Rio Doce Panel: 2020 Annual Monitoring, Evaluation and Learning (MEL) report

Contents

2020 Annual Monitoring, Evaluation and Learning (MEL) report

Executive Summary
I.   Product design, delivery and quality

In 2020 the RDP published one Issue Paper (IP05) and one Thematic Report (TR02). Both are publicly available, in Portuguese and English, in the Rio Doce Panel website. In addition, two Thematic Reports (TR03 and TR04) were elaborated, and by the beginning of 2021 had passed through Renova's review, anonymous peer-review, and first editorial review. The annual work plan anticipated the delivery of four studies in 2020. While not finalized by year-end, substantial progress was made on Thematic Report 3 and Thematic Report 4.

Surveys[1] showed that 75% of Renova's respondents evaluate the work of the Panel as of high technical and scientific quality; 58% agree that the studies are relevant for Renova Foundation; and 67% agree that the recommendations contribute to the reparation process (Figure 1).

The individual evaluation of each paper has also overall good results (Figure 2). In a specific survey about TR02, Renova's teams, RF's Advisory Board and the CIF gave very positive feedback (Figure 3 and Figure 4).

II.   Communication and engagement results

In 2020, RDP's communication strategy worked to reinforce the outreach of the Panel's work by creating new channels in social media; strengthening relations with the press; increasing the frequency of newsletters and number of recipients; updating and expanding the RDP website. As highlights, we cite the good outreach of TR02, with 18 mentions in national media, and the higher international audience for the website, which accounted for more than 50% of the visitors in 2020. The results in section 1.3 show relatively constant visits to the website (Figure 5), a permanent interest in the RDP papers (see download metrics in Figure 6) and the outreach of the Newsletters (Figure 7).

The RDP reinforced its engagement with Renova and other stakeholders. TR02 was launched in a webinar with 55 attendees from Renova Foundation. More coordination meetings were held with Renova teams in the preparation phase of TR03 and TR04. Dedicated presentations and debates about TR02 involved the Advisory Board and the CIF. In total, RDP held 50 external meetings including several groups of stakeholders (Figure 9).

III.   Uptake of RDP recommendations

A research exercise[2] conducted by the MEL officer showed that Renova's programs implemented some aspects of the RDP's recommendations, addressing communication and knowledge management, alternative livelihoods and economic development. Examples are:

● Creation of partnerships to provide professional training and capacity building for the impacted population and local public and private organizations;
● Creation of funds to stimulate alternative and sustainable economic activities;
● Financial stimuli, technical assistance and capacity building for forest restoration, sustainable land-use and agroforestry;
● Improvement of communication and information sharing regarding water quality and monitoring;
● Initiatives to share knowledge with relevant stakeholders and scientific forums.

On the other hand, the analyses also showed important gaps in the implementation of RDP recommendations, such as the lack of integration of actions into comprehensive plans; inexistence of

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[1] Surveys conducted with forty-eight people from Renova Foundation staff in the scope of the Midterm Review.

[2] The qualitative research used the NVivo software to analyse RF's activities reports, meetings' minutes and other available material.

guidelines on information-sharing applicable to all relevant programs, and lack of information about the distribution of actions in the impacted territory. Table 3 summarizes the results.

The effort of analysing the implementation of the recommendations will be continued and reinforced in 2021.

IV.   Influences and Outcomes of RDP work

Besides the potential impact over Renova Foundation's programs, it was possible to identify some influences of the RDP knowledge over other stakeholders. Representatives of the Rio Doce Basin Committee and of the Minas Gerais State Government mentioned interest in using TR02 to address climate change in plans and policies. The ROAM[3] assessment for the Rio Doce referred to one of TR02 recommendations, and a Panel member participated in the launch event of the ROAM report. TR01 and IP01 were used as a reference to describe the Rio Doce Basin and the impacts of the disaster in several technical and scientific studies (Annex 3). See section 1.5 for details.

The work of the Panel also had unexpected outcomes, as the inclusion of a section on post-disaster recovery in the *Global Industry Standard on Tailings Management - Global Tailings Review*, launched in August 2020. The knowledge of RDP also reportedly supported the elaboration of impact assessment frameworks in other contexts, outside Rio Doce Basin (see section 1.6).

V.   Perceptions, Lessons Learned

The reflexions brought about by the Midterm review and the constant changes in the dynamics of the reparation process fostered internal debates about the achievements, desired outcomes and challenges for the Rio Doce Panel. A group-discussion involving IUCN teams, the Panel Members and RF's focal points registered important learnings of the RDP, pointed out possible adaptive management actions and highlighted the contributions of RDP's experience to other ISTAPs (*Learning process* item of Section 1.7).

VI.   Overview - progress markers

An overview of achievements against pre-defined progress markers for the project can be found in Annex 4. Four progress-markers exceeded expectations; five progress-markers show expected results, and four expected results were not reached. Details in section 1.8.

VII.   Other achievements and next steps for MEL

A Midterm Review (MTR) of the RDP project took place in the first semester of 2020. The final report made twenty recommendations to IUCN, the Panel and Renova, who provided a joint management response. Both the report and the management response are [publicly available](#) at IUCN website.

