 7 or 6 criteria • Medium Priority: The subject receives a positive answer to the TOP 3 + 5 or 4 criteria • Low Priority: The subject receives a positive answer to the TOP 3 +3 or 2 criteria <p>Based on these criteria a framework of priority issues has been drawn up in March 2018, and updated in 2019.</p> <ul style="list-style-type: none"> • Criteria 1 and 4 refers to the capacity of RDP to respond at time (This criterion masks possible profile inadequacies and number of Panel members) • Criteria 3 asks for alignment with the TORs (the TOR is by definition wide) • It appears that in order to meet criteria 6, 7 and 8 it would be necessary to hear the opinion of the Basin Committee or to undertake some form of consultation with representatives of the local population. 8 takes the locus of speech from communities, it is an ethical issue. 	<p>solve some inconsistencies.</p> <p>Other analysis tools could be used to analyze criteria and to establish links between problems and search for solutions.</p>	
<p>KEY QUESTION: HOW EFFECTIVE IS THE RDP’S MODUS OPERANDI?</p>	<p>In some aspects, the RDP modus needs</p>	<p>High</p>

	<p>improvements. Planning, knowledge management, and inter institutional strategic dialogues need improvements.</p> <p>Needs adaptative management measures to increase RDP productiveness.</p> <p>Please, also refers to the following findings.</p>	
<p><i>[Effectiveness]</i></p> <p>2.5.4. How effective is the RDP's modus operandi? Is the Panel provided with the adequate resources and support from IUCN to deliver on its outputs?</p>	<p>RDP project does not adopt methodologies of knowledge management, ecologies of knowledge⁵⁹ facilitation, and stakeholder's engagement.</p>	<p>High</p>

⁵⁹ SANTOS, Boaventura de Sousa; NUNES, João Arriscado; MENESES, Maria Paula (2004), "Para ampliar o cânone da ciência: a diversidade epistemológica do mundo", in Santos, Boaventura de Sousa (org.), Semear outras soluções. Os caminhos da biodiversidade e dos conhecimentos rivais. Porto: Edições Afrontamento

	<p>Lack of proactivity on institutional liaison, then RF;</p> <p>IUCN could be more constructive and innovative in order to facilitate the Panel access to new ways of working.</p>	
<p><u>+Semi-structured interviews</u></p> <p><u>RF Directors and Consultants</u></p> <p>“They requested information on Reject Management and we sent a significant amount of information and when they systematized, we sent more information. There was a difficulty for Renova to organize the information to deliver to the Panel. And we received criticism from the Panel that there were conflicting documents. But that's it, we were generating information all the time. Now the flow has improved, the Panel is more familiar with Renova, today is not the biggest point of pain.”</p> <p>“A process like this is a knowledge building process. The difficulty of recognizing that knowledge is often being generated, so there is no publication or foundation established by science to say this is right or wrong. I understand that the members of the Panel are aware of this and have aggregated it to the current situation. There is one formal situation that is getting in the way, and that is the issue of publication. The people involved know that the data published is not enough. That is the flaw. When we talk to the group, everybody agrees, but at the time of publication it disappears. Using only published information is insufficient, because science has not dealt with situations like this.”</p> <p><u>IUCN</u></p> <ul style="list-style-type: none"> • Different ISTAPs have different types of outputs and different modus operandi– so there is not one particular template. 	<p>Panel members expressed high satisfaction with IUCN support.</p> <p>The interviews indicate that modus operandi needs improvement on: peer review, face-to-face meeting for finalizing products, focusing on more complex products (TR), more</p>	

<ul style="list-style-type: none"> • The shorter issue papers and thematic reports that are aimed at a wider range of key stakeholders are an innovation from the RDP. • Peer Review: Two reviewers, 1 Brazilian and 2 internationals (roster of 150 reviewers - pro bonus, unpaid). The peer review document is commented by all. The author must respond to all comments from Renova and Peer Review. The Renova's technical team complains about the need to review the text after the peer review. Renova's review is a courtesy. There is confusion on the part of Renova (focal points) in treating RDP as consultants. As for the work of the Panel members: some count more days than others, the payment considers the self-declaration of the days worked. • The RF President asked for an annual macro-research - the 2020 work plan did not include this suggestion and Renova asked for a revision (according to documentary analysis, in 2020, the DPL's work plan only includes TR). • Regarding the modus operandi what is unclear so far is the frequency that the Renova have to tell us what they are doing with the recommendations. This is one challenge we haven't yet addressed. Regarding to TR1 (2018), for example, we don't know now in 2020 how they are still dealing with those recommendation. We don't have a mechanism in place yet. • I wouldn't change the modus operandi because it has a fluid process. • The composition can be changed. New expertise could come in on. For instance, the marine area. Even to commission studies about this subject, for example. • The better name to the Priority Setting would be a filter or a selection criterion. But it is not a priority setting tool, or a mechanism to really set priorities. 	<p>regular interaction and exchanges (knowledge management) with RF, about integration of the recommendation by RF; planning and prioritization; and make use of ad hoc support.</p>	
<p><u>RDP Members</u></p> <ul style="list-style-type: none"> • All Panel members agree in recognizing the support from IUCN, especially regarding the quality of the assistance provided by the Programme Officer. • The number of days is reasonable, with 40 days minus 16 in Face-to-Face meeting, there are 2 days per month left to work on the products and participate in the virtual meetings. • 2 panel members mentioned e-mail management – reply rules could be defined in order to avoid that e-mails to one specific person were not shared to the whole group. • Modus operandi: it is satisfactory within the limited time they can offer for the matter. You can't read everything that arrives by e-mail on time. Virtual meetings on the panel are useful, with well controlled times (starts on time and ends on time). Personal interactions in physical encounters are also important. 		

<ul style="list-style-type: none"> • About the elaboration of the papers, you must have a leader and 2 or 3 more personal ones that help, but you must have face-to-face meetings. You will receive the texts, each one putting their comments and criticism in a single file. A face-to-face meeting would be faster and cheaper to finish the product. • Four members mentioned that have face-to-face meetings, sometimes in pairs, to speed up the process. • About peer review, panel members think it would be important to have a Brazilian peer review and a foreign one, from outside. There are natural problems of the review process: lack of time, dedication and knowledge. • It would be important more immersion to know the places. Often RDP have no possibility to explore the visited environment. • There is little interaction with other groups, the work works better with Renova. The meeting with the Rio Doce Network was good, but the listening was unequal. • The products of the RDP are focused on more strategic decision-making bodies (which are more guided by legislation). It would be useful to have more strategic languages. The language adopted is insufficient. • The modus operandi has a good design for the purpose of the RDP. I always think what would happen if there were 20 panelists, but since the objective is to have a landscape view, it is better to keep seven and if we need a consultancy, we hire. To hire an anthropologist for a concrete quilombola problem, e.g. • At each meeting with the communities we produce a short report. There are conversations where the same arguments that we heard six months ago are repeated, there are others that bring new elements. This was the first time we heard about suicide and drug use. Our decision is not to produce exclusive papers on social problems, but to be a cross-cutting theme in all papers. Let us always keep in mind the impact of this theme in all papers. • Renova asked us for more international experiences. And we are bringing more international comparisons, and lessons learned from other countries. • To keep all the member involved is a challenge. 		
<p><u>+Document Analysis (IUCN survey)</u></p> <p>IUCN carried out 2 surveys to evaluate RDP’s satisfaction level regarding several aspects related to IUCN support. Both survey results are very favorable to IUCN and registered an evolution from one year to the other.</p> <p>The survey does not ask about the satisfaction of RDP with the communication actions that are responsibility of IUCN, but limits to ask about aspects related to RDP’s modus operandi, its routine and the chair’s performance.</p> <p>Despite RDP’s satisfaction, document analysis pointed out failures in the Target audience analysis and identification (see 2.5.2), lack of proper support for planning and prioritization, different methodologies of facilitation to have more efficient meetings,</p>	<p>Panel members expressed high satisfaction with IUCN support.</p> <p>According to the ISTAPs procedures, the communication plan and the website must be delivered in the</p>	

<p>the stakeholder engagement plan, and the communications protocol and strategy elaboration delay, according to the ISTAPs principles⁶⁰.</p>	<p>first quarter of the project.</p>																																					
<p>RDP Survey</p> <table border="1"> <caption>RDP Survey Data</caption> <thead> <tr> <th>Statement</th> <th>Strongly Agree</th> <th>Moderately agree</th> <th>Moderately disagree</th> <th>Strongly Disagree</th> <th>N/A</th> </tr> </thead> <tbody> <tr> <td>The panel is provided with the adequate resources and information from IUCN to take decisions and deliver its outputs.</td> <td>58%</td> <td>42%</td> <td>0%</td> <td>0%</td> <td>0%</td> </tr> <tr> <td>The communication approach during the field visits to the Rio Doce Basin Communities is appropriate.</td> <td>28%</td> <td>42%</td> <td>0%</td> <td>10%</td> <td>20%</td> </tr> <tr> <td>The visits to the Rio Doce Basin Communities are well designed and performed.</td> <td>15%</td> <td>57%</td> <td>0%</td> <td>10%</td> <td>18%</td> </tr> <tr> <td>The RDP face-to-face meetings methodology and facilitation fit for purpose.</td> <td>58%</td> <td>27%</td> <td>15%</td> <td>0%</td> <td>0%</td> </tr> <tr> <td>The RDP virtual meetings methodology and facilitation fit for purpose.</td> <td>72%</td> <td>0%</td> <td>13%</td> <td>15%</td> <td>0%</td> </tr> </tbody> </table>	Statement	Strongly Agree	Moderately agree	Moderately disagree	Strongly Disagree	N/A	The panel is provided with the adequate resources and information from IUCN to take decisions and deliver its outputs.	58%	42%	0%	0%	0%	The communication approach during the field visits to the Rio Doce Basin Communities is appropriate.	28%	42%	0%	10%	20%	The visits to the Rio Doce Basin Communities are well designed and performed.	15%	57%	0%	10%	18%	The RDP face-to-face meetings methodology and facilitation fit for purpose.	58%	27%	15%	0%	0%	The RDP virtual meetings methodology and facilitation fit for purpose.	72%	0%	13%	15%	0%	<p>100% agrees that IUCN support is appropriate.</p> <p>72% agrees that the approach during the field visits is appropriate.</p> <p>71% agrees that the visits to Rio Doce Communities are well designed and performed.</p> <p>86% agrees that face-to-face meetings methodology and facilitation fit for purpose.</p> <p>71% agrees that the RDP virtual meetings</p>	
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⁶⁰ Procedures for Establishing and Managing IUCN-supported ISTAPs. “Within the first quarter of its establishment, the Panel, in collaboration with the Project Manager, should identify stakeholder engagement requirements and prepare a stakeholder engagement plan and a communications protocol and strategy. The stakeholder engagement plan and communications strategy should be communicated to the Director General and a summary made publicly available.” Available at: <http://tiny.cc/abdspz>

	methodology and facilitation fit for purpose.	
<p>+Participant Observation:</p> <p>The evaluation team observed the face-to-face dynamic during the RDP 6.</p> <p>During the observation of RDP 6 the evaluation team attended meetings with several actors and RDP meetings.</p> <p>Observations:</p> <ul style="list-style-type: none"> • Lack of tools and methodologies for decision-making: decisions are taken without using established techniques for gathering and analyzing information, e.g. a SWOT analysis that could be used in several situations. There is no neutral facilitation to allow a transparent and free debate. It was possible to notice that some Panel members were listened in a more careful and empathic way than others. • Lack of tools for knowledge management that will enable systematized discussions that will evolve as time goes by, allowing recovering and visualizing past decisions (e.g. a time line, World Café, Fishbowl Method, etc.). • The information extraction approach adopted, rather than a collective knowledge building, make RDP impermeable to other views. • Lack of agreements between timings and breaks. • Some important discussions were carried out in not suitable environments, such as restaurants, which does not enable the possibility of fostering a more constructive dialogue and careful listening. • It is still necessary to find a middle ground between excessive formality (e.g. having a chair for managing the discussions) and excessive informality (e.g. having important discussions conducted in informal way, such as in the case of the Juparanã dam, over a bridge with excessive noise from nearby traffic and afterwards in a busy restaurant). • IUCN respects the wills and decisions of RDP, but could be more constructive and innovative in order to facilitate the Panel learning new ways of working that academics are not used to. 	<p>The Panel does not use approaches or methodologies to build dialogues of knowledge.</p> <p>The lack of facilitation and graphic aids during the meetings make them less effective and efficient.</p> <p>IUCN could be more constructive and innovative in order to facilitate the Panel learning new ways of working that academics are not used to.</p>	

<p>[Effectiveness]</p> <p>2.5.5. What number of products foreseen at annual work plan are delivered?</p>	<p>36% product delivery rate according to planning.</p>	<p>High</p>
<p>+Semi structured interview</p> <p><u>IUCN</u></p> <ul style="list-style-type: none"> • Asked about need to change the RDP <i>modus operandi</i> the answer was: “I wouldn’t change it because it has a fluid process.” • “Different ISTAPs have different types of outputs and different <i>modus operandi</i>– so there is not one particular template. The Western Gray Whale Advisory Panel (WGWAP) also established a category of observers (whereby other concerned stakeholders such as investment banks, NGOS etc.) could attend parts of the Panel meetings and observe proceeding (consistent with the transparency principle). WGWAP does not typically produce published thematic reports (such as RDP) but rather considers key issues that emerge and issues a series of recommendations for the company – such as what precautions need to be put in place for seismic surveys during a particular year. Alternatively, the Niger Delta Panel undertook quite a bit of analysis and produced very lengthy scientific reports. The shorter issue papers and thematic reports that are aimed at a wider range of key stakeholders are an innovation from the RDP.” <p>+Document Analysis</p> <p>Planning evolution analysis:</p> <p><u>REPORT RDP 2nd FACE-TO-FACE MEETING – 21st – 28th MARCH 2018</u></p> <p>DESIRED OUTPUTS FOR 2022:</p> <ol style="list-style-type: none"> 1. 6 issues papers and 2 thematic reports per year with recommendations to improve mitigation actions; 2. Effective communication strategy in place and under implementation to disseminate the outputs and lessons learned; <p>DESIRED OUTCOMES FOR 2022:</p> <ol style="list-style-type: none"> 1. Governance structure for a model watershed proposed; 2. Confidence built on RF’s institutional capacities and representation; 3. RF and other stakeholders implementing the Panel’s recommendations; 	<p>In year 01 (2018), 1 out of 8 products scheduled was delivered. In year 2 (2019), 4 out of eleven products scheduled in the annual work plan were delivered, almost 36%.</p> <p>The frequent changes in plans are a hint that the way how the planning system is conducted is not effective.</p> <p>In 2020 RDP prioritized publishing Thematic Reports instead of Issue Papers. The question is if the Panel’s academic profile is suitable, or if the number of</p>	

<p>4. Valuable experience gained by Panel members through teamwork and cooperation;</p> <p><u>RDP3 (Sep 2018):</u></p> <p>Delivered: Thematic Report 1 in September 2018 (delivered 1 out of 2 TRs and 0 out of 4 IP)</p> <ul style="list-style-type: none"> • TR01 September 2018 (delivered in September 2018) • TR02 March 2019 (not delivered) • IP01 (Francisco) November 2018 (not delivered in 2018, but in March 2019) • IP02 (Çiça) November 2018 (not delivered in 2018, but in June 2019) • IP03 (Francisco) not defined (not delivered in 2018, but in July 2019) • IP04 (Peter) December 2018; (not delivered in 2018, but in October 2019) • IP05 (Luiza) December 2018 (not delivered in 2018, but in March 2020) • IP06 (Luis) Dez 2018 (not delivered) <p><u>RDP4 (March 2019)</u></p> <p>Two new themes were defined for future issue papers</p> <p>IP 9 Guidance on assessing sustainability and resilience of mitigation programmes;</p> <p>IP 10 Applying landscape and ecosystem services approaches to integrate programmes and reinforce restoration</p> <p>Delivered:</p> <ul style="list-style-type: none"> • Issue Paper 1 in March 2019 • Issue Paper 2 in June 2019 • Issue Paper 3 in July 2019 • Issue Paper 4 in October 2019 <p>The analysis of planning and deliveries shows that none of the planning adopted had a good implementation rate. The themes, numbers and types of products were modified in each planning. In year 01 (2018), 1 out of 8 products scheduled was delivered. In year 2 (2019), 4 out of eleven products scheduled in the annual work plan were delivered, almost 36%.</p> <p><u>RDP 5 (Oct 2019)</u></p> <p>2019 Calendar</p>	<p>days, or even inf the number or researches is suitable? (see Error! Reference source not found..)</p>	
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<ul style="list-style-type: none"> • IP01 (Peter) Alternative Livelihoods.... Q1 launched; • IP02 (Francisco) Risks of supressing natural flows.. Q3 launched; • IP 03 (Francisco) Water quality...Q3 postponed to 2020; • IP04 (Ciça) Socioeconomic impacts of fish bans... Q2 launched; • IP05 (Luiza) Human and health Q2 launched; • TR 02 (Fernando) Climate Change... Q3 postponed to Q4; • IP 06 (Luis) A framework ... Q3 launched; • IP 07 (Ciça) Terrestrial Biodiversity.. Q3 moved to 2020; • IP 08 (Luiza) Environmental education...Q4 moved to 2020; • IP 09 (Luis) Guidance on assessing sustain...Q4 moved to 2020; • IP 10 (Peter) Applying landscape and ES...Q4 moved to 2020; <p>RDP 6 (March 2020)</p> <p>2020 Calendar</p> <ul style="list-style-type: none"> • Thematic Report 02 – Climate Change (Peter) Q2 • Thematic Report 03 – Water quality and Biodiversity ... (Ciça) Q3 • Thematic Report 04 – Governance ...(Chris) Q4 <p>Delivered:</p> <ul style="list-style-type: none"> • Issue Paper 5 on March 2020 <p><u>See analysis of RDP members profile at section 2.3.2.</u></p>		
<p><i>[Effectiveness]</i></p> <p>2.5.6. At what extent the RDP knowledge products meet the prioritization criteria?</p>	<p>The products meet the prioritization criteria.</p>	<p>Medium</p>
<p><u>+Document Analysis</u></p> <p><u>MEL 2018 annual report</u></p> <p>The RDP defined priority themes to work on based on a set of criteria, in which the first three are mandatory for subject to be addressed by the Panel:</p>	<p>The products meet the prioritization criteria.</p>	

1. Can the RDP provide useful and informed scientific response to the issue/theme (does the Panel have the expertise to look into that)?
2. Does the issue/theme address long-term solutions and build resilience (including the foreseen impacts of climate change)?
3. Does the issue/theme align with the RDP's Terms of Reference and Scope?
4. Can the RDP provide timely response to the issue/theme (is the timing appropriate)?
5. Does the issue/theme address basin wide solutions?
6. Will responding to the issue/theme contribute to the vision of building a new reality for the basin and the people?
7. Does the issue/theme directly contribute to improve social and environmental conditions?
8. Does the issue/theme relate to priorities of/for local communities?
9. Will responding to the issue/theme help resolve conflict?
10. Does responding to the issue/theme help setting the Rio Doce as a sustainable development model for other basins?
11. If it is an issue, does responding to the issue add value to better understanding the RDP's prioritized Themes?

In 2019, the total of 19 subjects (21, considering the Education set) were merged with the new ones and resulted in an extension to 24 subjects. Among those, the Panel decided to generate 12 publications (2 thematic reports and/or 10 issue papers). The following products were delivered to the moment, and all of them considers the priority criteria.

The adequacy of the prioritization matrix will be analyzed in the Monitoring and Evaluation section.