The recommendations prompted the review of important tools for the RDP project and its MEL strategy, as the Stakeholder Map and the RDP's Theory of Change (Section 2). The results of this report gave valuable insights to address the MEL key questions, and efforts to understand the impact of RDP will be prioritized in 2021 (Section 3).

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[3] Restoration Opportunities Assessment Methodology: https://www.iucn.org/theme/forests/our-work/forest-landscape-restoration/restoration-opportunities-assessment-methodology-roam

Introduction

This report aims to register and analyse the results of the Rio Doce Panel work in 2020 within the framework offered by its Monitoring, Evaluation and Learning (MEL) Strategy. The current MEL Strategy defines five result areas for monitoring of RDP performance: i) Product design; ii) Product delivery and quality; iii) Outreach and uptake or recommendations; iv) Influence effects of RDP recommendations, and v) Knock-on effects.

The MEL strategy defines a set of tools to monitor pre-defined indicators for each of those result areas. The objective is to provide evidences to assess how the Rio Doce Panel is performing and help to respond the key MEL questions:

- 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 change likely to be?
- Are there any unintended consequences of Panel actions?
- What does the Panel know that could enhance other ISTAP-related processes?

In the first part of the report, we present the assessment of the indicators designed to assess the performance in the result areas, adding a section on the perception of Panel Members about the work and some results on lessons learned. In part two, we describe other activities and achievements of the Rio Doce Panel in 2020. Finally, in part three we address the MEL key questions based on what the results teach us so far about the progress of the Rio Doce Panel Project, and present the improvements in MEL strategy expected for 2021.

1. RDP 2020 – Monitoring results

In this section, we present the main results of the pre-defined indicators to monitor RDP work.

1.1. Product design and delivery

Delivery

In 2020 the RDP **published one Issue Paper (IP05) and one Thematic Report (TR02).** Both are publicly available, in Portuguese and English, in the Rio Doce Panel website.

The two papers launched correspond to 50% of the four papers anticipated by the "IUCN - Renova 2020 Rio Doce Panel Workplan". In addition, **two Thematic Reports (TR03 and TR04) are in advanced elaboration phase**, having passed through Renova's review, anonymous peer-review, and first editorial review. The RDP expects to launch TR03 in Q1 and TR04 in early Q2. Finally, the RDP initiated the discussions with RF teams on two other themes that will possibly be included as subjects for new papers in 2021- *Information management* and *Risk management*.

Table 1 shows the deliverables foreseen by the work plan, with their expected launch date, and the status of each one by the end of 2020.

Design

The RDP uses a set of 10 criteria[4] to decide the issues/themes of the papers to be developed. The MEL strategy evaluates the criteria met by each published study as an indicator for adequate design. The two studies delivered in 2020 and the two TRs in elaboration **were classified as of high priority/interest** (9-10 criteria met – see Table 1 below).

Table 1. Studies foreseen by the Rio Doce Panel workplan 2020. The "Status" column shows the launch date/expected date. Explanation of priority criteria in Annex 1.

| DELIVERABLE	SUBJECT	Initial Expected date	Status	Selection criteria met
Issue Paper 05	Human and ecosystem's health	2019 Q2	Launched 2020 Q1	10
Thematic Report 02	Climate Change	Q2	Launched 2020 Q3	9
Draft Thematic Report 03	Water Quality and Biodiversity in a Landscape Approach	Q3 (RDP7)	Expected 2021 Q1	10
Draft Thematic Report 04	Governance	Q4	Expected 2021 Q2	10

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[4] Results showed in the table refer to the criteria valid until 2020 (Annex 1). Those criteria were reviewed according to the recommendations of the RDP Project Midterm review, as described in Section 2. The new criteria are in Annex 2.

1.2. Product quality

All RDP studies go through **rigorous editorial and peer review processes to ensure the quality of the publications**. The IUCN Editorial Board approves the Thematic Reports, to which ISBNs and DOIs are allocated. Issue Papers are also peer reviewed, and made available at dedicated URLs within IUCN's domain.

Surveys[5] conducted with Renova staff in 2020, in the scope of RDP Mid-term Review, **showed a general good perception regarding the quality and relevance of RDP production** (Figure 1). Thirty-six of the 48 respondents (75%) agree that the work of the Panel is of **high technical and scientific quality**; 58% agree that the studies are **relevant for Renova Foundation**; and 67% agree that the recommendations **contribute to the reparation process in the basin**. On the other hand, less than half of the respondents (41%) agree that the RDP meets their expectations in providing useful, actionable and timely recommendations[6].