DELIVERABLE	SUBJECT	Status	Priority criteria met
Thematic Report 01	Impact of the Fundao Dam failure	Launched 2018	10
Issue Paper 01	Alternative livelihoods in rural landscapes of the Rio Doce Basin after the Fundão Dam failure	Launched 2019	10
Issue Paper 02	Socioeconomic impacts of fishing bans and solutions for sustainable fisheries	Launched 2019	10
Issue Paper 03	Risks of suppressing natural flows within a source-to-sea system: the case of Lake Juparanã, Espírito Santo State, Brasil	Launched 2019	8
Issue Paper 04	A framework for assessing environmental and social impacts of disasters for effective mitigation	Launched 2019	10
Issue Paper 05	Human health and ecosystem	Launched 2020	10

<p>KEY QUESTION: HOW EFFECTIVE ARE THE STRATEGIES IN PLACE IN REACHING OUT AND INFLUENCING THE RDP TARGETED AUDIENCES?</p>	<p>The strategies in place in reaching out and influencing the RDP targeted audiences are low effective.</p>	<p>High</p>
<p><i>[Effectiveness]</i> 2.5.7. How effective are the strategies in place in reaching out and influencing the RDP targeted audiences?</p>	<p>The RDP website is not an effective communication channel to the target audiences.</p> <p>The RDP communication with the stakeholders is irregular and not sufficient.</p> <p>RF and CIF Secretariat are supportive to the IUCN communication.</p>	<p>High</p>
<p>+Semi-structured interviews</p> <p><u>Policy Makers</u></p> <ul style="list-style-type: none"> • The limited information about the Panel and the few contact opportunities were pointed out as reasons for the lack of clarity regarding the Panel’s independence. • “The system (CIF) needs to understand the relevance level of the Panel”. • “For my peers and myself, the way things are is great. It would be good to have a more accessible language. Translate it so the affected population can understand.” 	<p>For policymakers the communication is insufficient.</p> <p>For regulators, the communication does not occur.</p>	

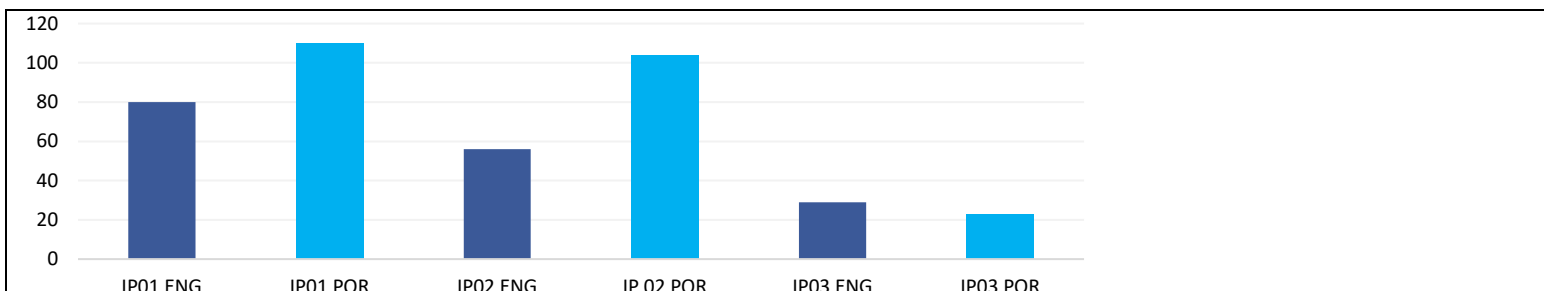
<ul style="list-style-type: none"> • From August 2019 to May 2020 the CIF Secretariat received a unique e-mail from IUCN automatic mailing list. • The RDP’s recommendations are exposed at a prominent place of the CIF Secretariat, but they are not considered priority documents. • RF does not mention RDP’s recommendations in the Technic Chambers, nor in the CIF meetings. • The CIF Secretariat does not know how to interact with the Panel, but see positively a forthcoming with them. <p><u>Regulators</u></p> <ul style="list-style-type: none"> • The only public prosecutor interviewed said that he was not aware of the Panel, and never received any material or updates from it. <p><u>Do-ers</u></p> <ul style="list-style-type: none"> • 2 do-ers⁶¹ were interviewed - none of them recalled any previous contact with the RDP, therefore they were not aware of the panel or its relationship with RF. <p><u>Influencers</u></p> <ul style="list-style-type: none"> • 3 stakeholders were interviewed (Fundo Brasil, Rosa Fortini e AEDAS). 2 of them already had contact with the Panel, and one expressed being aware of its independence in relation to RF. <p><u>RF Staff</u></p> <ul style="list-style-type: none"> • IUCN-RDP communication team is understaffed and hardly will be able to keep up the required collective communication effort with only one person. • The publications are for a specific audience and need to be translated into different languages for different audiences. Renova has used diverse communication resources to reach different audiences and even today we see misinterpretations about the foundation. • Using graphical elements and videos can be a good help in RDP communication • Renova's communication is structured in 4 areas: direct communication with those affected by the teams in the field, through a Contact Us, the Ombudsman, the communication team through the website and the media. 	<p>For do-ers and influencers the communication is insufficient.</p> <p>RF does not mention RDP’s recommendations in the Technic Chambers, nor in the CIF meetings.</p> <p>The CIF Secretariat does not know how to interact with the Panel, but see positively a forthcoming with them.</p> <p>For RF, IUCN/RDP offers a range of improvement</p>	
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⁶¹ 3 mining companies (in the Do-ers category, according to the Project’s Theory of Change) representatives were interviewed, all of them work directly with RF advising the curator council or participating in the review of the RDP products, therefore they are more fit as RF than Do-ers.

<ul style="list-style-type: none"> • IUCN needs to consider different communication channels with narratives and products based on non-written material. A RF experience that could serve as an example to the panel is the use of graphic facilitation and videos to describe complex technical contents. Look for creative ways to introduce contents to a wider audience. • Important to avoid extremes: one is to think that everybody will understand RDP’s recommendations, the other is to think that the audience is stupid and will not be able to understand anything. It is necessary to find a path to communicate what is more important and build a learning curve that will allow the audience to understand what the panel is and its recommendations. • RDP does not follow the CIF closely and is not aware of the governance system. A dialogue bridge between CIF and RF’s Curator Council was not designed. Thus, some RDP recommendations are forwarded to RF when they should have been forwarded to CIF or state governments (e.g. in the case of the recommendation that Espirito Santo’s government prepare a climate change strategy like Minas Gerais’ government). • RF recommended the Panel to have more influence over the Prosecutor’s Office, but the Panel did not do it. • RF did not participate in the construction of the TOC (however, the evaluation team identified that a RF Director and manager did participate). • I do not see how TOC could revitalize the basin, because communicating only with RF is not enough for such challenge. Why the Panel does not meet with CIF and other actors? RDP has structure and funds enough for doing so. • When I got to know about the TOC I realized the emphasis in the communication work. However, the TOC brings an advocacy challenge, and not necessarily a communication one. • RF is not the most suitable stakeholder to carry out advocacy initiatives due to several reasons: because it has a duty listed on its statute, which it cannot extrapolate; because it became a “punching bag” for all stakeholders; because it is involved in a series of critical events with very tight deadlines, which generates incredible pressure over its staff. However, IUCN has enough resources to deliver communication in a more efficient way than it has been doing. • The coordination of RDP’s communications with RF will require the participation of the high echelon. <p><u>RDP</u></p> <ul style="list-style-type: none"> • Communication with other stakeholders besides RF is not responsibility of RDP. 	<p>opportunities and should receive more investments.</p> <p>RDP does not follow the CIF closely and is not aware of the governance system.</p> <p>Some RDP recommendations should have been forwarded to CIF or state governments.</p> <p>The TOC challenges involve communication and advocacy.</p> <p>RDP members seem to be not aware about IUCN responsibility on communication, which are expressed at the</p>	
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<p><u>IUCN</u></p> <p>Interviews with IUCN staff and public documents revealed that a Communication Strategy was prepared (there is a version from December 2019 that was shared with the evaluation team).</p> <ul style="list-style-type: none"> • The IUCN work is to develop a strategy of communication to ensure that the recommendations done by the Panel will reach its internal audience. The Panel should not be about how the different actors will use that information. That is not their role. IUCN plays a huge role in supporting communications and outreach. • (Regarding the TOC) associated to each of those target audience there is different communication strategies. Through the policy makers and regulators one of the strategies is reaching out the CIF, which involves to share the Panel's material with them, to participate of CIF meeting. • For each IP or TR there is a specific communication plan. • Think about focusing on Panel members that are good writers to create op-ed that could be published in big newspapers. Along with the launch of IPs and TRs there should be talking points, abstract of the issue paper and an article about the issue paper. • It is necessary to transform RDP products in communication products more appealing to the mass public. • Writing articles must be among the deliverables. There could be a list of members more dedicated to big publications to keep writing TRs and IPs, and the rest could dedicate to writing small articles and complementary products, giving interviews, focusing on communication. • Since 2019, RDP started to receive feedback from RF, thus it is already possible to create shorthand stories (from the root problem, passing by the recommendations and RF's response). Based on the first feedback, Panel member could record interviews to provide a more academic / scientific tone. • A Panel narrative, with a strategic perspective, is still missing. Regarding the Panel's recommendations, it is necessary to think about complementary products, focusing on communication (working with concepts: e.g. the perspective of nature bases solutions). 	<p>RF-IUCN agreement.</p> <p>IUCN is aware about its responsibility on communication, which are expressed at the RF-IUCN agreement.</p> <p>Despite IUCN's efforts, they are implementing the communication strategy with delay. It affects the dissemination of RDP's work and recommendations.</p> <p>"It is necessary to transform RDP products in communication products more appealing to the mass public."</p> <p>There is no effective</p>	
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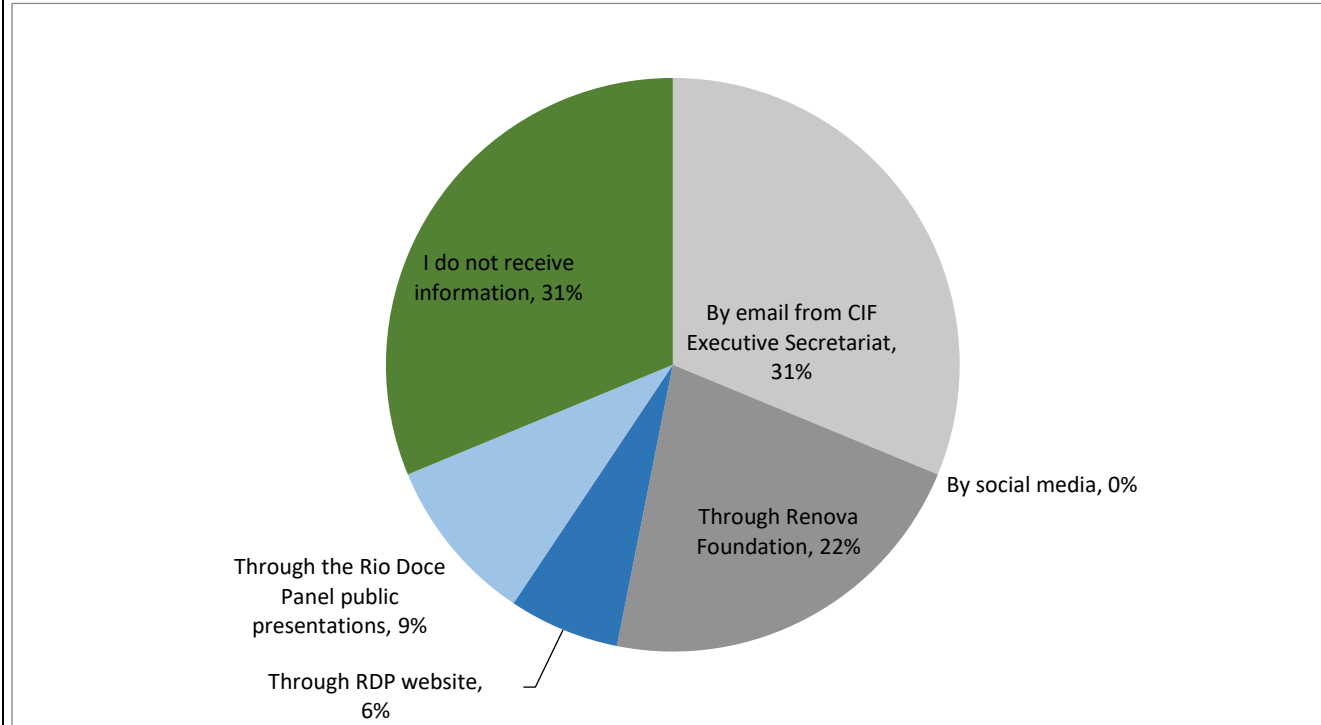
<ul style="list-style-type: none"> • It is necessary to create enough content to enable a more periodic communication. There is not enough content for publishing a newsletter every other week if the information only arrives every other month. • Regarding the IUCN/RF partnership, the goals and cultures of these organizations are very different. RF communicates to end audience of end-users regarding specific questions related to recuperation programs and impact mitigation. • IUCN team has a good relationship with the person responsible for RF's press team. It is necessary that someone from RF's high echelon determine how RF will communicate the Panel's results. 	<p>partnership on communication between RF and IUCN.</p>	
<p>+Document Analysis</p> <p><u>Rio Doce Panel - Communication Plan</u></p> <p>A Communication plan was written with the following general objective:</p> <p><i>“Recommendations and knowledge generated by the RDP addressed properly to the primary audience, mainstreamed into public and private sectors; policy and regulatory frameworks influenced and enforced; and, communication and information exchange scaled-up among the key stakeholders.”</i></p> <p>That is a plan designed with coherent proposals and strategies.</p> <p>An IUCN presentation delivered in October 2019, during RDP5, made a wrap-up of the Panel interaction with various audiences:</p> <ul style="list-style-type: none"> • <i>On September 30th 2019, the Panel had: 41 meetings and participation in events (15 presentations of the RDP work and 26 as observers)</i> • <i>Meetings and Events: 21 with RF, 10 with influencers (4 with IUCN related stakeholders), 6 with CIF and 5 with Do-ers.</i> <p><i>Data on communication:</i></p> <ul style="list-style-type: none"> • <i>Website launched in March, 2019</i> • <i>Institutional video: June, 2019</i> • <i>Newsletter: September, 2019</i> <p><i>Downloads of TR 1: 1701 (English); 1416 (Portuguese)</i></p> <p><i>Downloads of IPs:</i></p>	<p>The communication plan is well-structured, but needs some improvement on engaging stakeholders.</p> <p>By analyzing the deliveries and the communication tools it is possible to verify that the work is behind schedule and still incipient.</p> <p>According to the ISTAPs procedures, the communication plan and the website must be</p>	

 <p>“Conclusions and lessons learned:</p> <ul style="list-style-type: none"> • Engagement increased after Rio Doce Panel website in Portuguese was published • Social media strategy focused on key audiences in LinkedIn - Tweeter to be implemented • Effective direct communication campaign presenting significant results to engage with key institutional stakeholders according to the TOC • Strategic media outreach through qualified interviews • Monitoring engagement with knowledge products presented great interest in RDP reports <p>Visual and multimedia products showed great support to raise awareness on Panel work.”</p> <p><u>Renova Foundation Website</u></p> <p>The website was visited several times along the whole period of this mid-term review. The last visit was in June 06, 2020. Regarding the RDP and IUCN, the more recent information were published in September and July 2019:</p> <ul style="list-style-type: none"> ○ 30/09/2019: <ul style="list-style-type: none"> ▪ Issue Paper 4 (the report): https://bit.ly/2Y7nNU6 ▪ A release: https://bit.ly/3hIIB5 ○ 19/07/2019: <ul style="list-style-type: none"> ▪ New: https://bit.ly/3hEwWuQ ▪ Issue Paper 3 (the report): https://bit.ly/3dewT5v 	<p>delivered in the first quarter of the project⁶².</p>	
<p>+CIF Survey</p>	<p>66% disagree that the regularity of communication between the RDP and CIF participants is</p>	

⁶² Procedures for Stablishing and Managing IUCN-supported ISTAPs. Available at: <http://tiny.cc/abdspz>

	adequate and satisfactory.	
<p style="text-align: center;">CIF</p> <p>The regularity of communication between the Rio Doce Panel and CIF participants is adequate and satisfactory.</p> <p>I understand the concept “Solutions based on nature” and I know concrete examples about it.</p> <p>I understand the concept of “landscape approach” and know concrete examples of its use.</p> <p>I have already shared the products of the Rio Doce Panel with other people and institutions.</p> <p>I regularly receive information about the Rio Doce Panel.</p> <p>I am aware of the recommendations elaborated by the Rio Doce Panel.</p> <p>I know the objectives of the Rio Doce Panel and I am aware of its independence</p> <p style="text-align: center;">0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%</p> <p style="text-align: right;"> ■ Strongly Agree ■ Moderately agree ■ Moderately disagree ■ Strongly Disagree ■ N/A </p>	<p>63% understand the concept “Solutions based on nature” and “landscape approach”.</p> <p>60% disagree that had shared the RDP products.</p> <p>54% don’t receive regular information about the RDP.</p> <p>67% are aware of the recommendations elaborated by RDP.</p> <p>53% know the objectives of the Rio Doce Panel and are aware of its independence.</p>	
<p>+CIF Survey</p>	<p>CIF’s executive secretary has</p>	

How do you receive information about the RDP?

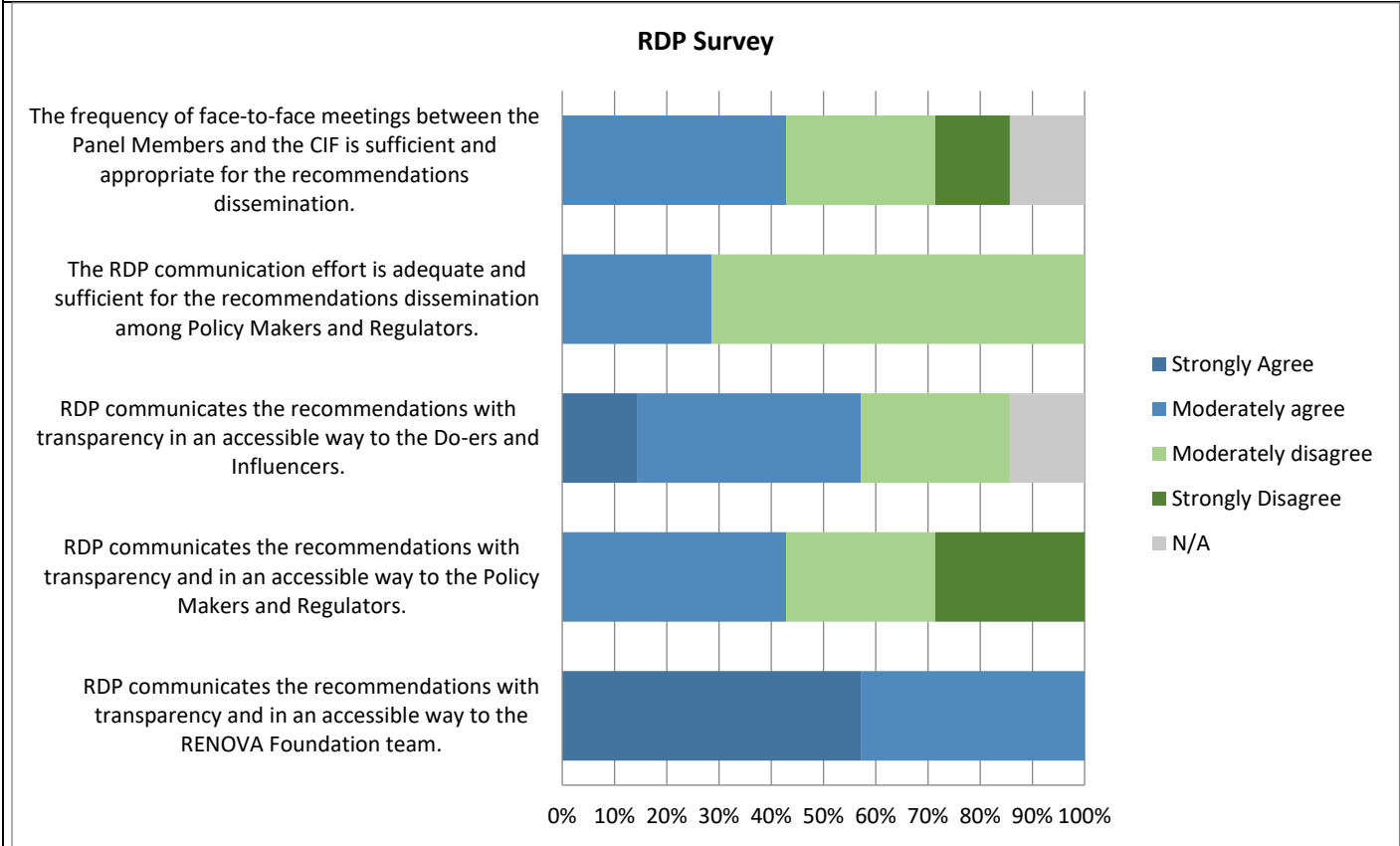


forwarded information received from IUCN to its members and representatives of the three levels of government.

CIF open answer:

- "The Panel, it seems to be very capacitated, however, your recommendations usually have already been made some 6 months ago by the CIF system/technical chambers, you should have monthly meetings with the coordinators of the technical chambers, which are operational arms of the CIF system. Otherwise they will be of little use."

+RDP Survey



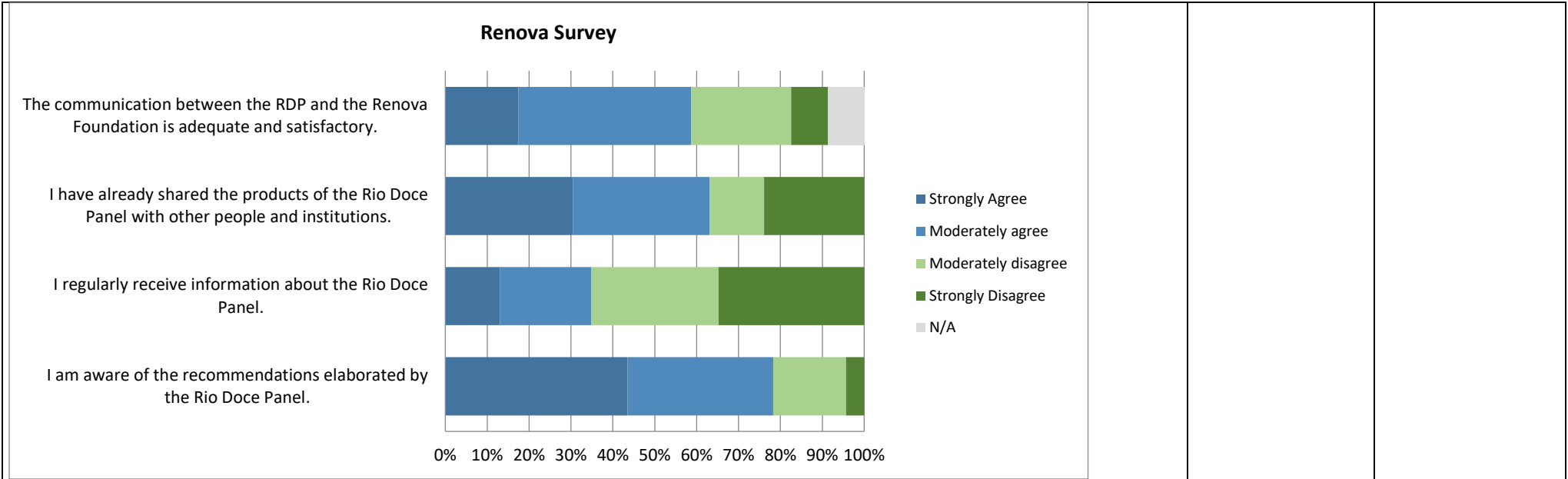
There is the same level of agreement/disagreement regarding the adequacy of the frequency of face-to-face meetings between RDP and CIF.

71% of RDP members disagree over the adequacy and sufficiency of the communication effort to disseminate the recommendations among policy-makers and regulators.

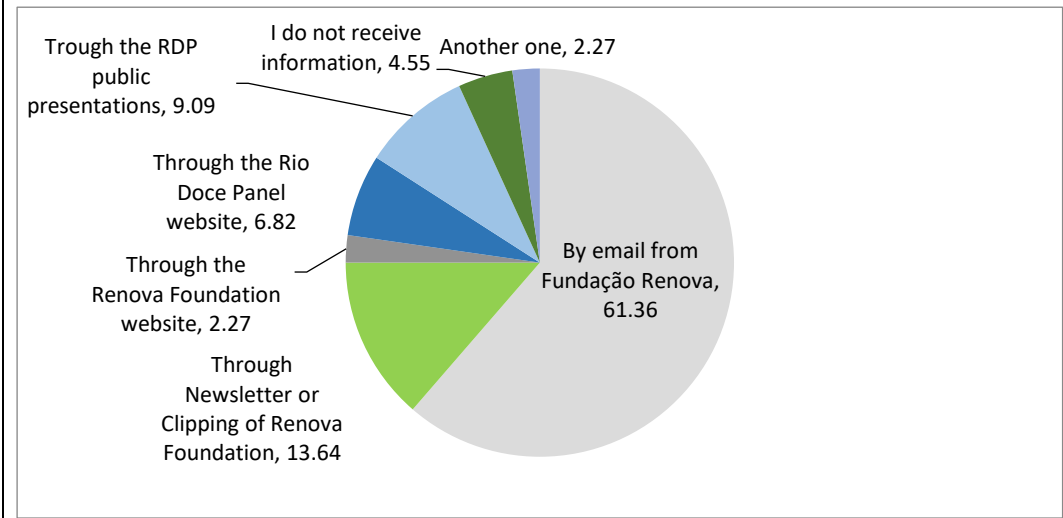
Regarding the communication transparency and accessibility for the target audience:

All members agree about the transparency and

	<p>accessibility to RF team.</p> <p>58% disagree about the transparency and accessibility to Policy Makers and Regulators.</p> <p>57% agree about the transparency and accessibility Do-ers.</p>	
<p><u>+Renova Survey</u></p>	<p>58% of the replies consider the communication between RDP and RF satisfactory. Only one third of the replies receive information from the Panel in a regular basis.</p> <p>63% of the replies have shared RDP's products.</p> <p>78% said that they know the recommendations produced by RDP.</p>	



How RF team receives information from RDP:



RF's team members receive information from RDP mostly via RF's communication channels (77%).

Not much access via RDP's website (7%).

4.5% of the replies do not receive information from RDP.

<i>[Effectiveness]</i> 2.5.8. To what extent do-ers and influencers are aware about the work of RDP?	Most Do-ers and Influencers, are not aware of RDP's work.	Medium
+Semi-structured interviews <ul style="list-style-type: none"> • Among the interviewees, the Do-ers do not know the Panel • Some NGOs know the Panel, but they are not aware of its independence and they do not receive regular information about RDP's publications. 	Do-ers and Influencers do not have much knowledge about the RDP and do not receive information regularly.	
<i>[Effectiveness]</i> 2.5.9. What is the number of media reports mentioning the Panel's work since now?	32 links to national and regional media, and 4 international media.	High
+Documental Analysis <ul style="list-style-type: none"> • IUCN Brazil clippings. <p>From June 2017 to October 2019, there is a total of 32 links to national and regional media, and 4 international media (UN Environment, BHP, a mining specialist, and IUCN), 60% of the media were produced in 2018, 28% in 2017, and 12% in 2019 (when RDP have the highest productivity rates, based on the number of publications).</p>		
<i>[Effectiveness]</i> 2.5.10. How many Influencers had replicated the Panel's work since now?	There is no data available.	
There is no data available		

<p><i>[Effectiveness]</i></p> <p>2.5.11. What is the level of integration of recommendations into the implementation of RF's programs?</p>	<p>RDP's recommendations are being incorporated in RF's programs, but data is not conclusive to assess the integration level.</p>	<p>Medium</p>
<p><u>+Semi-Structured interviews:</u></p> <p><u>IUCN</u></p> <ul style="list-style-type: none"> Regarding the modus operandi what is unclear so far is the frequency that the Renova have to tell us what they are doing with the recommendations. This is one challenge we haven't yet addressed. Regarding to TR1 (2018), for example, we don't know now in 2020 how they are still dealing with those recommendation. We don't have a mechanism in place yet. <p><u>RDP</u></p> <ul style="list-style-type: none"> In relation to communication policy, RF has not promoted the Panel's ideas. The fact that companies do not want to implement the recommendations is not an obstacle for the Panel, it is important to understand the reason why they are not being implemented. <p><u>Renova Staff</u></p> <ul style="list-style-type: none"> "Besides TR 1, only IP4 is being used by RF" A RF staff member, when questioned about the feedback chart, answered that in view of the lack of a clear positioning in relation to the recommendations that are out of RF's governability, i.e., depend on a CIF's decision, RF adopts category 2 or 3. <p><u>Survey - Open answers regarding suggestions for the RDP:</u></p> <p><u>Renova Survey (open answers):</u></p> <ul style="list-style-type: none"> Some of the recommendations, however, converge with what was already executed or planned by the teams. Currently, recommendations are vague and do not direct the team towards an effective decision making. 	<p>MEL system needs to improve the tracking system to detect the cause-effect between the presentation of RDP's recommendations and the adoption of those recommendations.</p>	

- Most of the time recommendations are too broad, losing the practical aspect.

CIF Survey (open answers):

- First of all, they could not be 6 months late. Last time I have heard, the recommendations presented have already being presented 6 months earlier by the CIF. They could organize regular meetings between members of the Panel and CIF system coordination.
- Recommendations need to dialogue more with the agendas and points of disagreement within program monitoring. It is necessary to be less generic.
- The Panel, it seems to be very capacitated, however, your recommendations usually have already been made some 6 months ago by the CIF system/technical chambers, you should have monthly meetings with the coordinators of the technical chambers, which are operational arms of the CIF system. Otherwise they will be of little use.

+Document Analysis:

RF's feedback chart points out about the recommendations that RDP provided 20 recommendations to RF.

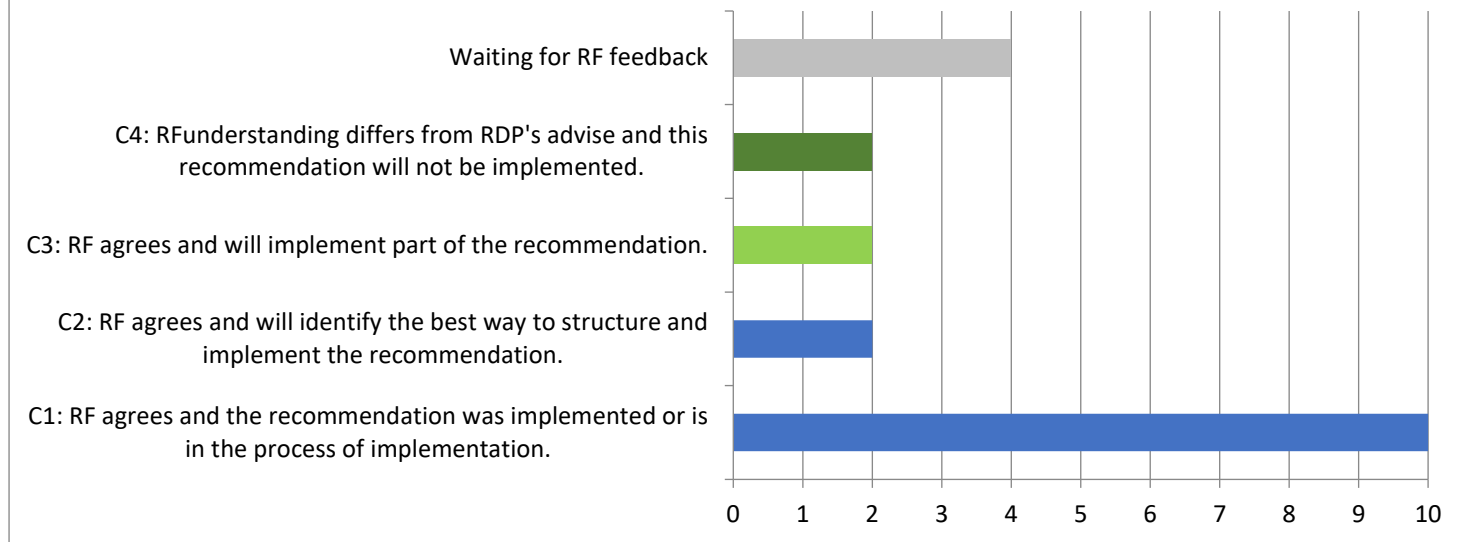
Categories	Number of Recommendations Provided	Comments
C1: RF agrees and the recommendation was implemented or is in the process of implementation.	10	16 out of 20 recommendations were evaluated by RF. RF totally agree with 12 of the 16 revised recommendations.
C2: RF agrees and will identify the best way to structure and implement the recommendation.	2	
C3: RF agrees and will implement part of the recommendation.	2	RF partially agree with 2 of the 16 revised recommendations.
C4: RF understanding differs from RDP's advise and this recommendation will not be implemented.	2	RF will not implement 2 of the 16 revised recommendations.
Waiting for RF feedback	4	RF did not give feedback on 4 of the 20 recommendations provided.
	20	

12 out of the 20 recommendations (63%) delivered by the Panel are implemented or being implemented, according to RF Feedback Categories.

4 out of 20 recommendations wait feedback.

The feedback chart presents some inconsistencies that need to be investigated.

Renova Foundation Feedbacks on the RDP Recommendations implementation



Categories' analysis:

When combining two categories (“implemented” and “in process of implementation”) the feedback generates a double interpretation, since these are two separate categories (implemented and “in process of implementation”).

Category 2 demands a periodic follow up, since there is established timing for incorporation: “RF will identify the best way to structure and implement the recommendation”.

Analysis of the recommendation feedback chart:

The evaluation team did a non-exhaustive analysis of RF’s feedback and found evidences that the tool needs a follow up to verify its relevancy. Examples below:

Recommendation 1 states that: *“The recommendation is in the process of being implemented ... The biggest challenge is the lack of data from before the dam failure to use as a baseline. The Impact Curatorship is considering a partnership with a renowned Brazilian university for methodological support...”*

Overall, it is necessary to qualify the inclusion of recommendations in the respective category. Regarding category 1, e.g., the triangulation of information showed that not always the implementation starts with the RDP work, it could happen before to the elaboration or delivery of the recommendation.

One of the results of the interview show that RF only took ownership, in fact, of 2 products (1 and 4)

Comment: Based on the response it is not clear if this recommendation is being implemented (category 1), or if RF is looking for means to implement it (category 2).

Recommendation 2 states that: *“Carry out an integrated evaluation of outcomes of the mitigation programs” to what RF responds: “Program integration is already underway, as greater integration across programs is inevitable in order to advance in meeting the requirements set forth by the TTAC and carrying out the repair work. The fact that the TTAC focuses on programs and the way the Governance System is organized, with different Technical Chambers that sometimes deliberate on the same subject, is one of the factors standing in the way of integration. An integrated assessment of program results is also part of the scope of the Impact Curatorship.”*

Comment: no concrete example is given. A deeper analysis is needed to assess recommendation’s implementation as previous cited.

Recommendation 3 states that: *“Identify threats to sustainability and resilience of mitigation outcomes and address them”.* RF answers: *“Risk management is carried out for the different areas at Renova; the analysis of threats to resilience is a practice that has been adopted by many programs. The Sustainable Land Use Management, for example,...”*

Comment: It also seems here that the recommendation was already being implemented before being presented by RDP.

Recommendation 5: RF chose category 1, but highlights that it is already being implemented and it is a CIF responsibility. In the CIF survey, one of the members noted that some RDP recommendations have already been made by CIF.

Inputs from the Rio Doce Panel: 2018 Annual Monitoring and Learning report

The document uses rubrics to define high, medium and low levels of performance for result areas 1-3. Each result area includes criteria to define different levels of performance based on the delivery and quality of the projects, and on the recommendations uptake. By crossing the feedback table with this performance level and criteria the conclusion is that the RDP has high Performance (63% - 10 out of the 16 recommendations are implemented). However, both the Feedback mechanism and the MEL tracking, mainly, need improvements.

The RF’s feedback table seems do not coincide with RF’s perception and level of satisfaction with RDP’s performance.

Categories	Number of Recommendations Provided	Comments
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C1: RF agrees and the recommendation was implemented or is in the process of implementation.	10	RF totally agree with 12 of the 16 revised recommendations.		
C2: RF agrees and will identify the best way to structure and implement the recommendation.	2			
C3: RF agrees and will implement part of the recommendation.	2	RF partially agree with 2 of the 16 revised recommendations.		
C4: RF understanding differs from RDP's advise and this recommendation will not be implemented.	2	RF will not implement 2 of the 16 revised recommendations.		
Waiting for RF feedback	4	RF did not give feedback on 4 of the 20 recommendations provided.		
	20			
<p>+Renova Survey</p> <p>When questioned if they were aware of RF programs that incorporated Panel's recommendations, out of 32 replies, 12 were no (37%) and 20 were yes, mentioning the following programs:</p> <ul style="list-style-type: none"> • Key programs related to the Rio Pequeno dam in Linhares, such as water, fishing, infrastructure, biodiversity, and dialogue • Resuming agricultural and fishing activities (3 references) • Program to resume agriculture and ranching activities over the recommendation of creating a baseline • Socialenvironmental program • Health program • Youth projects • Water quality • Participation in Social Development • PA reinforced the landscape approach in the (other 3 references to the Sustainable use of land program) • Economy and Innovation <p>Impact curatorship (2 references) was also mentioned.</p>			20 respondents reported 12 program occurrences incorporating the RDP recommendations.	
<p><i>[Effectiveness]</i></p> <p>2.5.12. What factors have contributed to accelerate or hinder the uptake of the RDP recommendations by its targeted audience(s)</p>			A lack of interaction with other stakeholders, beyond RF,	High

	<p>hindered the uptake of the recommendations. It was the most relevant result found that hampers the adoption of the recommendations.</p> <p>The governance issues and conflicts, as a whole, fill the agenda significantly and affect on the long-term vision.</p>	
<p><u>+Semi-structured interviews</u></p> <p><u>RF Staff</u></p> <ul style="list-style-type: none"> • The Panel does not have the proximity or relationship intensity with RF staff to propose solutions. There is a high risk of the Panel propose improper solutions, such as in the Juparanã dam case. • RDP's and RF's narratives do not converge, as it was explained during the Panel presentation using the "crashed car" metaphor, RF's reparation vision is to deliver a better car, as mentioned by the Panel's representative. The Panel's "lens" is much bigger than RF's. They encompass broader issues. • Panel's vision is excessively focused on RF, whereas the decision-making process lies outside RF. • Lack of engagement with other stakeholders. • Lack of investment in communications. <p><u>Policy-Makers and Regulators:</u></p>	<p>Lack of interaction with other stakeholders beyond RF, was the most relevant result found that hampers the adoption of the recommendations</p> <p>The governance issues and conflicts, as a</p>	

<ul style="list-style-type: none"> • There is a conflict between RF’s Curator Council and CIF’s plenary – it is strategic to solve this conflict. CIF’s president should participate in the Curator Council meetings and vice-versa. In the Curator Council the tone is given by the sponsoring companies. RF had 2 agendas to take care of (CIF’s and the Curator Council’s) that generated demands. Now they have a third agenda, which is defined by the justice. • In governance it is necessary to look at the cities and recommend what can be done locally. The city teams do not get involved. In Espirito Santo, there are very few mayors and city managers participating. There are some mayors that do not recognize their cities as affected, and some mayors have no clue about mobilization. Governance reaches the states, but not the cities. There is an integration issue in all levels. • “The most pressing issue is to make a discussion/product analysis. The prosecutor’s office advisors manage to go deeper analyzing the recommendations they bring, just like the counterevidence, but it takes too long to get an answer from them, and always very cautious. “IUCN” participates in a more equidistant way than an organization with a fixed set of rules [such as the public prosecutor’s office]. I believe that the CIF system and RF are not fully using this potential. IUCN tries to make a broad hearing process. They re-affirm the saying of other actors: the fishing issue, the importance of diagnostics before resuming fishing, the need to portray what is happening. When the panel speaks, they bring in other practices. I did not have preparation to deal with a disaster, I was prepared to deal with risk. That is the panels main differential. If they could draft, edit and deliver in a more agile fashion, it would be excellent. • I do not see a way out in relation to the antagonism between the Curator Council and CIF. The TTAC brings the possibility of establishing a panel when there were divergences, but that was not implemented. Judicialization is taking over the role, with its experts in the specialists` panel, which we, as CIF, did not manage to implement. • We have to root for Renova's success, for the good of those affected. If it remains in the hands of justice, the chances of broader reparation and fairer compensation are lessened. 	<p>whole, fill the agenda significantly and affect on the long-term vision.</p>	
<p>+RDP Survey:</p> <p>When asked “what could be improved in the project management to ensure the RDP project sustainability?” all the replies somehow or other suggested greater stakeholder’s engagement as something missing to RDP that could bring more sustainability to the project:</p> <ul style="list-style-type: none"> • The lead of the panel should have been someone with greater experience in Brazilian environmental policy and practice. Because she had little experience or contacts in Brazilian society, nor spoke Portuguese, there was a hesitancy and timidity about taking initiatives that might "rock the boat". As a result, an opportunity was lost to 		