Perception of the quality of RDP work by RF Staff
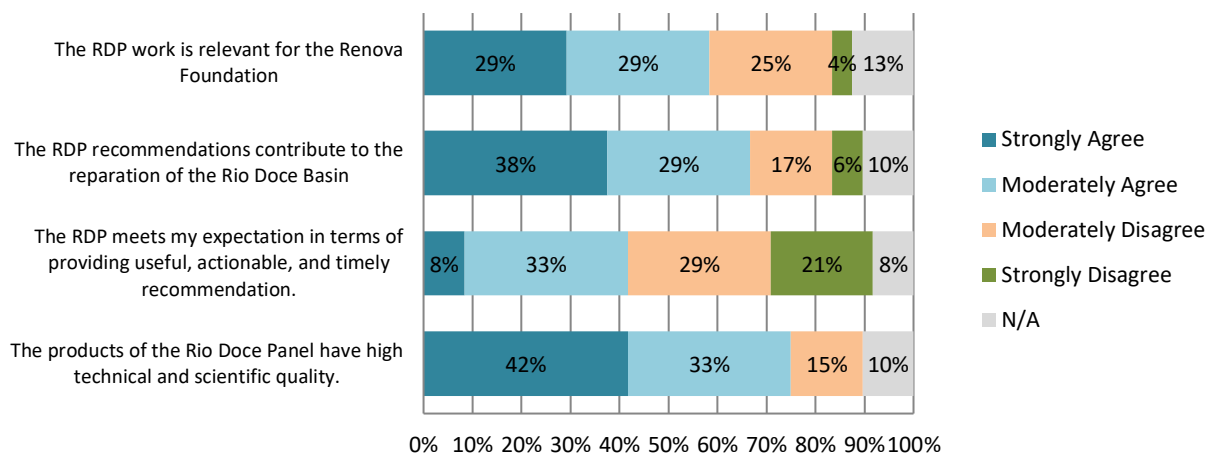
The survey also allowed for an analysis of the perception of RF staff regarding each paper launched by the time (April 2020). Figure 2 shows that **for most of the papers, the average perception was positive,** RF staff agreeing that the papers were of high technical and scientific quality and contributed to RF programs.

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[5] MTR evaluators provided the raw results to be analysed by the MEL officer. Some of the survey's questions aggregate different variables for simultaneous evaluation. This type of question can input bias to the results, as respondents may feel they need to agree with all variables to declare to be in agreement. Nevertheless, we consider that the results are a good indicative of the overall perception about the RDP and its work.

[6] Idem. The interpretation of this result has to be carried out carefully, as the question posed in the survey aggregates three different dimensions: the usefulness of the recommendations; RF's capacity to act upon them; and the adequate timing of their delivery. Anyway, given those results and as explained in Section 2, the RDP reviewed the criteria for themes selection and incorporated new criteria to account for some of these issues.

Renova's staff answers:
"The cited knowledge product has high technical and scientific quality and represents a significative contribution to the design of RF programs"
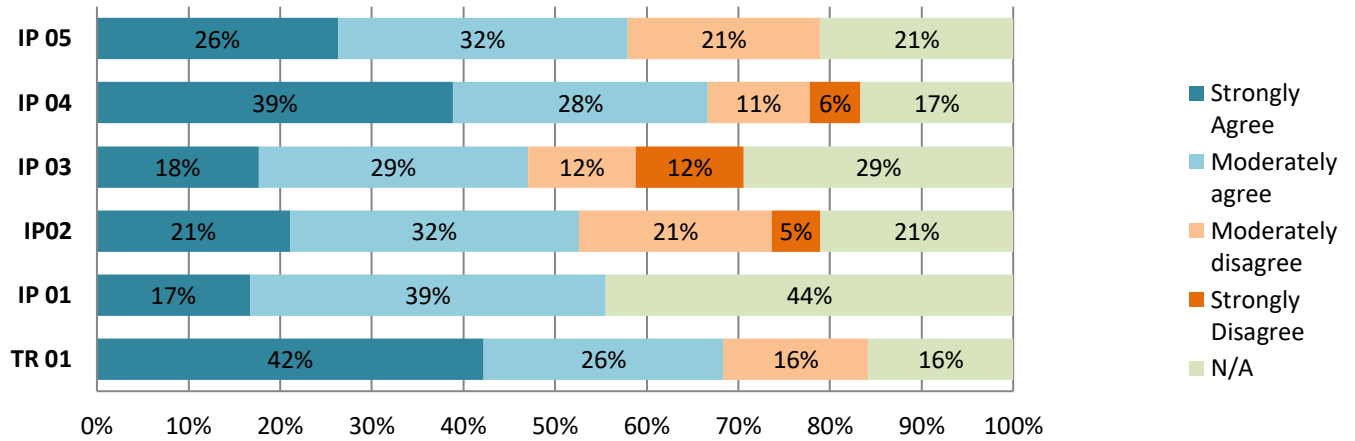
Another survey with Renova staff, RF's Advisory board and CIF representatives **assessed the first impressions of these stakeholders regarding TR02 recommendations,** collecting answers just after their participation in the presentations and debates (called "in-depth meetings") about the study. Figure 3 shows the answers from Renova teams, and Figure 4 the ones from the Advisory Board and the CIF. In all cases, results were positive, showing that the stakeholders agree that the **recommendations are useful and important** not only to the **work of Renova** but also to the long-term **resilience of the programs** and the **environmental and socioeconomic health of the Rio Doce**