<p>engage Brazilian environmental leaders to construct innovative solutions like those of "green municipalities" in the Eastern Amazon region</p> <ul style="list-style-type: none"> • Stronger connection on a regular basis with RF's decision makers • More contact with stakeholders • A better connection to other stakeholders besides RF • Provoke resources for support to fieldwork by students and technical staff 		
<p>+Renova Survey:</p> <ul style="list-style-type: none"> • Currently, recommendations are broad and do not guide the team towards an effective decision making. • Late and disconnected recommendations in relation to the Technical Chambers discussions hampers the incorporation of these recommendations. <p>+CIF Survey:</p> <ul style="list-style-type: none"> • I do not see the participation of CIF and Technical Chambers' members in the publications. Publications have good quality but they bring such broad themes and conceptual recommendations that they have no applicability in improving disaster management or improving the quality of life of the affected population. The publications, in the way they are currently made, are not of much interest to CIF members because they do not bring practical help. • The recommendations need more dialogue with the agendas and divergence points within program monitoring. It is necessary to be less generic. • RDP's results will be perceived only after all the affected population be recognized and all the issues related to registration are overcome. 		
<p>2.6. Efficiency</p>	<p>Findings</p>	<p>Strength of evidence</p>
<p>KEY QUESTION: TO WHAT EXTENT ARE THE RDP OUTPUTS IN BALANCE WITH THE LEVEL OF EFFORT, TIME AND RESOURCES SPENT?</p>	<p>There is a disparity between the resources (human,</p>	<p>High</p>

	<p>financial and time) invested and the results achieved, despite the notorious knowledge shown in the profiles, and the recognition of the Panel members among the stakeholders who contributed to this assessment.</p> <p>The learning curve of IUCN and RDP and the hiring of a local M&E specialist need to be highlighted, as they are elements that tend to mark the achievements in 2020. The potential to improve the efficiency rates is latent.</p>	
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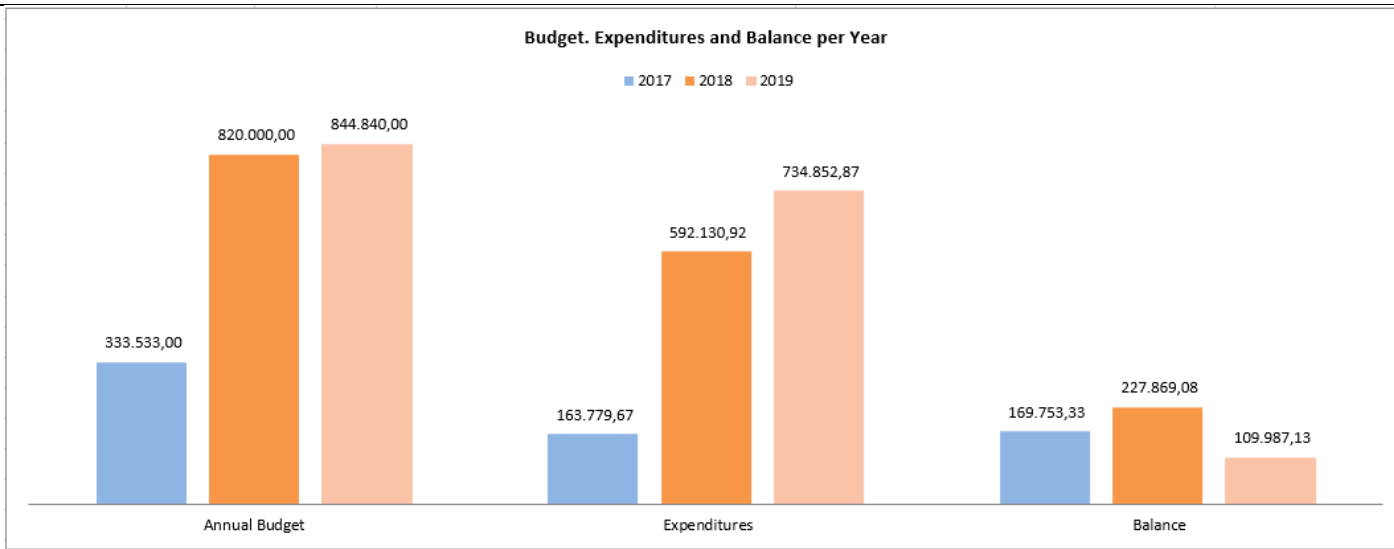
<p>[Efficiency]</p> <p>2.6.1. Have project spending and delivery progressed according to the planned schedule (the main commitments, e.g. Communication and Fees)?</p>	<p>The RDP capacity to deliver the plan seems to be overestimated;</p> <p>Regarding the budget forecast, since the beginning, important commitments were underestimated and are not aligned with the strategic project documents (e.g. communications costs, which is key to the TOC).</p>	<p>High</p>
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<p><u>+Semi-structured interviews:</u></p> <p><u>IUCN and RDP</u></p> <ul style="list-style-type: none"> • “Panels are expensive; thus, it is important that the contracting parties should be satisfied with the quality of Panel results. The RDP is working to apply a more deliberative approach.” • The 2020 launch pipeline is more timid than last year, but more realistic. • The main challenge is involving all RDP members in the work and mobilization because each one has a different agenda and speed of response. <p><u>Renova Staff and Consultants:</u></p> <ul style="list-style-type: none"> • Regarding efficiency and accountability: “This is a dear and expensive Panel to the Renova” (the interviewee used the word “caro” that in Portuguese has both meanings of “dear” and “expensive”). • To define accountability to an independent Panel is not simple. 	<p>Both IUCN and RF agrees that RDP project is a high investment, technically and financially. However, improvements should be done to increase the efficiency.</p>	
<p><u>+Documental Analysis</u></p> <p><u>Budget and financial report analysis</u></p> <ul style="list-style-type: none"> • The IUCN made the 2017, 2018 and 2019 Consolidated Financial Reports available to the evaluation team, as follows: <ul style="list-style-type: none"> ▪ Consolidated Annual Financial report 2017 ▪ Semi Annual Financial report 2018 ▪ Consolidated Annual Financial report 2018 ▪ Semi Annual Financial report 2019 ▪ Consolidated Annual Financial report 2019 • The Project Manager provided relevant information about the delivery in 2017: <ul style="list-style-type: none"> ▪ <i>The contract is in US Dollars. This has been favorable to the project as the BRL has declined against the USD;</i> ▪ <i>The budget is based upon IUCN’s experience in facilitating similar Panels, such as the Niger Delta Panel and the Western Gray Whale Advisory Panel;</i> ▪ <i>The Renova Foundation allows IUCN to follow the invoicing schedule as is stipulated in the contract, and is not based upon our expenditure;</i> 	<p>The findings are described besides, and under each graphic and table.</p>	

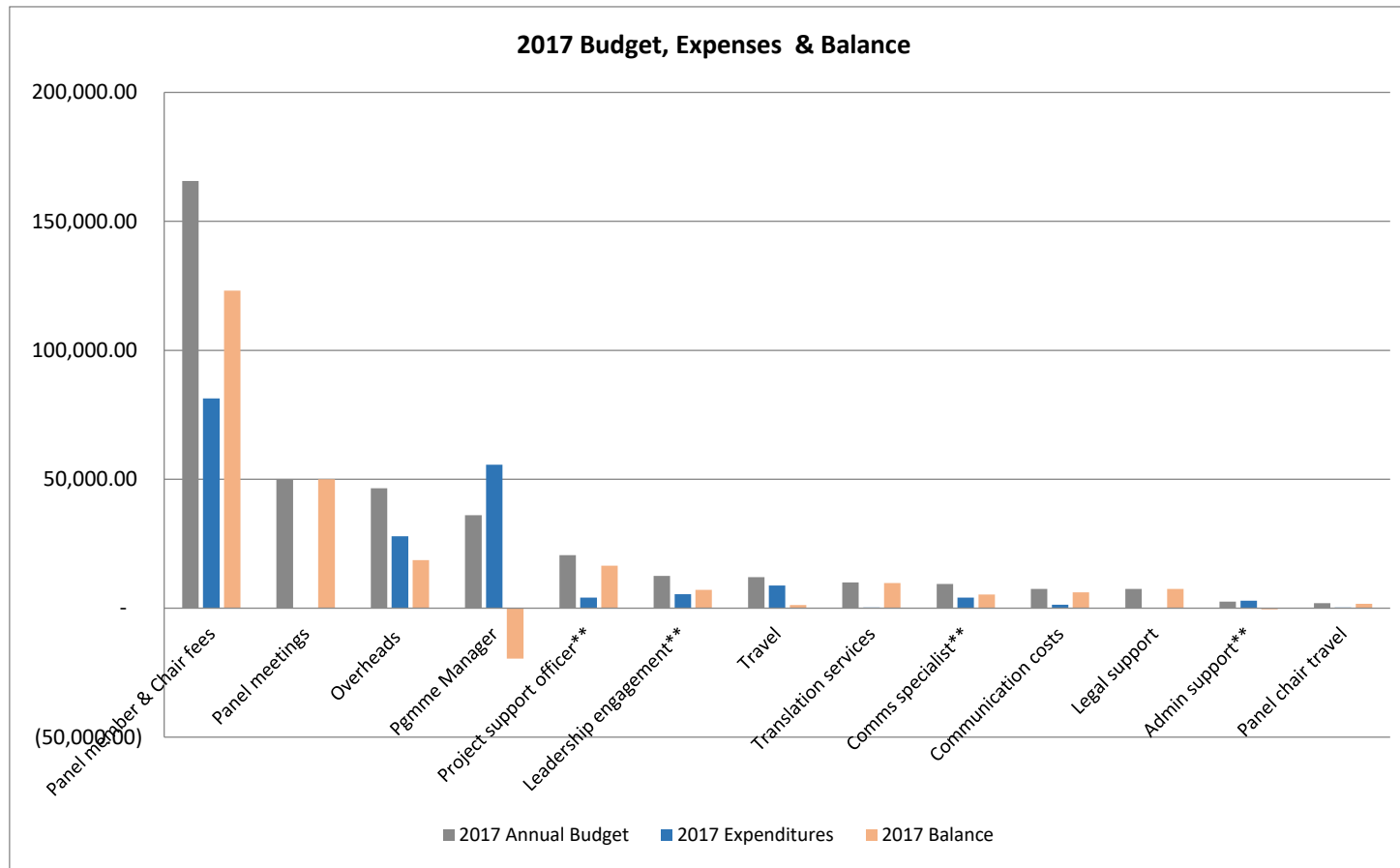
- *IUCN is carrying a surplus, which has been agreed with the Renova Foundation to “roll over” at the contractual end of the project – meaning, if a surplus remains, IUCN will add on more time than the contractually anticipated 5 years. (An addendum to the original agreement with the Renova Foundation or equivalent financial document related to the multi-year transfer of the accumulated cash balance was not provided to the evaluators).*
- *Due to delays in finalizing the contract, the Renova Foundation directly paid for the expenses (hotel, meals, flights) for the first RDP face-to-face meeting in October 2017, and this resulted in surplus for the project;*
- *Due to delays in hiring of staff in IUCN Brazil, we had underspend in 2018.*

To support the analysis of the main budget components, five graphics and 3 tables related to each annual report were generated, as follows:

Graphic 1 - Consolidated Financial Data 2017-2019

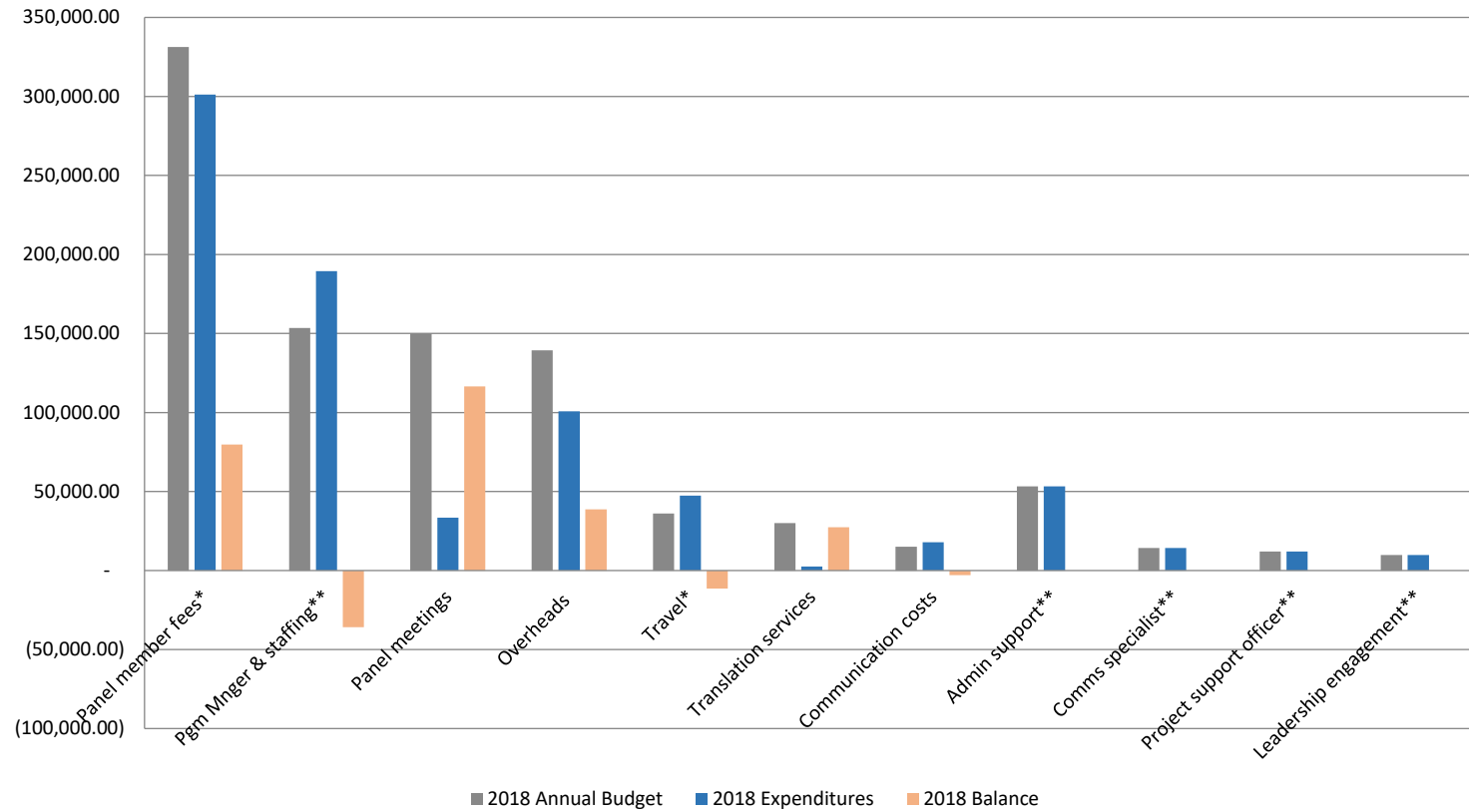


Graphic 2 – 2017 Budge, Expenses, Balance



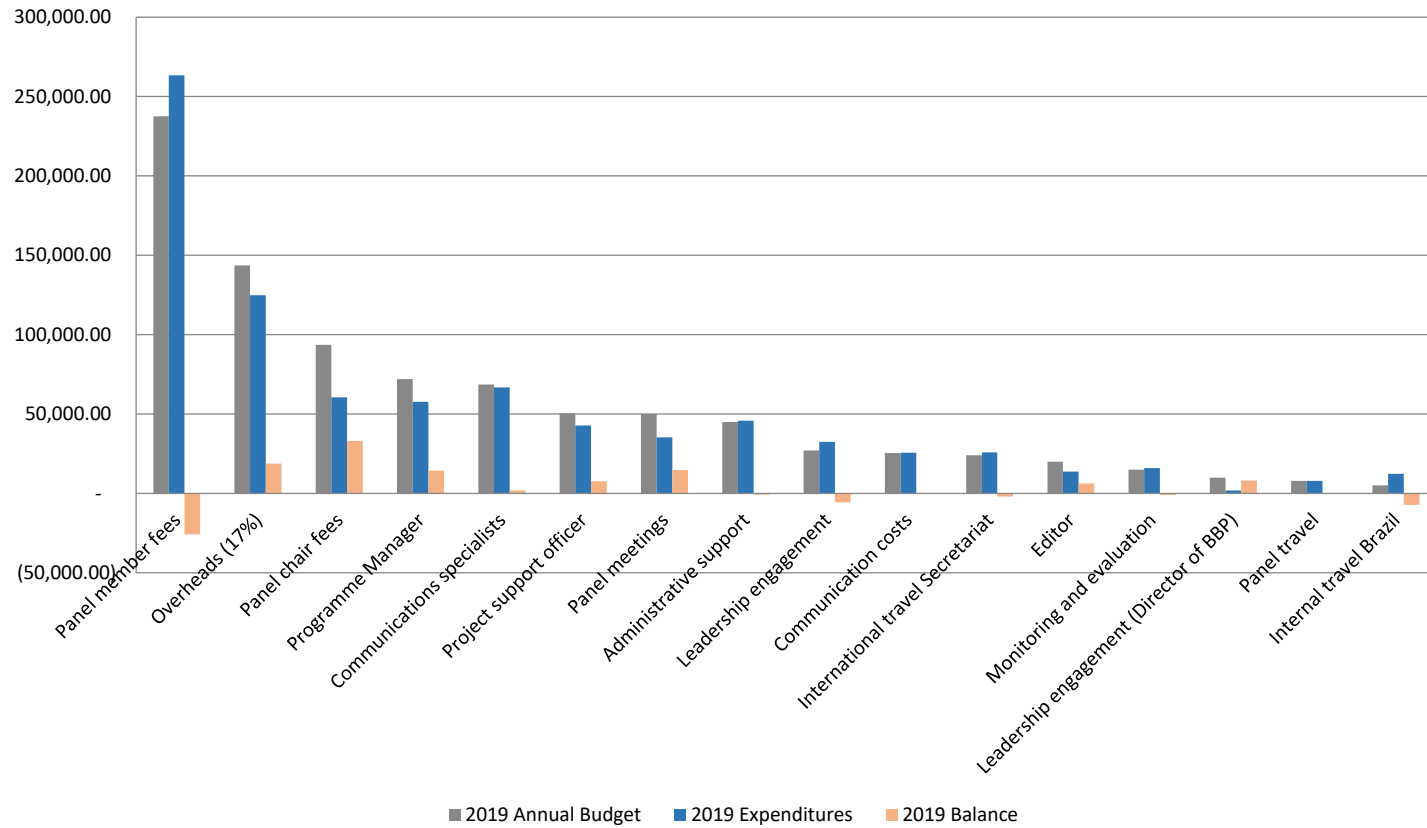
Graphic 3 – 2018 Budge, Expenses, Balance