Renova's staff reception of TR02 recommendations after launch and in-depth meetings
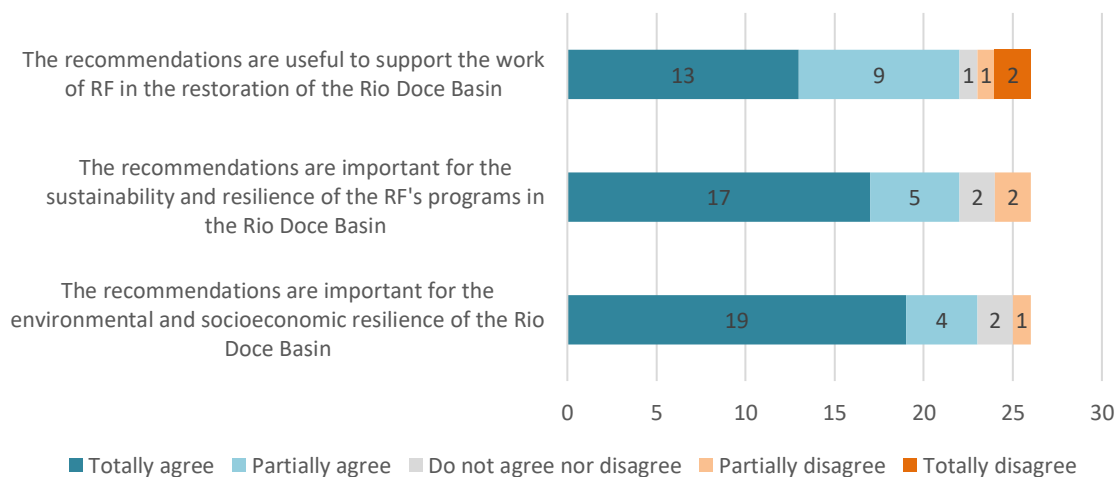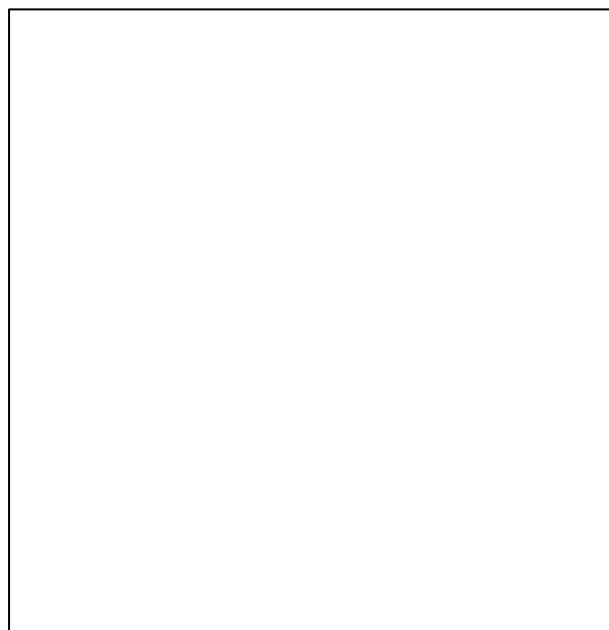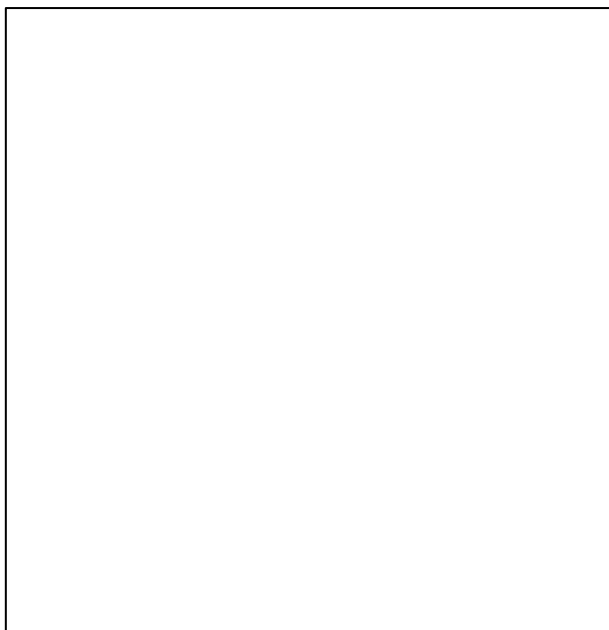

Figure . Answers for the survey about TR02 revealed that Renova's staff overall agrees that the recommendations are useful to support RF work and important to the restoration process and to the resilience of the Rio Doce watershed.

Basin.

1.3. Communication and engagement results

General Outreach Results

In 2020, RDP's communication strategy worked to reinforce the outreach of the Panel's work by creating **new channels in social media, strengthening the relation with the press, increasing the frequency and the number of recipients of newsletters**, **updating and expanding the RDP website**.

New social media channels were set up: a showcase page on IUCN Business and Biodiversity channel on LinkedIn[7] and a Twitter account[8] for the Rio Doce Panel. Through the Altmetric tool it was possible to track **13 mentions[9] of TR02 in Twitter**, including retweets of important influencers in Climate Change (*Observatório do Clima*, Carlos Rittl), exceeding the expectations of influencers' engagement (last indicator of the logical framework - Annex 4).

The **RDP web pages had 10,868 accesses in 2020** (9,009 unique views) - a slight decrease in page views if compared to 2019 (12,860 accesses, 9,626 unique views). Figure 5 illustrates the evolution of page access since the launch of the RDP dedicated website, pointing out some events that could have influenced traffic. In 2020, the website had **more international audience than in 2019**. Less than half of the visitors were from Brazil (47.9%, versus 62% in 2019). International viewers were mostly in the US (10.9% of the visitors), in Switzerland (3.5%), in France and in the UK (both accounting for 2,7%

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[7] https://www.linkedin.com/showcase/rio-doce-panel. The RDP LinkedIn account accumulated 249 followers in 2020.