2018 Budget-Expenses-Balance

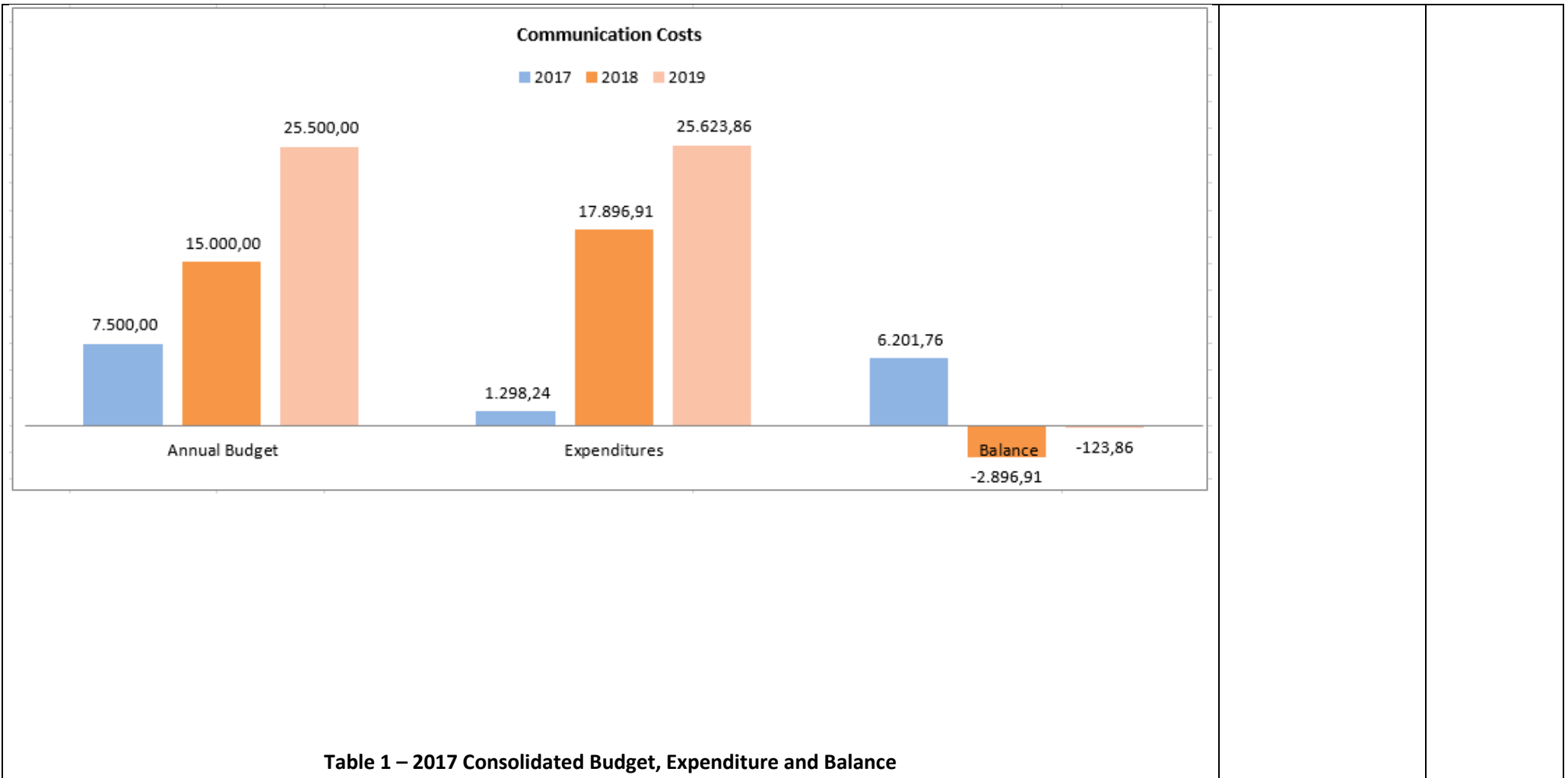


Graphic 4 – 2019 Expenditures per Component

2019 Budget - Expenditures - Balance



Graphic 5 – Communications Costs 2017-2019



Budget Component Description	2017 Annual Budget	Percentage (Budget Component x Annual Budget)	2017 Expenditures	Percentage (Annual Budget x Expenditures)	2017 Balance	PA code
Panel member & Chair fees	165.600,00	50%	81.344,39	49%	123.106,39	PA02516.02&01
Panel meetings	50.000,00	15%	-	0%	50.000,00	PA02516.04
Overheads	46.467,00	14%	27.842,54	60%	18.624,46	PA02516.OH
Pgmme Manager	36.000,00	11%	55.594,39	154%	- 19.594,39	PA02516.06
Project support officer**	20.533,00	6%	4.057,36	20%	16.475,64	PA02617.07
Leadership engagement**	12.500,00	4%	5.419,59	43%	7.080,41	PA02516.08
Travel	12.000,00	4%	8.809,05	73%	1.190,95	PA02516.13
Translation services	10.000,00	3%	264,73	3%	9.735,27	PA02516.03
Comms specialist**	9.400,00	3%	4.050,00	43%	5.350,00	PA02516.10
Communication costs	7.500,00	2%	1.298,24	17%	6.201,76	PA02516.11
Legal support	7.500,00	2%	-	0%	7.500,00	PA02516.12
Admin support**	2.500,00	1%	2.941,92	118%	- 441,92	PA02516.09
Panel chair travel	2.000,00	1%	264,73	13%	1.735,27	PA02516.05
SUBTOTAL	333.533,00	100%	163.779,67	49%	169.753,33	
GRAND TOTAL	380.000,00	114%	191.622,21	50%	188.377,79	

Main observations on the 2017 consolidate financial report:

- 50% of the total budget was spent. Some considerations on this should be expressed: 2017 was the first year of implementations; The Project Manager upfronted observations.
- Over expenses or under estimated forecasting on two components: Administrative support and staffing;
- No planned budget for staffing. All budget in Programme Manager line;
- Strategic plan versus Budgeting aspects: 17% provisioned for Overhead; 4% for Travel; 3% for Translation; 2% for general communication costs (a breakdown of this component should be provided);

Table 2 – 2018 Consolidated Budget, Expenditure and Balance

Budget Component Description	2018 Annual Budget	Percentage (Budget Component x Annual Budget)	2018 Expenditures	Percentage (Annual Budget x Expenditures)	2018 Balance	PA code
Panel member fees*	331.200,00	35%	301.198,43	91%	79.676,25	PA02516.02
Pgm Mnger & staffing**	153.548,05	16%	-	0%	153.548,05	PA02516.06
Panel meetings	150.000,00	16%	33.507,23	22%	116.492,77	PA02516.04
Overheads (17%)	139.400,00	15%	100.662,26	72%	38.737,74	PA02516.OH
Admin support**	53.266,44	6%	53.266,44	100%	-	PA02516.09
Panel chair fees*	49.674,68	5%	49.674,68	100%	-	PA02516.01
Travel*	36.000,00	4%	47.473,36	132%	- 11.473,36	PA02516.13
Translation services	30.000,00	3%	2.588,15	9%	27.411,85	PA02516.03
Legal support	15.000,00	2%	-	0%	15.000,00	PA02516.12
Communication costs	15.000,00	2%	17.896,91	119%	- 2.896,91	PA02516.11
Comms specialist**	14.190,91	1%	14.190,91	100%	-	PA02516.10
Project support officer**	11.978,84	1%	11.978,84	100%	-	PA02617.07
Leadership engagement**	9.815,76	1%	9.815,76	100%	-	PA02516.08
Panel chair travel	6.000,00	1%	20.511,27	342%	- 14.511,27	PA02516.05
SUBTOTAL	820.000,00	85%	592.130,92	72%	227.869,08	
GRAND TOTAL	959.400,00	100%	692.793,18	72%	266.606,82	

Main observations on the 2018 consolidate financial report:

- 72 % of the total budget was spent.
- Over expenses or under estimated forecasting on three components: Panel chair travel; Communication costs; and (other) Travel;
- A repetition: no planned budget for staffing. All budget in Programme Manager line;
- Strategic plan versus Budgeting aspects: 17% provisioned for Overhead; 6% for Admin; 5% for (all) travel; 3% for Translation; 2% for general communication costs (a breakdown of this component should be provided);

Table 3 – 2019 Consolidated Budget, Expenditure and Balance

Budget Component Description	2019 Annual Budget	Percentage (Budget Component x Annual Budget)	2019 Expenditures	Percentage (Annual Budget x Expenditures)	2019 Balance	PA code
Panel member fees	237.600,00	28%	263.392,50	111%	- 25.792,50	PA02516.02
Overheads (17%)	143.622,80	17%	124.924,99	87%	18.697,81	H
Panel chair fees	93.600,00	11%	60.450,00	65%	33.150,00	PA02516.01
Programme Manager	72.000,00	9%	57.737,84	80%	14.262,16	PA02516.06
Communications specialists	68.640,00	8%	66.713,31	97%	1.926,69	PA02516.10
Project support officer	50.500,00	6%	42.878,00	85%	7.622,00	PA02617.07
Panel meetings	50.000,00	6%	35.234,94	70%	14.765,06	PA02516.04
Office costs, Brazil	46.000,00	5%	12.871,97	28%	33.128,03	PA02516.21
Administrative support	45.000,00	5%	45.776,41	102%	- 776,41	PA02516.09
Leadership engagement (Total)	37.000,00	4%	32.576,31	88%	- 5.576,31	PA02516.08
Travel	37.000,00	4%	25.878,25	70%	- 1.878,25	PA02516.13
Communication costs	25.500,00	3%	25.623,86	100%	- 123,86	PA02516.11
External evaluation	25.000,00	3%	-	0%	25.000,00	PA02516.15
Editor	20.000,00	2%	13.804,97	69%	6.195,03	PA02516.16
Monitoring and evaluation	15.000,00	2%	15.976,59	107%	- 976,59	PA02516.19
Translation services	13.000,00	2%	3.447,15	27%	9.552,85	PA02516.03
Leadership engagement (Director of BBP)	10.000,00	1%	1.941,51	19%	8.058,49	PA02516.20
Panel travel	8.000,00	1%	7.988,15	100%	11,85	PA02516.05
Equipment	7.000,00	1%	10.119,54	145%	- 3.119,54	PA02516.18
Internal travel Brazil	5.000,00	1%	12.267,76	245%	- 7.267,76	PA02516.14
Peer review	2.000,00	0%	-	0%	2.000,00	PA02516.17
Legal support	-	0%	173,81	0%	- 173,81	PA02516.12
Net Budget	844.840,00	100%	734.852,87	87%	109.987,13	
Total Budget	988.462,80	100%	859.777,86	87%	128.684,94	

Main observations on the 2019 consolidate financial report:

- 87% of the total budget was spent.
- Over expenses or under estimated forecasting on three components: Monitoring and Evaluation; Administrative support, and Panel members fees;
- Differently from previous years, a staff forecast was provided;
- Strategic plan versus Budgeting aspects: 17% (or 15%?) provisioned for Overhead; 10% for Admin and premises; 4% for Travel; and a light increase for general communication costs, 2%;

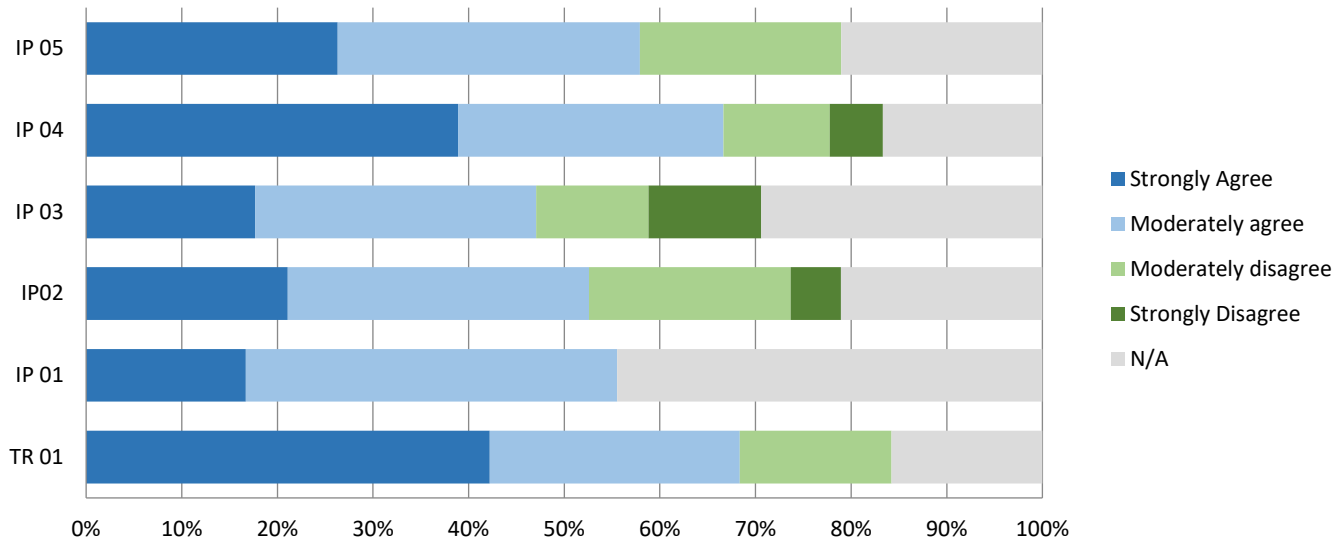
<ul style="list-style-type: none"> ▪ Not clear why Editor costs is a separate expense from communication costs (a breakdown of this component should be provided); 																		
<p><i>[Efficiency]</i> 2.6.2. To what extent are the fees paid to the Panel members compatible with the fees paid by other international agencies for the same level of expertise (e.g. World Bank, UNDP)?</p>	<p>Based on the rates used by two institutions of the United Nations system, it seems that the fees paid to the RDP are within the average value practiced internationally.</p>	<p>Medium</p>																
<p>+Documental Analysis</p> <p><u>International fee references for experts</u></p> <p><u>VALUE FOR MONEY</u></p> <table border="1" data-bbox="109 954 1240 1313"> <thead> <tr> <th>Degree of expertise</th> <th><u>UNDP (Daily Fee)</u></th> <th><u>UN Woman (Daily Fee)</u></th> <th><u>IUCN⁶³</u></th> </tr> </thead> <tbody> <tr> <td>Junior Specialist</td> <td>\$200-350</td> <td>\$200-300</td> <td>No reference provided</td> </tr> <tr> <td>Specialist</td> <td>\$350-650</td> <td>\$300-550</td> <td>No reference provided</td> </tr> <tr> <td>Senior specialist</td> <td>\$650-1,350</td> <td>\$550-1000</td> <td>\$1100 - 1300</td> </tr> </tbody> </table>	Degree of expertise	<u>UNDP (Daily Fee)</u>	<u>UN Woman (Daily Fee)</u>	<u>IUCN⁶³</u>	Junior Specialist	\$200-350	\$200-300	No reference provided	Specialist	\$350-650	\$300-550	No reference provided	Senior specialist	\$650-1,350	\$550-1000	\$1100 - 1300	<p>Idem</p>	
Degree of expertise	<u>UNDP (Daily Fee)</u>	<u>UN Woman (Daily Fee)</u>	<u>IUCN⁶³</u>															
Junior Specialist	\$200-350	\$200-300	No reference provided															
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⁶³ Panel members' fee are based on their honorary proposals, which were required to the candidates as part of the Panel selection process.

2.7. Relevance	Findings	Strength of Evidence
<p>KEY QUESTION: HOW RELEVANT IS THE RDP, AND IN PARTICULAR, ITS RECOMMENDATIONS, ADVICE AND OTHER OUTPUTS TO RF?</p>	<p>RF considers RDP's work as a relevant contribution, despite the fact that significant adjustments need to be made.</p>	<p>High</p>
<p><i>[Relevance]</i></p> <p>2.7.1 To what extent does RF consider the RDP recommendations as a relevant contribution?</p>	<p>Idem</p>	<p>High</p>
<p>+Semi-structured Interviews</p> <p>When questioned about the best scenario for RDP, all interviewees (Directors, consultants, and RF staff) said that RDP work is relevant but needs significant adjusts in timing, prioritization and engagement, in order to continue collaborating with RF.</p> <p>The worst scenario would be for RDP to lose its independent status in relation to RF.</p>	<p>RF considers RDP's work as a relevant contribution, despite the fact that significant adjustments need to be made.</p>	
<p>+ Survey</p>	<p>62% agree that RDP's work is relevant for the RF.</p>	

<p style="text-align: center;">Renova</p> <table border="1"> <caption>Survey Results for Renova</caption> <thead> <tr> <th>Statement</th> <th>Strongly Agree</th> <th>Moderately agree</th> <th>Moderately disagree</th> <th>Strongly Disagree</th> <th>N/A</th> </tr> </thead> <tbody> <tr> <td>The products of the Rio Doce Panel have high technical and scientific quality.</td> <td>45%</td> <td>33%</td> <td>15%</td> <td>7%</td> <td>0%</td> </tr> <tr> <td>The RDP work is relevant for the Renova Foundation</td> <td>32%</td> <td>30%</td> <td>28%</td> <td>10%</td> <td>0%</td> </tr> </tbody> </table>	Statement	Strongly Agree	Moderately agree	Moderately disagree	Strongly Disagree	N/A	The products of the Rio Doce Panel have high technical and scientific quality.	45%	33%	15%	7%	0%	The RDP work is relevant for the Renova Foundation	32%	30%	28%	10%	0%		<p>78% agree that RDP's products have high technical and scientific quality.</p>	
Statement	Strongly Agree	Moderately agree	Moderately disagree	Strongly Disagree	N/A																
The products of the Rio Doce Panel have high technical and scientific quality.	45%	33%	15%	7%	0%																
The RDP work is relevant for the Renova Foundation	32%	30%	28%	10%	0%																
<p><u>RDP product evaluation</u></p> <p>Out of 48 replies, 19 decided to evaluate RDP's products, expressing their opinion about the level of agreement in relation to the statement: "The product analyzed presents high technical and scientific quality and represents a significant contribution for designing RF's programs".</p>	<p>TR1 is the product with the best evaluation, with 68% agreement on its quality and 16% moderately disagree, 44% N/A.</p> <p>IP4 has 67% agreement on its quality and 17% disagreement (6% strongly disagree).</p> <p>IP1 has 56% of agreement on its</p>																				

Renova Evaluation
"O produto em questão apresenta alta qualidade técnica e científica e representa uma contribuição significativa para o desenho dos programas da Fundação Renova"



quality and no disagreement.

IP5 has 58% agreement on its quality and 21% moderately disagreement.

IP2 has 53% agreement on its quality and 26% disagreement (5% strongly disagree).

IP3 has 47% agreement on its quality and 24% disagreement (12% strongly disagree), 29% N/A.

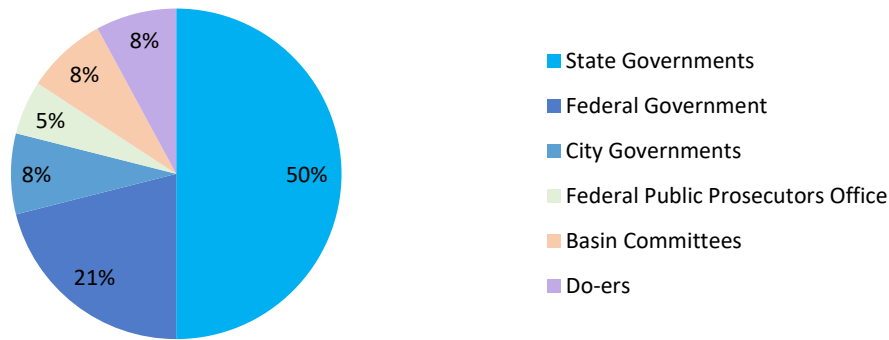
KEY QUESTION: HOW RELEVANT IS THE RDP, AND IN PARTICULAR ITS RECOMMENDATIONS, ADVICE AND OTHER OUTPUTS TO REGULATORS AND POLICY MAKERS?

There is no conclusive information to answer.

High

	Apparently, few policymakers and regulators know the RDP's recommendations and products.	
<p><i>[Relevance]</i></p> <p>2.7.2 To what extent do Policy Makers and Regulators consider the RDP recommendations as a relevant contribution?</p>	Policymakers and regulators do not know RDP work, thus cannot effectively evaluate its relevance.	High
<p><u>+Semi-structured Interviews</u></p> <p><u>Policymakers and Regulators</u></p> <ul style="list-style-type: none"> • All interviewees expressed interest in having more engagement with RDP, and questions about how to promote it. • The RDP's recommendations are exposed at a prominent place of the CIF Secretariat, but they are not considered priority documents. • RF does not mention RDP's recommendations in the Technic Chambers, nor in the CIF meetings. • The CIF Secretariat does not know how to interact with the Panel, but see positively a forthcoming with them. • The interviewees from the Minas Gerais government stated that they had used one of the RDP recommendations in a study for the Technical Chamber about environmental impacts. • The RDP can contribute with federal and state governments to create guidelines on mining activities and how to ensure that dam collapse, such as those in Mariana and Brumadinho, do not recur. • The greatest contribution o RDP is to encourage a broader perspective for the Rio Doce Basin ecosystem over the long term, given that the focus of actors directly involved is completely absorbed by the immediate needs of the reparation process 	Policymakers and regulators have interest on interacting with RDP.	
<p><u>+CIF Survey</u></p> <p>Among the CIF respondents, 26 of the 38 are members of CIF Technical Chambers (68%), with 16 members, and 10 technical chamber coordinators.</p>	IP2 was evaluated by all respondents, with a 60% agreement.	

CIF Respondents



Only 18% (7 out of 38) replies were willing to evaluate the quality of RDP’s products, even though more than 70% said that they were aware of the Panel’s recommendations. Apparently, few interviewees in fact delve into RDP’s recommendations: the answer “I am aware of RDP’s recommendations” not necessarily means that they knew, read or used the recommendations.

All 7 respondents are members, or coordinators, in the Technical Chambers – a signal of the interest of this group of stakeholders in RDP’s work. Another group interested in RDP’s work are the members of the Hydrographic Basin Committee

TR1 had the lowest mark: 50% moderately disagree of its quality and 17% did not provide an opinion.