[8] https://twitter.com/RioDocePanel

[9] We did not consider mentions by the Rio Doce Panel account, the IUCN account or the Panel members, which would increase the number of mentions to 70.

of the audience). Bounce rate average for all RDP pages was 53%. No goals or progress markers were defined to monitor the number of accesses to the website.

Figure 6 shows the downloads of RDP knowledge products per year **since 2018: a total of 8,455 downloads**. **TR01 was the most downloaded** study (around 6,435 unique downloads), showing an expressive number of downloads even two years after the launch. A possible explanation is that TR01 has been cited as a reference by a number of scientific articles and studies (see item *Citations of RDP work in scientific articles and technical studies* in Section 1.5).

More than 850 hard copies of the knowledge products were distributed in several events since
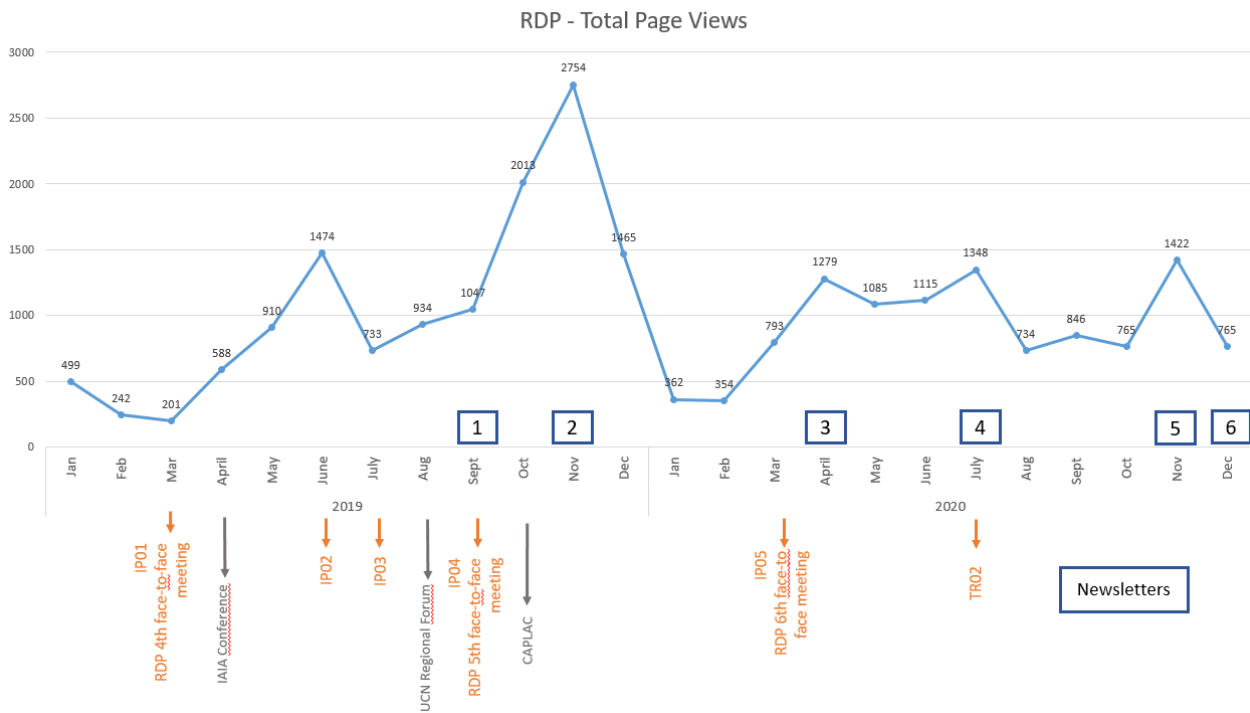

Figure . Evolution of RDP website page views in 2019 and 2020. Below, in orange, indication of RDP knowledge products launches and RDP face-to-face meetings. In grey, participation of RDP members and IUCN staff in external events. Blue squares indicate the delivery of Newsletters, which normally contain links to the RDP's website.

2018. In 2020, distribution of hard copies was limited since face-to-face meetings and events were cancelled or postponed. Hard copies were distributed during the launch event of IP05 in March, and forty hard copies of TR02 were mailed to Renova Foundation after the study's launch in July.

Four newsletters were elaborated and distributed in 2020 to subscribed recipients[10], in Portuguese and English. Figure 8 shows the number of deliveries and openings, and the 'Click-through' metrics – the number of times the recipients of the Newsletters clicked in any of its links. The **number**