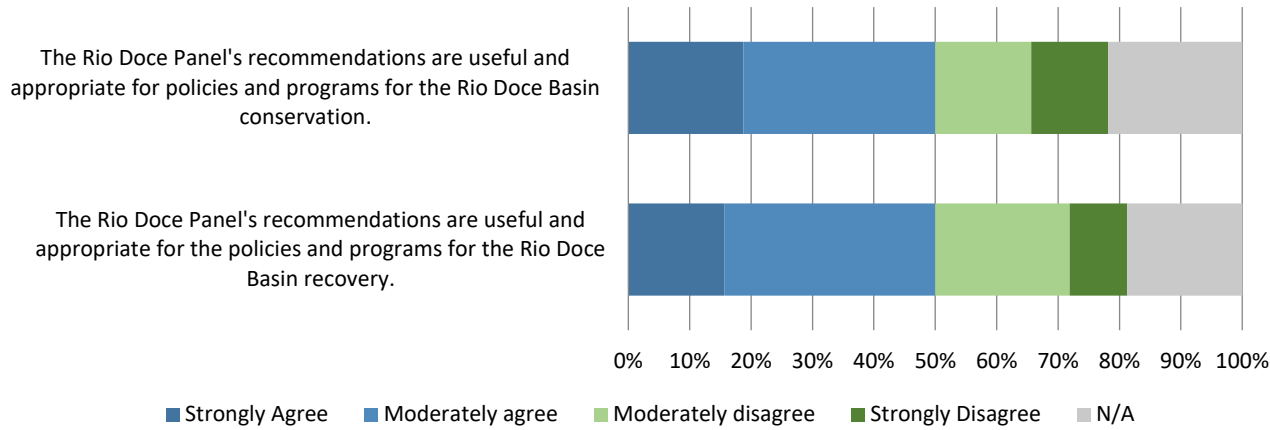
IP3, IP4, and IP5 received a positive evaluation from 40% of the respondents, however with a high level of N/As.

Considering the low number of respondents that evaluated the products, the data above are inconclusive.

<p style="text-align: center;">CIF Survey</p> <table border="1"> <caption>Approximate data from CIF Survey chart</caption> <thead> <tr> <th>Item</th> <th>Strongly Agree</th> <th>Moderately agree</th> <th>Moderately disagree</th> <th>Strongly Disagree</th> <th>N/A</th> </tr> </thead> <tbody> <tr> <td>IP 05</td> <td>20%</td> <td>20%</td> <td>0%</td> <td>20%</td> <td>40%</td> </tr> <tr> <td>IP 04</td> <td>0%</td> <td>40%</td> <td>0%</td> <td>20%</td> <td>40%</td> </tr> <tr> <td>IP 03</td> <td>0%</td> <td>40%</td> <td>40%</td> <td>0%</td> <td>20%</td> </tr> <tr> <td>IP02</td> <td>20%</td> <td>40%</td> <td>20%</td> <td>20%</td> <td>0%</td> </tr> <tr> <td>IP 01</td> <td>0%</td> <td>40%</td> <td>20%</td> <td>0%</td> <td>40%</td> </tr> <tr> <td>TR 01</td> <td>0%</td> <td>33%</td> <td>50%</td> <td>0%</td> <td>17%</td> </tr> </tbody> </table>	Item	Strongly Agree	Moderately agree	Moderately disagree	Strongly Disagree	N/A	IP 05	20%	20%	0%	20%	40%	IP 04	0%	40%	0%	20%	40%	IP 03	0%	40%	40%	0%	20%	IP02	20%	40%	20%	20%	0%	IP 01	0%	40%	20%	0%	40%	TR 01	0%	33%	50%	0%	17%			
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<p>KEY QUESTION: TO WHAT EXTENT IS THE PANEL COMPOSITION FIT-FOR PURPOSE?</p>		<p>Item 2.3.2 brings inputs that answer this question.</p>	<p>Medium</p>																																										
<p><i>[Relevance]</i></p> <p>2.7.3 To what extent the academic and professional profile of the Panel members are suited to the long-term objectives of the project?</p>		<p>Idem</p>																																											
<p>KEY QUESTION: HOW RELEVANT IS THE RDP AND, IN PARTICULAR, ITS RECOMMENDATIONS, ADVICE AND OTHER OUTPUTS TO THE CONSERVATION GOAL OF RESTORING THE RIO DOCE BASIN?</p>		<p>RF agrees that RDP's work contribute to the conservation goal</p>	<p>Medium</p>																																										

	<p>of restoring the Rio Doce basin.</p> <p>Regarding other key Basin's stakeholders, there is no enough data.</p>	
<p><i>[Relevance]</i></p> <p>2.7.4 To what extent do CIF and RF perceive the contribution of RDP to the conservation goal of restoring the Rio Doce basin?</p>	<p>RF agrees that RDP's work contribute to the conservation goal of restoring the Rio Doce basin.</p> <p>The high percentage of N/A at CIF Survey can indicate that this group can not effectively evaluate the relevance of RDP's recommendations and outputs to the conservation goal.</p>	<p>Medium</p>
	<p>50% of CIF's members agree</p>	

CIF Survey



that RDP's recommendations are useful and appropriate for policies and programs for the Rio Doce Basin recovery and conservation. Approximately 30% disagree.

Approximately 20% of those who answered chose N/A, that might point out to a lack of awareness of the relevance of RDP's contribution.

The result above shows the data are inconclusive.

71% of RF respondents agree

<p style="text-align: center;">Renova Survey</p> <p>The Rio Doce Panel's recommendations are useful and appropriate for policies and programs for the Rio Doce Basin conservation.</p> <p>The Rio Doce Panel's recommendations are useful and appropriate for the policies and programs for the Rio Doce Basin recovery.</p> <p style="text-align: center;">0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%</p> <p style="text-align: center;"> ■ Strongly Agree ■ Moderately agree ■ Moderately disagree ■ Strongly Disagree ■ N/A </p>	<p>that the RDP's recommendations are useful and appropriate for policies and programs for the Rio Doce Basin recovery.</p> <p>85% of RF respondents agree that the RDP's recommendations are useful and appropriate for policies and programs for the Rio Doce Basin conservation.</p>	
<p>KEY QUESTION: TO WHAT EXTENT DOES THE WORK OF THE RDP ADDRESS THE PRIORITY ISSUES?</p>	<p>RDP did not find yet a convergence between its vision of priorities and RF needs.</p>	<p>Medium</p>
<p><i>[Relevance]</i> 2.7.5 To what extent does the work of the RDP address the priority issues?</p>	<p>RDP did not find yet a convergence</p>	<p>Medium</p>

	between its vision of priorities and RF needs.	
<p><u>+Semi-structured interviews</u></p> <p><u>Renova Directors, Staff, and Consultants</u></p> <ul style="list-style-type: none"> • Current topics that preoccupies RF the most: resettlements, compensations (for non-proved cases we are searching for solutions in other places in the world where examples might be available, such as honor systems, based in ethical values); water quality; non-aligned incentives; health, and waste (we believe that the best solution for the waste is to leave it where it is); subjectivity, because there is a lack of technical/scientific parameters in the discussion with stakeholders. • RDP's and RF's narratives do not converge, as it was explained during the Panel presentation: using the "crashed car" metaphor, RF's reparation vision is to deliver a better car, as mentioned by the Panel's representative. The Panel's "lens" is much bigger than RF's. They encompass broader issues. • The RF's governance model is more adequate, fair and ethical in the reparation process (in comparison with the model adopted in Brumadinho). • They [RDP] recommend work on climate change, but that is not a priority yet. What they are writing now is a further development. • RDP seems not having competencies on Governance. And <u>this</u> is the problem of RF, which is a tricephalic institution (governed by a judge, a board of trustees, a board of directors, and the CIF). The CIF proved to be dysfunctional. • "The selection of the topics to be researched is not RF's top priority. But there is a fine tuning in prioritization that would be important, with a different approach, such as, have a process that regularly would revisit the same topics and their evolution" • Even though they [RDP members] propose recommendations that have been considered relevant, some arrive when there is nothing we can do with them, because the Programs are already under way. For instance, in the case of the Juparanã dam, RDP's work dynamic was not compatible with the legal decisions' dynamics and RF's data production. And the RDP jumped the gun by launching a publication amidst a discussion it was not following, this would require much more interaction of RDP with RF's day-to-day. <p><u>Policymakers and Regulators</u></p>	<p>RF has many priorities, which demand immediate solutions, while RDP has a long-term vision. The RDP did not find yet a convergence between its vision and RF needs.</p> <p>RDP recommendations are relevant on RF opinion, but they are not in the top of RF priorities.</p> <p>RDP's theme prioritization did not consider consulting other stakeholders.</p>	

<ul style="list-style-type: none"> • When we were presented to RDP we were thrilled believing that they are people with an important knowledge, renown people that would contribute to the reparation process. The impression they leave is that RDP makes recommendations and RF only uses it to show that it has specialists working, but they do not implement or remodel the programs. • Registration – the main issue is to register people. There are some absurd cases of affected people that are not served. • RDP did critical analysis of what is being implemented or was proposed in the recuperation actions. They tried to correlate what is being done with actions that were effective in fighting other disasters. <p><u>IUCN</u></p> <ul style="list-style-type: none"> • The recovery and restoration of the Rio Doce watershed is not necessarily a conceptually straightforward issue. That could be summarized by the question “what landscape state should we be restoring back to?”. Rio Doce wasn’t a pristine landscape before the accident in Fundão. This Panel process is probably the highest profile ISTAP that IUCN has overseen (even though some at IUCN may not agree). • Panel’s added value is the integration of a landscape approach/perspective into RF’s activities. • The better name to the Priority Setting Sheet would be a filter or a selection criterion. But it is not a priority setting tool, or a mechanism to really set priorities. 		
<p>+Document Analysis</p> <p>According to the TOC analysis (see item 2.5.2), RF’s priority issues are related to reparation having as a baseline the state of the basin immediately before the Fundão dam failure. RDP’s priorities, on its turn, are related to the construction of the best environmental situation possible for the basin. Even though both are legitim, these priorities do not always converge.</p> <p>All policy-makers and regulators interviewed are aligned with RDP’s vision, even though they are probably not aware that RDP’s objective is that and not the one present on the TTAC, to which RF is legally binded to.</p> <p>According the considerations presented in item 2.5.3, which analyze RDP’s methodology and prioritization approach, it is necessary to improve the prioritization methodology.</p> <p>The way of tracking how RDP’s recommendations are being incorporated does not allow to safely evaluate the adherence of the recommendations in relation to the priority issues (item 2.8.3).</p>	<p>The lack of balance in observing the principles of ISTAPs, emphasizing independence over engagement, accountability and transparence might have led to a limited view of the priorities.</p> <p>RDP’s theme prioritization did not consider consulting other stakeholders. The method and</p>	

	approach used were not much effective.	
2.8. Sustainability	Findings	Strength of evidence
KEY QUESTION: TO WHAT EXTENT IS THE PROJECT SET UP TO DELIVER ON ITS THEORY OF CHANGE (TOC)?	The inception phase did not produce a project design coherent with the legal framework and the CIF modus operandi.	High
<i>[Sustainability]</i> 2.8.1 To what extent are the TOC understanding by RDP members, IUCN and Renova aligned?	There is no alignment of views on TOC between IUCN, RDP Members and RF.	High
+Semi-Structured Interviews <u>RDP Members</u> <ul style="list-style-type: none"> IUCN is very fond of talking about TOC, but in practice, it is unable to implement it. "You can't believe Santa Claus" ... "things return to square one". "There are changes, but there are no changes. They take a lot of time. " The TOC tries to influence RF to deal with the Basin in the long-term. To allow them to take that vision to other actors. Taking the RF to the decision-making process would be too much. 	There is no alignment of views on TOC between IUCN, RDP Members and RF. The TOC is one of the MEL blocks,	

<ul style="list-style-type: none"> • TOC is a tool used to explain the work of the RDP, but based on Focus Group’s inputs it is no longer clear about all the aspects it reports. • Theory of change's limits. It is not fully adequate for integrative and systemic analysis. It is more a practical framework than a Theory (from the open questions RDP survey). <p><u>RF Staff</u></p> <ul style="list-style-type: none"> • Due to the RF’s team turnover, not everyone at the strategic or operational levels who are related to RDP said they knew the TOC. • A key RF interviewee considers that the challenge expressed in RDP's TOC is an advocacy challenge and not a communication challenge, requiring other approaches and strategies. <p><u>RF Directors and Consultants:</u></p> <ul style="list-style-type: none"> • Two staff from strategic area participated of the TOC elaboration. • One high level staff claims to be unaware of the RDP's modus operandi and TOC. • One director state that the role of the RDP is to communicate and interact with all the stakeholders that appear in the TOC; • RDP dialogues and interacts with all stakeholders, as this is its role. <p><u>IUCN</u></p> <ul style="list-style-type: none"> • The important part of the TOC was developed during RDP 2, in March/April 2018. It was also atypical (as the project is), we started and then designed a TOC. By designing it, this makes it clear that RF was the primary audience (the most important). • The TOC is well understood by the members of the Panel. • The TOC is considered the main reference tool rather than the original agreement. • TOC is an adaptive instrument that changes over time. • TOC is a working tool for IUCN and not for RDP 	<p>however, the TOC does not consider the legal and institutional framework of the RF.</p> <p>The Target audience analysis and identification is not deeper enough and do not clarify the legal framework and the governance aspects.</p> <p>As result, the CKL is affected, and the MEL as a whole.</p>	
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<p>+Focus Group</p> <p>A Focus Group was held with Panel members during RDP6. At that time, the evaluation team had many doubts about the TOC, then a narrative was provided. So, the questions from the evaluation team also aimed at improving their understanding of TOC from the RDP's view.</p> <ul style="list-style-type: none"> • Asked about the TOC and the interaction with other stakeholder groups that appear on the TOC chart, the Panel members presented different views: some understood that the Panel's communication is made with Renova, and Renova communicates to the other groups; others appeared to be uncertain about the Accountability Line and what it means. • Some members believed that RDP's communication should be a RF task, since it is not part of the members' TORs to interact with other stakeholders, although it would be desirable for other stakeholders to become aware of the Panel's work. • RDP members appeared to not be aware of the Communication, Knowledge Framework's objectives, products, and indicators. • It is not clear to the RDP who is responsible for communication and stakeholder engagement. • The chair stated that the Panel's formal role is to advise Renova, which is the client. Based on the communication strategy, they (RF) make the material reach other stakeholders. 	<p>The RDP did not assimilate the TOC and MEL Strategy and there is no aligned vision on the TOC among the members.</p> <p>Panel members have different understandings on TOC and some said that what is expressed in the TOC chart is not clear enough.</p>	
<p><i>[Sustainability]</i></p> <p>2.8.2 Are the project strategies and actions appropriate to deliver the TOC?</p>	<p>The design of the TOC, strategies and actions are not coherent with the legal framework.</p>	<p>High</p>
<p>This question is related connected to the item 2.5.2, which includes the TOC analysis, and should be reviewed for a better understanding of the following analysis and findings.</p> <p>+Semi-Structured Interviews</p> <p><u>Policymakers and Regulators</u></p>	<p>The interviews with CIF (including the Secretariat) demonstrated that the project strategies and actions do not</p>	

<ul style="list-style-type: none"> • Renova makes the first proposition on the construction of the programs foreseen in TTAC. The CIF/Technical Chambers analyze Renova's proposal, agree or propose adjustments, and the technical chambers monitor. • The CIF was created to avoid judicialization. With the judicialization of programs, the CIF is overburdened in meeting the judge's demands for opinions and the programs under its governance are paralyzed (two CIF meetings are delayed). • - A bridge between the CIF and the RDP would be very important, with the executive secretariats of the states, not necessarily the CIF members but the people who advise them. They need to talk more about the importance of macro thinking, broader policies, changes in business procedures, these are things that do not directly serve the Technical Chambers, but are important for the country, this can be one of the important contributions of the RDP. • - It is important to see among the studies made by RDP what meets the minutiae [technical details] to pass on to the Technical Chambers, such as the document on fishing. • - The Panel should make the results of its work more public, the importance of something more macro and more strategic, which can also help in program actions. • - Within the judicial question there has been a recent movement by the Public Prosecutor's Office, and some representatives of the states, who presented some questions to the judge and said "The CIF System is not resolving these issues, Renova is not attending..." The judge said then I'll get these things for myself, with support from the CIF and CT. • - But it's generating delays and a lot of workload for the CIF and CT. There is the good side that the judge will hammer on some things that were skating, but not without a cost of work and time that ends up delaying the CIF's governance agenda. 	<p>consider appropriately RF's governance and CIF's <i>modus operandi</i>.</p> <p>CIF's key stakeholders expressed interest and openness to the IUCN, and as consequence to RDP's work.</p>	
<p><u>RF Staff</u></p>		
<ul style="list-style-type: none"> • A key RF interviewee considers that the challenge expressed in the RDP's TOC is advocacy, not a communication challenge, demanding other approaches and strategies. 		
<p><u>RF Consultants and Mining Companies</u></p>		
<ul style="list-style-type: none"> • The current scenario is not the same as 2015's. The RDP challenge is to change the scope. • RDP has no competency to evaluate Governance and this is the problem of RF, which is a "tricephalic" institution (governed by a judge, a board of trustees, a board of directors and the CIF). The Biodiversity Convention CBD points out to Governance. • The CIF proved to be dysfunctional. • RF wanted to do something one way, the government another, and the prosecutor's office in a third way. 	<p>RDP's challenge involves both advocacy and communication, but the CKL do not include enough advocacy actions.</p> <p>The IUCN and RDP's vision about the governance and</p>	

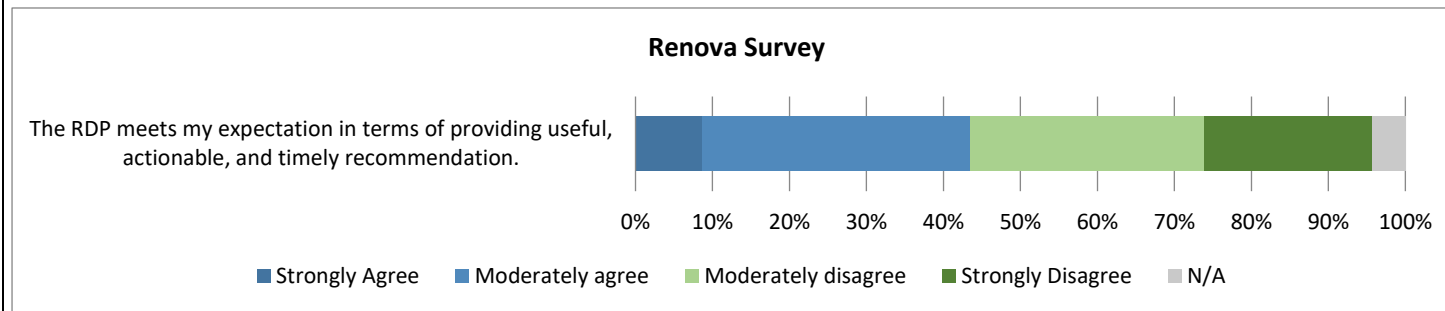
	legal framework should be updated.	
<p>+Survey RDP</p> <p>“What are the great challenges for RDP to deliver its Theory of Change?”</p> <ul style="list-style-type: none"> • Ensure that recommendations reach different technical and policy decision-makers • Reaching policymakers and affected people • The differences among stakeholders’ expectations • The willingness of RF and its Curator Board to go beyond the TTAC Programmes • TOC limits. It is not fully adequate for an integrative and systemic analysis. It is more a practical framework than a Theory. • The judicial process and confusing governance that rules the restoration • Because landholders along the river are portrayed as victims, there is no willingness from the Panel, RF or local governments to invest in the law enforcement in permanently protected areas. As a result, costly riverside restoration will be rapidly degraded as farmers continue to allow cattle into streamside areas. Long term recovery of river health depends on changing behaviors of those using the land, and no provision has been made to create permanent incentives for land use that restores river buffers, and eliminates soil erosion carrying excess nutrient loads and bacteria. 	The RDP survey shows different visions of the challenges for the TOC delivery.	
<p>KEY QUESTION: To what extent does the RDP meet RF’s expectation in terms of providing timely and actionable recommendations?</p>	The key result from the survey findings points out that RDP does not meet RF’s expectations.	Medium
<p><i>[Sustainability]</i></p> <p>2.8.3 To what extent does RDP meet RF’s expectation in terms of providing timely and actionable recommendations?</p>	The key result from the survey findings points out that RDP does not meet RF’s expectations.	Medium
<p>+Document Analysis</p>	Recommendations were not delivered in a timely manner.	

RDP did not manage to deliver what was planned. There is not a delivery rhythm adequate to the reparation process' dynamics. It is not only a timing issue, but a matter of priorities' alignment.

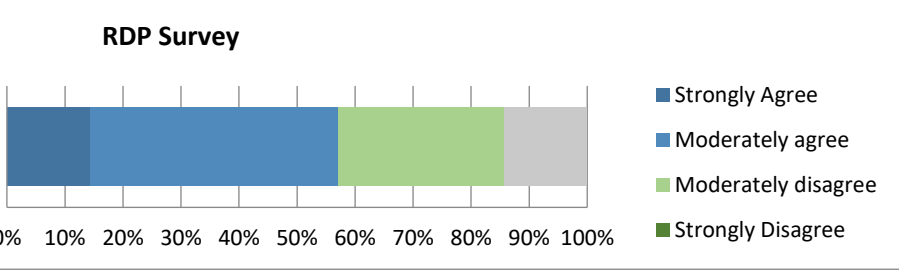
Some interviews with RF team corroborate the CIF's survey pointing out that some RDP's recommendations were delivered when they were already being implemented by RF.