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[10] The distribution list was built with IUCN contacts (including Brazil's members), CIF members, and other stakeholders indicated by Renova. Among recipients are the mayors of the 39 municipalities affected, state-level government agencies, and members of the academia.
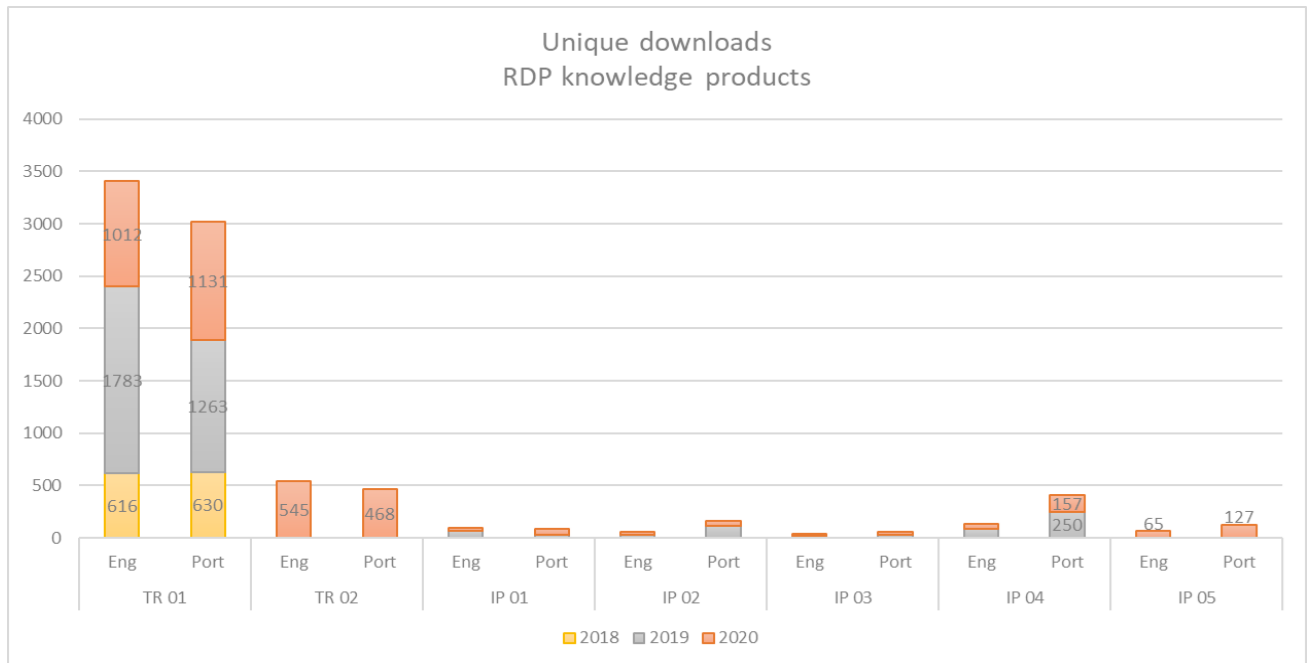
Figure . Total downloads of RDP products.

of recipients increased about 2.5 times since the first newsletter. However, **numbers of openings remained relatively constant** (i.e., opening rates decreased).

A specific communication action for the launch of TR02 among the Media and other influencers resulted in **18 outputs in the national media**. In addition, the Rio Doce Panel signed an **Op-Ed at "O ECO" Portal**, a specialized channel for the environmental sector in Brazil.

Engagement with stakeholders

Surveys conducted in the scope of the Mid-term Review with Renova staff and participants of the CIF showed that there was space for an improvement in the way the RDP communicates with the Foundation and the Committee: for example, only 15% of CIF respondents agreed communication with RDP was adequate (Figure 7).

Despite the impossibility of holding face-to-face meetings due to the restrictions of the Covid-19 pandemic, the **RDP members participated in 50 meetings and presentations with external stakeholders** in 2020, most of them held virtually. Figure 9 shows the number of interactions with each group of stakeholders.
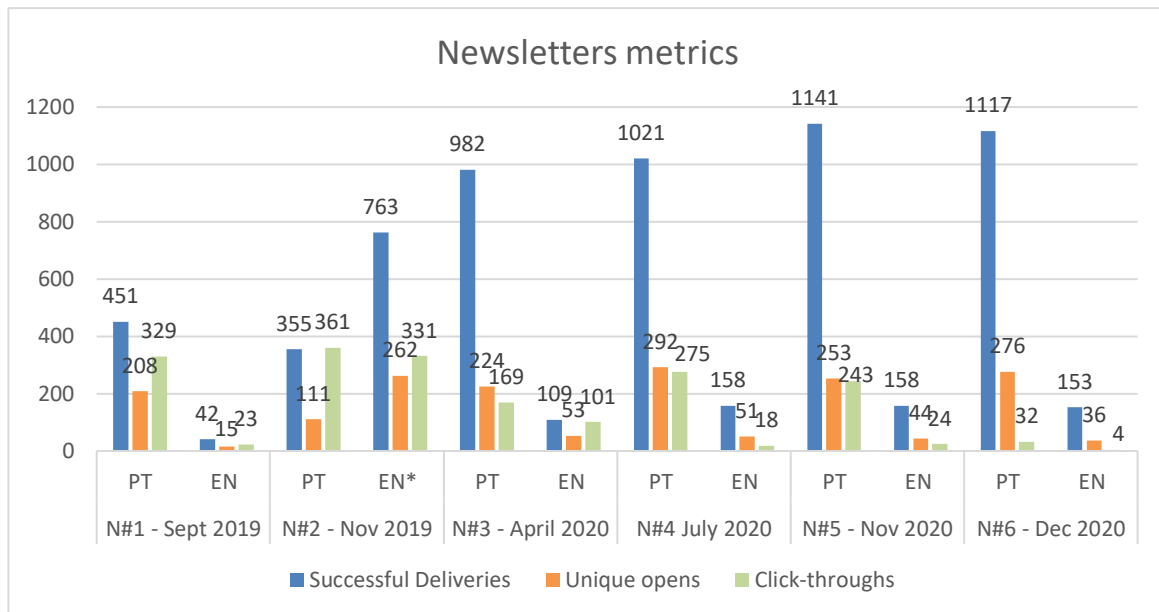
As many people grew accustomed to online interactions because of the covid-19 pandemic, the **RDP was able to maintain or even reinforce interactions with stakeholders in 2020**. TR02 was launched in a webinar with 55 attendees from Renova Foundation; two dedicated online presentations of TR02, to the CIF and to Renova's Advisory Board, allowed for the first interaction of many of those actors with the Panel[11]. A recording of an online presentation of TR02 is now available in the RDP's YouTube channel[12].
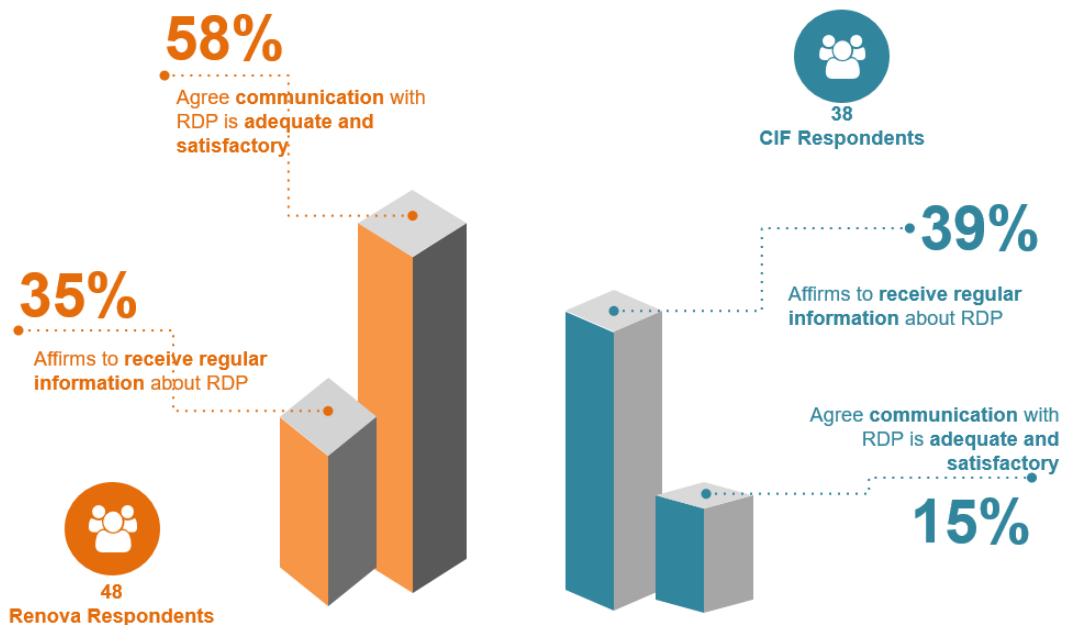
[11] In a survey done with the CIF after the presentation, 70% of the respondents declared the presentation was their first direct interaction with the Panel.

[12] https://www.youtube.com/playlist?list=PLegdcFhKopqnqKG4Co4yc-LhCb66EZUNW

RDP meetings and presentations
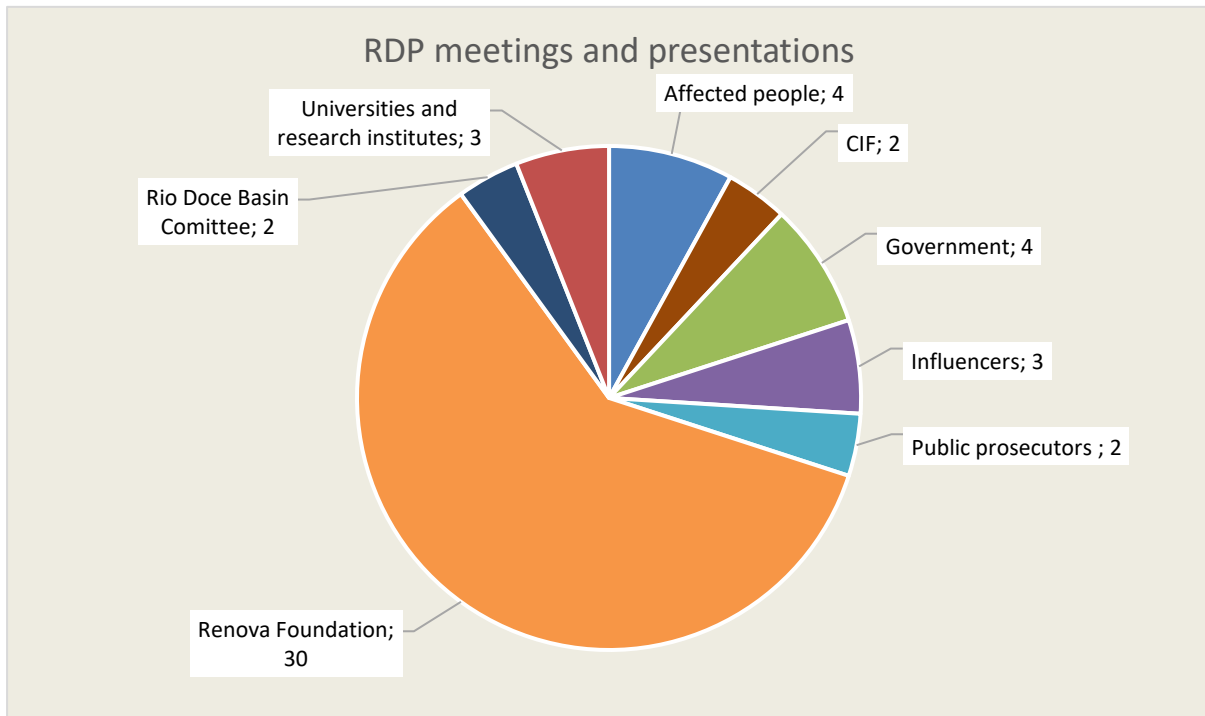
1.4. Uptake of RDP recommendations