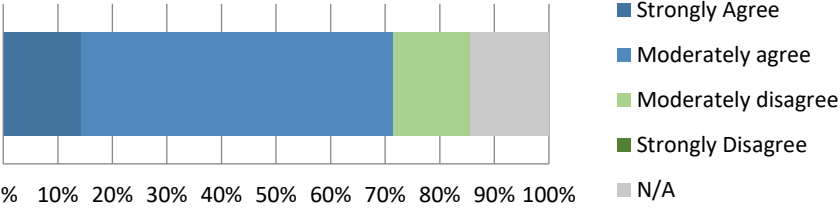
In the interviews with RF directors, consultants and staff, evaluations regarding different aspects did not always match for all the products. Please see RDP's products evaluation by RF in section 2.4.2.

The survey with RF technicians pointed out that 52% disagree that RDP delivers recommendations that are useful, actionable and timely.



52% of the replies disagree that RDP's products meet their expectations in term of usability, feasibility and timely.

<p>RDP meets Renova's expectation in terms of providing timely and actionable recommendations.</p>  <p>RDP Survey</p> <p>0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%</p> <ul style="list-style-type: none"> Strongly Agree Moderately agree Moderately disagree Strongly Disagree 	<p>RDP's view is divergent from RF's (57% of respondents agree that RDP meets RF's expectations).</p>	
<p>CIF Survey (open answer)</p> <ul style="list-style-type: none"> The Panel, it seems to be very capacitated, however, your recommendations usually have already been made some 6 months ago by the CIF system/technical chambers, you should have monthly meetings with the coordinators of the technical chambers, which are operational arms of the CIF system. Otherwise they will be of little use. 		
<p><i>[Sustainability]</i></p> <p>2.8.4 To what extent are the RDP recommendations actionable for RF?</p>	<p>Not all recommendations are actionable.</p>	<p>Medium</p>
<p>+Semi-Structured Interviews + Documental Analysis</p> <ul style="list-style-type: none"> For RF staff some recommendations go beyond RF's mandate, for instance, the recommendation "Review regional climate change models and propose improvements in mitigation programmes to address risks to the achievement of outcomes" (TR 01 R04), which implementation is part of the political mandate of the state secretaries of Environment and the Brazilian Ministry of Environment. RF has no credibility or mandate to champion this kind of recommendation. IP05's recommendations demand analysis from specialists, because these recommendations are linked to the GAISMA Program implemented by RF. According to interviews with the affected population's Technical Advisories, the GAISMA 	<p>Not all recommendations are actionable.</p>	

<p>program is being challenged by the prosecutor's office. The Brazilian Association of Collective Health⁶⁴ has also challenged GAISMA for not respecting regulation from the Brazilian Ministry of Health⁶⁵. The IPO5 did not consider in its biography the Ministry of Health's regulation mentioned by the Association.</p> <ul style="list-style-type: none"> The MEL analysis that points out that 63% of RDP's recommendations are being incorporated by RF needs to be confirmed. 														
<p>KEY QUESTION: To what extent does Renova meet the RDP's expectation in terms of providing timely and constructive feedback on their recommendations?</p>	<p>In general, RF delivers constructive feedback and on time.</p>	<p>High</p>												
<p><i>[Sustainability]</i></p> <p>2.8.5 To what extent does Renova meet RDP's expectation in terms of providing timely and constructive feedback on their recommendations?</p>	<p>RF, in general, delivers constructive feedback and on time.</p>	<p>High</p>												
<p>+Semi-Structured Interviews</p> <p>Some RDP members said that the feedback is not timely.</p> <p>+RDP Survey</p> <div data-bbox="107 954 1505 1267"> <p>RDP Survey</p> <p>Renova meets the RDP's expectation in terms of providing timely and constructive feedback on their recommendations.</p>  <table border="1"> <caption>RDP Survey Data</caption> <thead> <tr> <th>Response</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Strongly Agree</td> <td>15%</td> </tr> <tr> <td>Moderately agree</td> <td>56%</td> </tr> <tr> <td>Moderately disagree</td> <td>19%</td> </tr> <tr> <td>Strongly Disagree</td> <td>10%</td> </tr> <tr> <td>N/A</td> <td>0%</td> </tr> </tbody> </table> </div>	Response	Percentage	Strongly Agree	15%	Moderately agree	56%	Moderately disagree	19%	Strongly Disagree	10%	N/A	0%	<p>71% of RDP members that participated in the survey agreed that RF meets RDP's expectations in terms of providing timely and constructive feedback on their recommendations.</p>	
Response	Percentage													
Strongly Agree	15%													
Moderately agree	56%													
Moderately disagree	19%													
Strongly Disagree	10%													
N/A	0%													

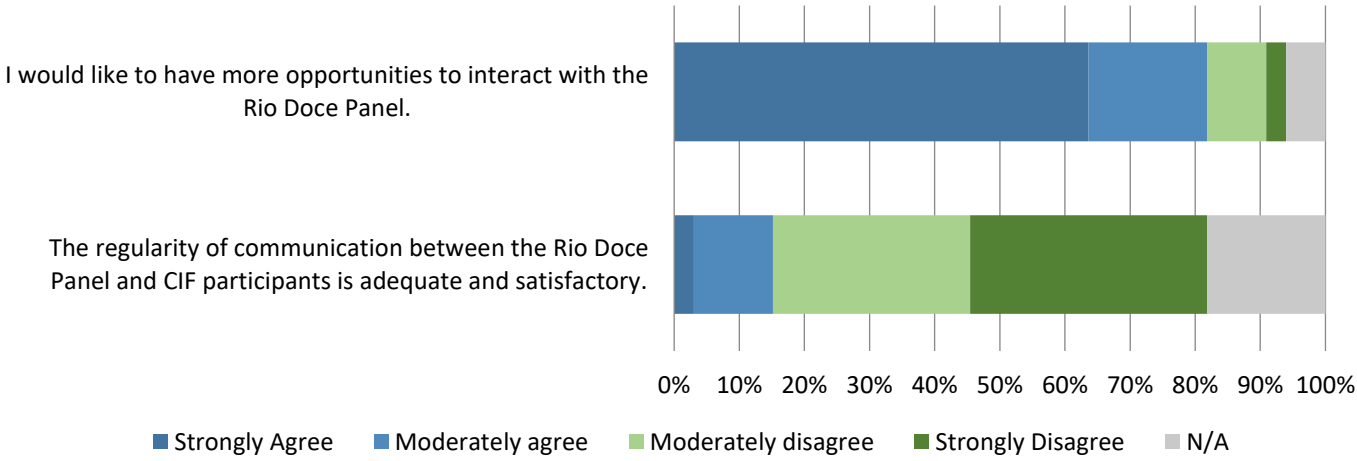
⁶⁴ <http://tiny.cc/9sdspz>

⁶⁵ <https://www.saude.gov.br/images/pdf/2014/outubro/24/Avaliacao-de-Risco---Diretrizes-MS.pdf>

<p>KEY QUESTION: What are the early markers that demonstrate that the RDP’s recommendations are adopted by the RF? Is there any evidence of these recommendations being presently implemented on the ground?</p>	<p>There are early markers that demonstrate that the RDP’s recommendations are adopted by the RF, and being implemented in the ground.</p>	<p>High</p>
<p><i>[Sustainability]</i> 2.8.6 What are the early markers that demonstrate that the RDP’s recommendations are adopted by the RF? Is there any evidence of these recommendations being presently implemented on the ground?</p>	<p>There are early markers that demonstrate that the RDP’s recommendations are adopted by the RF, and being implemented in the ground.</p>	<p>High</p>
<p>See analysis in section 2.5.11 regarding this question.</p>		
<p>KEY QUESTION: What are the early markers of the RDP’s influence on regulators and policy makers? On the do-ers and on the influencers?</p>	<p>There aren’t early markers of the RDP’s influence on regulators and policy makers, do-</p>	<p>High</p>

	ers and influencers	
<p><i>[Sustainability]</i></p> <p>2.8.7 What are the early markers of the RDP’s influence on regulators and policy makers? On the do-ers and on the influencers?</p>	<p>There aren’t early markers of the RDP’s influence on regulators and policy makers, do-ers and influencers.</p>	<p>High</p>
<p>+Evaluators’ Analysis</p> <p>As per the analysis in the Engagement section (2.3), RDP still did not have a closer contact with these stakeholder groups.</p> <p>Regarding policy-makers, 66% of CIF staff that answered the survey disagree that the regularity of communication between the RDP and CIF participants is adequate and satisfactory. 82% would like to have more opportunities to interact with the Panel.</p> <p>Regarding the regulators, RDP still did not reach out to this stakeholder group.</p> <p>Regarding the do-ers, since they are not considered as a RDP’s primary audience, there was no effort in broadening the knowledge on this public regarding RDP and its products.</p> <p>Regarding influencers, there are no evidences that RDP plays any kind of influence over this group.</p>	<p>The RDP’s effort to communicate and engage policymakers, regulators, do-ers and influencers is incipient face the ideal level of engagement.</p>	

CIF Survey



KEY QUESTION: What are the major barriers that prevent the RDP's recommendations from being adopted or implemented?

This is a highly comprehensive and analytic question that goes beyond the findings of the data collection. A deeper analysis will be done.

[Sustainability]

See analysis

2.8.8 What are the major barriers that prevent the RDP's recommendations from being adopted or implemented?

<p><u>+Semi-structured interviews</u></p> <p><u>RF Directors and Consultants</u></p> <p>- "Often this knowledge is not published, nor has a scientific basis established to say whether it is right or wrong, so the data used by RDP is insufficient, because we are dealing with situations on the edge of science."</p> <p>- "A process like that is a process of knowledge construction. It is difficult to recognize that knowledge is often being generated, so there is no publication or basis established by science to say whether this is right or wrong. I understand that the members of the Panel are aware of this and have aggregated for the current situation. There is a formal situation that is getting in the way, which is the issue of publication. The people involved know that the data published is not enough. That's the flaw. When we talk to the group, everyone agrees, but at the time of publication it disappears. Using only published information is insufficient, because science has not dealt with situations like this. Recognize the fragility of publication and science in situations where data were not published".</p> <p>- "Recognition of the limitation of secondary knowledge and that the opinion of the members of Renova must be heard regardless of the situation of the publication. Science says this, but with our involvement in the process, we recognize that there is a limitation and therefore requires improvement, including the publication of information when it is available".</p> <p>- "If the Panel says it is on a frontier and points out what needs to be deepened, it is making a significant contribution. So, IUCN says it can't publish, can't say anything about it? Yes, you can say that you have analyzed the situation, and there are these questions, to say if the way the process is being conducted is correct, if the studies that are being conducted are being conducted with the proper methodology, if the good science is being applied".</p>		
<p><u>+Evaluators' Analysis</u></p> <ul style="list-style-type: none"> • Lack of adherence of TOC in relation to institutional reality and RF's legal framework. • Lack of a robust diagnostic of RF's institutional and legal frameworks, its competencies and limitations. • Lack of a robust stakeholder's analysis and a communication and engagement strategy design guided by an analysis of the stakeholders and legal framework. • Lack of RDP engagement with the different stakeholder groups, beyond RF • Lack of use of dialogue and knowledge building tools when contacting stakeholders • Lack of extra-academic competencies for Panel members allowing them to deal with complex issues in conflictual realities. 		

<i>[Sustainability]</i> 2.8.9 To what extent have external factors influenced the work of the RDP?	See analysis	Low
<p><u>+Semi-structured interviews</u></p> <p><u>RDP Members</u></p> <ul style="list-style-type: none"> • There were 3 changes in RDP composition: Huber (UFOP), Keith Auger (Conservation International), Fernando (PUC-MG). The first two spend a year, and Fernando 7 to 8 months. Huber left because his research group at UFOP was not compatible with the Panel's work; Keith received a job offer in Korea (and is still there); Fernando, who replaced Huber, is a junior researcher and since the RDP is not a full-time job, he preferred to accept a job offer from a company. • Do not believe that there was any extraordinary change in the Panel. The departure of 2 members is not abnormal. Changes in government, ministries, governors and prosecutors are also normal. Departure of IUCN staff was normal too. <p><u>Semi-structured interviews + Documental Analysis</u></p> <ol style="list-style-type: none"> i. General elections in Brazil that changed the presidency of the republic, state governments, attempt to CIF's discontinuity by the Federal Government, change in the CIF top echelon. ii. The Brumadinho incident generated two impacts: reduction of trust on the sponsoring companies and, consequently, RF; and questions about RF's governance model and its effectiveness in the reparation process. iii. High turnover and retirements involving CIF members. iv. Judicialization and conflicts recrudescence v. High turnover involving RF staff and directors vi. Changes in RF's presidency, with the departure of Roberto Waack, who had a broader view on RF's mission and RDP's potential vii. Departure of 3 RDP members until March 2020, the termination of the TR on climate change with the departure of the leading author. <p><u>Impacts of the events listed above on RDP's work:</u></p> <ul style="list-style-type: none"> • Events i to iv demand an update of the stakeholders list and the construction of new actors and institutions analysis, as well as a TOC and strategies review. • Events v and vi demand additional investments in building a relationship of trust and collaborative relations with RF. 		

<ul style="list-style-type: none"> • Event vii generates risks for RDP’s work, since the sponsor companies are not flexible in relation to broadening RF’s focus in order to align it with RDP’s long-term objectives. • Event vii affected RDP’s productivity. 		
KEY QUESTION: Are there any positive or negative unintended results caused by the work of the Panel that can be demonstrated? To what extent may these unintended results affect the future work of the RDP?		
<i>[Sustainability]</i>		
2.8.10 Are there any positive or negative unintended results caused by the work of the panel that can be demonstrated?		
<p><u>Evaluators’ Analysis</u></p> <p>RF’s actions generate several social and environmental impacts, recognized by RF according to what was observed during the participant observation in RDP 6 and from interviews. The impacts have environmental, social, economic and cultural nature generating destruction of the social fabric and community relations, and intensifying mental health cases. The testimonials from community members point out to systematic disrespect to human rights resulting from RF action, especially regarding access to information (teams in the field are always changing and there is no continuity in the dialogue with communities). In this context, RDP also approaches communities in an intermittent way, not very transparent, extracting information without a commitment to report back its own recommendations.</p> <p>Considering that: (a) there is a high level of social and educational inequality and hurdles to access knowledge; (b) the presence of traditional population, indigenous and riverine people, with several intercultural aspects involved. The way how RDP’s approaches these population, without paying much attention to their relevance as legitim interlocutors and without using an accessible language to explain RDP’s products, may broaden the inequality gap.</p>		
<i>[Sustainability]</i>		
2.8.11 To what extent may these unintended results affect the future work of the RDP?		
<p>RDP’s lack of engagement and transparency with communities might lead to a negative evaluation from do-ers and influencers and a breach of trust in RDP’s work.</p>		
<i>[Sustainability]</i>		
2.8.12 To what extent the Project Governance design and implementation are appropriate for the project sustainability? Is the current composition of the Project Board suitable for the current context?		
<u>+Semi-Structured Interviews</u>		

<p><u>IUCN</u></p> <ul style="list-style-type: none"> • The Project Board is intending to be a Steering committee that involves the highest level of Renova (the President) and IUCN (the Director-General). Those are the 2 main parties. • The RDP chair is invited to participate but she is not part of the Project Board. • The reasoning behind the Project Board is to ensure to have an awareness from the leaders of all institutions, to ensure the rigor and credibility, behind the process of what we are working on. Because transparency and credibility are so important to this process. • We were a little slow in getting it started. It had 2 meetings so far at the beginning of 2019 and the second in October 2019 and the third will be in March. It (the composition) is adequate to fulfill the functioning, ensure the leadership involvement and engagement in the project activity itself, and to manage risk, steer or change of direction as needed. <p><u>RDP Survey question: “Considering the decision-making process at the Renova Foundation, how appropriate is the RDP Project Board?”</u></p> <ul style="list-style-type: none"> • My interaction was insufficient to judge • Appropriate • Appropriate but should have more representatives of the impacted groups • It is appropriate, but could benefit if someone from the Curator Board could participate • One more task for Renova. • I don't know what's RDP project board • It would be good to have more input from advisors and affected groups 		
<p><u>+Documental Analysis</u></p> <p>The Project Board includes RF directors and IUCN HQ representatives. A chairperson handles the board meeting. Sometimes, RDP held meetings with RF's Curator Board and, other times, meetings with CIF's executive secretary - separately.</p> <p>CIF deliberates about programs executed by RF and has already issued warnings and fines for RF not observing the decisions.</p> <p>The Curator Board, on its turn, also makes decisions on the same programs. The directors with whom RDP has relations participate in those meetings with the right to speak, but they do not have right to vote in the deliberative meetings.</p> <p>Therefore, the Project Board composition does not embrace all RF's programs decision making bodies.</p>		

ANNEX 1 - INTERVIEW'S CADRE

	Position	Stakeholder group	Groups Identification
1	Consultant	Renova	Renova Directors Renova Staff Renova Consultant
2	Senior Manager		
3	Consultant		
4	Senior Manager		
5	Consultant		
6	Manager		
7	Communic. staff		
8	Ombudsman		
9	Manager		
10	SCO Representative	Do-ers	Do-ers
11	SCO Representative		
12	Coordinator		
13	Technical staff		
14	Coordinator	Influencers	Influencers
15	Coordinator		
16	President	Regulators and Policy Makers	Regulators and Policy Makers
17	Superintendent		
18	Mayor		
19	Prosecutor		
20	Coordinator		

	Position	Stakeholder group	Groups Identification
21	Consultant	IUCN	IUCN HQ IUCN Brazil Office
22	Manager		
23	Communic. staff		
24	M&E officer		
25	Senior Manager		
26	Senior Manager		
27	Senior Manager	Mining Companies	Mining Companies
28	Senior Manager		
29	Technical staff		
30	Panel Chair	RDP	RDP
31	Panel Member		
32	Panel Deputy Chair		
33	Panel Member		
34	Former Member		
35	Panel Member		
36	Panel Member		
37	Former Member		

ANNEX 2 – SURVEY PARTICIPANTS PROFILE (CIF AND RENOVA)

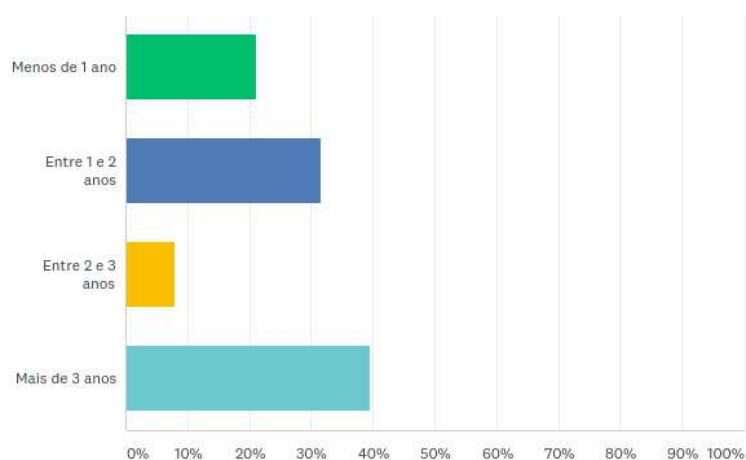
- **CIF: Instituição que representa**

OPÇÕES DE RESPOSTA	RESPOSTAS	
Representante do Governo Federal	21.05%	8
Representante de Governo Estadual	50.00%	19
Representante de Governo Municipal	7.89%	3
Representante dos atingidos	0.00%	0
Ministério Público e Defensoria Pública	5.26%	2
Comitê de Bacia	7.89%	3
Assessoria Técnica dos Atingidos	2.63%	1
Outro (especifique)	5.26%	2
TOTAL		38

- **CIF: Função no Conselho**

OPÇÕES DE RESPOSTA	RESPOSTAS	
Secretaria Executiva do CIF	0.00%	0
Membro do CIF	10.53%	4
Integrante do CIF	2.63%	1
Coordenador(a) de Câmara Técnica	26.32%	10
Membro de Câmara Técnica	42.11%	16
Participante das reuniões mensais	7.89%	3
Outro (especifique)	15.79%	6
Total de respondentes: 38		

- **Há quanto tempo está no CIF**

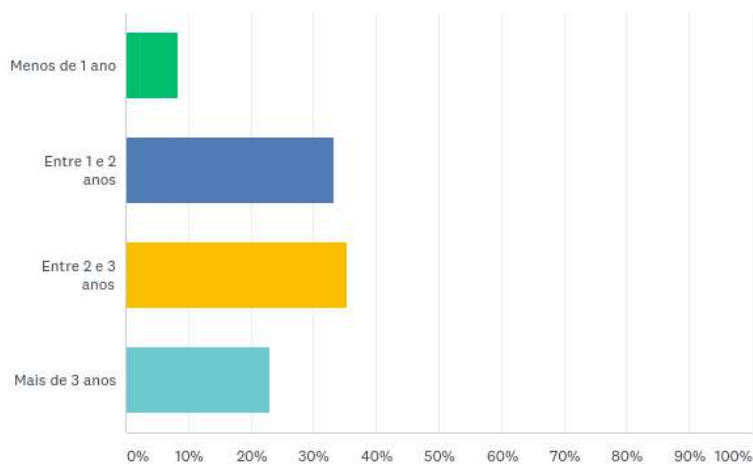


- **Como você recebe informações sobre o Painel Rio Doce?**

OPÇÕES DE RESPOSTA	RESPOSTAS	
Por Email da Secretaria Executiva do CIF.	31.25%	10
Pelas Redes Sociais (Whatsapp, Youtube, Tweeter ou outro)	0.00%	0
Por meio da Fundação Renova	21.88%	7
Por meio do site do Painel Rio Doce	6.25%	2
Por meio das apresentações públicas do Painel Rio Doce	9.38%	3
Não recebo informações.	31.25%	10
TOTAL		32

RENOVA

- Há quanto tempo na Renova



Área de Atuação na Renova

OPÇÕES DE RESPOSTA	RESPOSTAS	
Diretoria	4.17%	2
Comunicação	6.25%	3
Uso Sustentável da Terra	6.25%	3
Gerência Socioambiental	14.58%	7
Gerência Socioeconômica	6.25%	3
Relações Institucionais	2.08%	1
Ouvidoria	2.08%	1
Direitos Humanos	6.25%	3
Comitê Técnico	8.33%	4
Diálogo	8.33%	4
Gerência de Território	6.25%	3
Saúde	4.17%	2
Curadoria de Impactos	4.17%	2
Povos Indígenas e Tradicionais	0.00%	0
Gestão de Pessoas	2.08%	1
Outro (especifique)	18.75%	9
TOTAL		48

- **Como você recebe informações sobre o Painel Rio Doce?**

OPÇÕES DE RESPOSTA	RESPOSTAS	
Por email da equipe da Fundação Renova	61.36%	27
Por meio de Newsletter ou Clipping da Fundação Renova	13.64%	6
Por meio do site da Fundação Renova	2.27%	1
Por meio do site do Painel Rio Doce	6.82%	3
Por meio das apresentações públicas do Painel Rio Doce	9.09%	4
Não recebo informações	4.55%	2
Outro (especifique)	2.27%	1
TOTAL		44

ANNEX 3 – SYSTEMATIZATION OF THE FACE-TO-FACE MEETING NOTES

RDP Meetings	Decisions	Recommendations to RDP	Delivery Calendar
RDP 1 Sep 2017	<ul style="list-style-type: none"> • The Panel will review all 42 programmes of the TTAC for a first screening exercise that will support future establishment of priorities; • The Panel Chair will start a stakeholder analysis review; • Francisco Barbosa nominated Deputy Chair; • IUCN members are welcome to contribute with the Panel’s work and communication and technical contributions will be through Carolina Marques, IUCN staff responsible for facilitation information exchange; • <u>The Panel will work on the Workplan, Communications Protocol, Communication Strategy and Governance Model.</u> 	<ul style="list-style-type: none"> • The Panel is advised to keep active communication between Renova and IUCN and develop a detailed Communications Protocol; • This is a very complex and sensitive situation and communications should be careful; • The Panel needs to understand the process governance model, what has already been done and the ongoing actions so that the recommendations are not only scientifically based, but also effectively connected to reality on the ground; • <u>The process governance model is already complex and the Panel should refrain from commenting on the CIF’s recommendations to Renova;</u> • The Panel needs to be aware of the boundaries between policy and politics and focus on the Panel’s scope of work in order to make meaningful contributions to the process; • The Panel should consider that the Rio Doce Basin has the chance to become a model of watershed dedicated to conservation and sustainable development; 	<p>Planned (according to M&E annual report 2018):</p> <p>6 Issue Papers</p> <p>2 Thematic Reports</p>

		<ul style="list-style-type: none"> • The Panel should take into account that it is crucial to aim at full compliance of environmental legislation when programmes are planned and implemented; • The Panel should reach out for Marcelo Belisário Campos (Ibama’s superintendent in Minas Gerais state), as he is the person directly involved in this issue since before the dam break and holds a lot of valuable information. 	
RDP 2 March 18	<ul style="list-style-type: none"> • The Panel agreed that recommendations will be issued to Renova as the main client, but to other institutions as well if needed. The Panel still recognizes the lack of information about permanent impacts. <p>Conclusions:</p> <ul style="list-style-type: none"> • The Panel considered changing the subject of the first issue paper about fishing (Lead: Ciça) to address the challenge related to the dynamics of river and lagoons in Linhares region (Lead: Francisco). • Lead authors need to discuss with colleagues that will support them, to draft guiding questions and define the scope of the issue papers, as well as specific deadlines, considering the general workplan. • Luis set April 15th as the deadline for sending the first thematic paper to review. • Carolina, Ciça and Francisco will try to attend the Seminar about water quality and fishing in Vitoria (early May) 	<ul style="list-style-type: none"> • Renova shared with the Panel that <u>the priority is to come to the conclusion whether the fish can be consumed or not by the population.</u> • There is an agreement with 26 universities under the coordination of the Federal university of Espirito Santo that will conduct studies on the coastal zone (toxicology analysis of the fish). • In MG, the CIF decided there will be a contract with FAPEMIG. As the studies will start more than 2 years after the dam break, there will possibly be evidence of chronic impacts; there isn’t a strong baseline to compare. Previous studies show iron and aluminum with higher concentrations. • They also spoke about the importance of building confidence with local people and presenting economic alternatives for the population. <p>Legal constrains:</p>	<p>DESIRED OUTPUTS FOR 2022:</p> <ol style="list-style-type: none"> 1. Four issues papers and two thematic reports per year with recommendations to improve mitigation actions; 2. Effective communication strategy in place and under implementation to disseminate the outputs and lessons learned; <p>DESIRED OUTCOMES FOR 2022:</p> <ol style="list-style-type: none"> 1. Governance structure for a model watershed proposed; 2. Confidence built on Renova’s institutional capacities and representation; 3. Renova Foundation and other stakeholders implementing the Panel’s recommendations; 4. Valuable experience gained by Panel members through teamwork and cooperation;

	<ul style="list-style-type: none"> • Keith Alger will leave the Panel at the end of the month for professional reasons. • A call for a new Panel member will be opened and shared with Panel members. • For the next face-to-face meeting the Panel would like to visit the mid basin, Governador Valadares. • The Panel would like to schedule a meeting with the Scientific Committee of the Renova Foundation. 	<ul style="list-style-type: none"> • In MG, there is a legal decision that prohibits fishing of native species; intends to contribute with the recovery of stocks of native species that were more affected by the disaster. • Only marine species were banned from fishing (isobath of 20 m). 	
RDP 3 Sep 2018	<p>POSSIBLE ISSUES AND THEMES FOR THE PANEL'S NEXT PAPERS:</p> <ul style="list-style-type: none"> • The development of a comprehensive and innovative education program as a bidding factor for all programs and for long-term positive impact; • Assessment of the environmental and socioeconomic impacts of emergency actions taken without proper analysis (e.g.: dredging Candonga) <p>The Panel discussed how to respond to interactions and demands from the Renova Staff and decided <u>that the Panel can receive specific technical questions and will reflect if it is a priority to use the time to discuss and research.</u> The panel will not advise on their work but can help with specific questions. In the case of events or workshops, one or two members can attend if the Panel thinks it is a priority.</p> <p>Train Discussions:</p>	<ul style="list-style-type: none"> • Roberto Waack talked about the challenge to integrate short-term and long-term perspectives: • The pressure is increasing and the claim for compensation is stronger. Roberto also highlighted the importance of linking the programs to visions like the landscape for 2050, including themes like climate change, low carbon economy, health, and how to communicate this to youth. • Roberto explained how the Foundation is working with a broader concept of landscape, integrating physical/technical elements and also the feeling/memories it brings to people and the value of it to people. <p>BOARD OF TRUSTEES MEETING:</p> <ul style="list-style-type: none"> • The Board expects practical recommendations from the Panel; • They showed a very positive position about the First Thematic Report; 	<p>DEADLINES FOR NEXT PAPERS:</p> <ul style="list-style-type: none"> • TRO2 first draft ready by Jan 31st and published by March 31st; • IPO1 (Francisco) published by Oct 31st; • IPO2 (Ciça) to be sent to peer review by Oct 5th • IPO3 (Francisco) first draft ready by December 7th; • IPO4 (Peter) first draft ready by October 10th and ready for editorial review by Oct 15th; • IPO5 (Luiza) first draft by October 10th and

	<ul style="list-style-type: none"> •The Panel highlighted the importance of discussing agricultural land reform in Brazil. • Renova is supporting the resettlement’s seedling nursery to supply for forest restoration programs. • Having the Liberdade resettlement as a case study, where agroecology is applied with hard work and effectiveness, the watershed recovery programs must take the advantage of strengthening what is already working to scale up positive impact. 	<ul style="list-style-type: none"> • The Board hopes for support on issues such as cumulative impacts and climate change, and they look forward to the Issues Papers on Fisheries and Local Livelihoods. • The Board expressed a desire to have their technical teams review Panel outputs as part of the review process • They welcome our attention to the dam at Lake Juparana 	<p>published by December 7th;</p> <ul style="list-style-type: none"> • IP06 (Luis) first draft ready by Oct 9th and ready for peer review by Oct 19th;
RDP 4 March 19	<ul style="list-style-type: none"> • RDP wants to ensure that all teams in Renova are receiving the recommendations and have a channel to clarify doubts. Different communication strategies can be used with different audiences inside Renova: the webinar can be one strategy. • IUCN Communication Officer should be in contact with the different communication teams (internal, external, on the field). A first step is to be in touch with internal communication and institutional relations in order to reach the territories and other internal areas. • It would be important to extend our focal points in Renova and expand interaction with Renova staff. • All Panel members should observe permanently the independence from Renova and from IUCN and report to the Panel Chair if there is any concern. <ul style="list-style-type: none"> • Be active instead or reactive in relation to Renova’s info. Be prepared to check information before meeting with Renova staff • Meeting with Suely Araújo, former president of Ibama 	<ul style="list-style-type: none"> • Critical issues are: resettlement; water quality results and indemnities • Important to give more efficiency to the model of governance. Focus and prioritization are needed. • Emília and Thais are going to the Governance team to build bridge between IUCN and the teams. <p>Important topics for future papers were raised by Renova audience:</p> <ul style="list-style-type: none"> • Basic sanitation historical role in the basin and how the improvements contribute to integral reparation; • Case study to compare resettlement cases done after disasters; • Landscape approach. A lot of projects that shouldn’t be seen disconnected: ecosystem restoration, Animals X resettlement, ATER, socioeconomic-rural projects; • Advise Renova to give an assertive answer to “new areas” included in TTAC: municipalities in ES (São Mateus) – continental impact in other rivers and social impact; 	<p>Deliveries:</p> <p>2 papers in 18 months (1 Thematic Report and 1 Issue Paper)</p> <p>Two new themes were defined for future issue papers: IP 9 Guidance on assessing sustainability and resilience of mitigation programmes; IP 10 Applying landscape and ecosystem services approaches to integrate programmes and reinforce restoration</p>

	<ul style="list-style-type: none"> • Renova presentation about landscape approach (RDP virtual meeting in April) • Meeting to clarify recommendations of IP1 (May) • Elaborate chart of recommendations to track progress and implementation with Renova (to present at RDP virtual meeting in May) • Share agenda of CIF Technical Chambers' meetings with Panel members to see if there is interest to participate • Find out which are BHP ongoing technical studies and teams and share with the Panel and organize meetings as needed • Send a copy of the 2 RDP papers to all 39 Mayors with a personalized note from Yolanda. 	<ul style="list-style-type: none"> • Recognize importance of traditional population for restoration and sustainable practices; • Public management and participation of society in order to ensure a legacy; • Vulnerable populations: population that is not contemplated in the education or in the economic development programmes. 	
RDP 5	<p>Alignment of RDP approach: "How to accommodate Renova's comments without threatening the Panel's independence?"</p> <ul style="list-style-type: none"> • The Panel can work with topics that are presented by Renova as their needs, but the Panel can go beyond what Renova describes as important to them. (Ex; climate change, water quality beyond impacts' mitigation) • Things are not so black and white; RDP is in the grey area. It's important to be open for dialogue; • The debate in the group is one of the most important values of the Panel; • IUCN team has the role of firewall; • In the alignment meetings, the Panel should ask Renova about relevant information and documents related to the issue and a good practice is to prepare questions for 	<p>Thais Herdy presented a few challenging issues faced by Renova regarding the work with RDP:</p> <ul style="list-style-type: none"> - Timing between alignment meetings and launch of papers - Use of data and reports produced by Renova - Align RDP's approach about themes to the needs and concerns of Renova's teams - Need to have a more holistic approach to complex situations (example Juparanã) - Workload and availability of Renova's teams <p>Thais also presented next steps or "challenges" to RDP:</p> <ul style="list-style-type: none"> - A broader approach over restoration that overlooks the different aspects that impact Renova's decisions, including other stakeholders involved in the process 	

	<p>Renova Staff. We can suggest another name for the meetings since they are not an “alignment” per se.</p> <ul style="list-style-type: none"> • IUCN-led Independent, Scientific and Technical Advisory Panel • Adopt the principles of the ISTAPs – Independence, Transparency, Accountability and Engagement to RDP reality. Regarding engagement, the Panel should work with all affected parties during its entire lifetime. This includes recruiting Panel members who are willing to take evidence from a diversity of disciplines and perspectives and to implement a clear stakeholder engagement plan as part of the Panel’s activities. • The Panel is independent, which is different from being neutral. It should listen and interact with all different stakeholders without being biased by any of them. • RDP should consider to use the lessons learned from their work to be source of discussion for other contexts (Brumadinho, threat in Barão de Cocais, etc). <p>Approach to next RDP papers and new topics</p> <ul style="list-style-type: none"> • Paper on governance for watershed bringing external cases, getting into the role of water basin committees; paths and exit strategies. Maybe show advantages and disadvantages of Renova model instead of doing benchmarking (Chris) • Check with Carolina Marques if she would be interested to do a briefing of the state of the art of the impacts of the tailings in the marine area. • Check with Thais what Renova is doing related to knowledge management. 	<ul style="list-style-type: none"> - How can the Panel bring a more systemic vision that helps Renova integrate the different work fronts? (Ex: macro indicators of reparation, look at components before/during/after the dam rupture) - What are the themes and trends that Renova foresees as strategic in the medium and long term? - How can the Rio Doce Panel meet Renova's demands and needs in the medium and long-term? <p>Yolanda and Ciça commented that the Panel can propose discussions that Renova may not think are relevant at this stage and that one of the roles of the Panel is to bring novelties that were not considered by Renova and to help think differently. Also, they brought up the questioning about “How to ensure that the Panel’s contributions reach all stakeholders as well as how to ensure the learning from all stakeholders reaches the Panel?”</p> <p>André de Freitas affirmed that it’s possible to think outside TTAC and he suggested that RDP could assess/accompany the reparation process in key areas with more focus and regularity. For example, to publish issue papers on water every year showing the improvements. That would be different from auditors and consultancies assessments.</p> <p>Lucas Scaracia commented on the opportunity to assess the role of the state and how the public managers see opportunities for them to have an integrated agenda among state governments and Renova</p>	
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	<ul style="list-style-type: none"> • Tourism in the basin: protected areas, cultural tourism, rural tourism (Ciça). • The Panel should consider the advice of André de Freitas and analyse potential recurrent themes for future studies. 	<p>José Carlos Carvalho presented his wish to see a paper from RDP about governance. He mentioned that Renova is coordinated by a Governors Board and an Advisory Board that never had one alignment meeting.</p> <p>Now it's the time to renegotiate the programmes and the present model of governance brings anguish and frustration and delegitimizes a participatory model.</p> <p>Project Board Meeting Main outcomes were:</p> <ul style="list-style-type: none"> • M&E professional and mid-term evaluation approved; • Endorsement of Panel to engage in the discussions about mining with Ethos; • Suggestion to approach public prosecutors' reparation workforce (José Adéssio) and Luciano Penido; • Suggestion to do RDP regular reports in some topics; • Renova sent proposals of events to IUCN Congress and is interested in participating <p>Guilherme Tangari conversation:</p> <ul style="list-style-type: none"> • The Panel could recommend on fishing because it was the main job affected and it's related to indemnities. • MG has a State Committee for Rio Doce that works well. Luiza Barretto, Sub-secretary of Planning, is someone important for the Panel to talk to. 	
RDP 6		<ul style="list-style-type: none"> • Guilherme mentioned another risk for RDP: legal action over Renova could see the Panel's work as a 	

		<p>dispersion of Renova's priorities. Renova's teams have intense pressure and cannot divert attention to other agendas (as was seen when the Panel requested revision of TR02).</p> <ul style="list-style-type: none">• A mitigation strategy is to interact more with other stakeholders so that RDP is perceived as an important initiative also by other stakeholders in addition to Renova.	
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ANNEX 4 - COMMENTS ON THE RDP FACE-TO-FACE MEETINGS NOTES

RDP Meetings	Evaluations	Lessons Learned
RDP 1		
RDP 2		
RDP 3	<p>EVALUATION OF RDP 03 FACE-TO-FACE MEETING:</p> <ul style="list-style-type: none"> • Too much time on the road. The Panel needs more time to work together and discuss. Not enough time for interaction and team building. • Not enough contact with the local communities. • Not enough time for diving into the papers and contributing to the work of the colleagues. • Not enough information about the people the Panel meet with. <p>SUGGESTIONS FOR THE NEXT FACE-TO-FACE MEETING:</p> <ul style="list-style-type: none"> • Panel members suggested sites to visit and themes to be discussed in the next meeting: • Start on Saturday and finish by Sunday • Coastal zone and river mouth • Indigenous communities (Krenak) • Povoação • Comboios Reserve • Linhares and alternative economies • Educational and social programs • More time together to discuss papers 	<p>Organizing ourselves better with specific timelines is essential to avoid the workload we had in the past days to finalize the TR01.</p> <ul style="list-style-type: none"> • It is important to have one peer reviewer from Brazil and one international for each paper when possible. The contributions from reviewers has been crucial for improving the papers. • In case we need maps for the next papers, we should hire someone to ensure technical capacities and speed. • Gathering data has been a challenge due to many different methodologies, which makes it difficult to validate and reproduce information.

		<ul style="list-style-type: none"> • The Panel should be aware of the importance of allocating enough time for ensuring contract commitment and delivery of results. Therefore, lead authors of next papers need to plan accordingly. • For the next papers, the Panel, with the support of the Communications Officer should develop a specific disclosure strategy, including a formal letter to Renova and other important stakeholder presenting the document and asking for feedback. We can propose 4-5 questions for them to answer.
RDP 4	<p>Keep 1 day and half for internal meetings in the beginning of the week and 1 day in the end;</p> <ul style="list-style-type: none"> • Continue to meet different stakeholders: community, researchers, authorities, Renova; • Great to visit Juparanã and understand the context on the issue RDP is writing about; • Positive to visit the different protected areas (RNV, Terra, Comboios) • Good to have ES Environment and Agriculture secretaries in the same meeting • Important to observe the places we go besides talking to people, for example at Comboios Village 	

	<ul style="list-style-type: none"> • Panel should always be independent and objective and do not take any side of the discussions • Be active instead or reactive in relation to Renova’s info. Be prepared to check information before • meeting with Renova staff • Have 1 full day for meetings with Renova staff in BH • Include 1 full- day for internal meetings in the middle of the field work • Send questions in advance for the meetings with authorities 	
RDP 5	<p>Evaluation of the week</p> <p>Highlights – It was good:</p> <ul style="list-style-type: none"> • to have Thais, Vitor and José Carlos all the time; we could have “used” them more • to have an internal meeting in the middle of the week • to hear Gilmar from “Escola Família Agrícola” • to see in practice what Renova is doing (Gualaxo, Barra Longa, UFV) • to meet with UFV professors and know what they were doing • to see restoration going forward • to see mobilization of people in WRI workshop • to meet with Mayors and Renova leaders to understand the conflicts, frustrations, interests • to see 2 Demonstrative Units and compare 2 realities • to meet with different stakeholders 	