Official feedback from Renova

By the end of 2020, the RDP had made a total of **twenty-four recommendations** to Renova and other stakeholders, included in the five Issue Papers and two Thematic reports published since the beginning of RDP work.

A formal feedback process has been established between the Panel and Renova, by which Renova declares their agreement and the implementation status of recommendations using four pre-defined categories of uptake[13]:

-   Category 1: Renova Foundation agrees and the recommendation was implemented or is in the process of implementation
-   Category 2: Renova Foundation agrees and will identify the best way to structure and implement the recommendation
-   Category 3: Renova Foundation agrees and will implement part of the recommendation
-   Category 4: Renova Foundation understanding differs from RDP's advice and this recommendation will not be implemented.

During 2020, RF gave official feedback to the IP05 recommendations, to which the Foundation declared to partially agree (2 recommendations) or to disagree (1 recommendation). By the end of 2020, Renova had given formal feedback for a total of nineteen of the twenty-four delivered recommendations, **declaring to completely agree with 12 recommendations** and to be **currently implementing 10 of them**[14]. The graph below (Figure 10) shows the number of recommendations in

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[13] Categories were redefined in 2020, as described in section 2 – item "Review of MEL tools and advances in MEL activities". New categories are shown in Annex 7. Nevertheless, no formal feedback was received after the agreement on the new feedback form.

[14] By the end of 2019, Renova had given feedback for 16 recommendations, declaring to completely agree with 12. By that time, RF declared to partially agree with two recommendations and disagree with other 2.

each of the feedback categories. RDP is waiting for official responses to the recommendations of IP04
and TR02.

The fact that **Renova declares to be implementing most of the recommendations** (Category
1) at the time the knowledge products are launched may indicate that RDP's main contribution has been
to **reinforce and support solutions already identified as important by the Foundation**.

Renova's official responses to recommendations

- Category 1: Completely agree, implementation in process
- Category 2: Completely agree, RF will enable implementation.
- Category 3: Partial agreement, RF will implement part of the recommendation.
- Category 4: Disagreement. Recommendation will not be implemented.
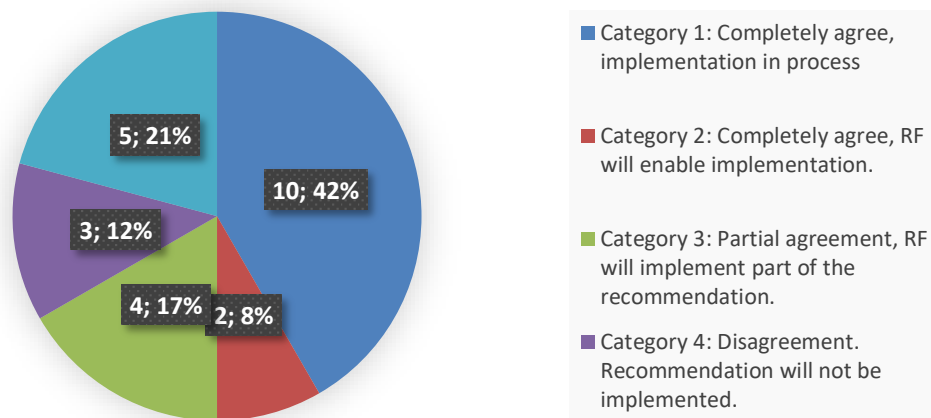
Nevertheless, an analysis of Renova's official feedback, activities' reports and communication material
indicate that, even if some aspects of the recommendations were adopted, there are important gaps in
implementation, as discussed in the next topic.

Assessment of the implementation

An extensive research work designed to capture the influence of RDP recommendations over
RF's activities showed that **Renova's programs adopted some aspects of the recommendations**
addressing *communication and knowledge management*, *alternative livelihoods and economic
development*.

To perform the assessment, the RDP recommendations were divided into six groups according
to their main theme (Table 2). The main topics addressed by each group were used to define key words
and expressions that based extensive searches in Renova Foundation's reports, communication pieces,
websites and any other available material. Relevant results were compiled, and the analysis for two
groups of recommendations were finalized and shared with Renova Foundation (Table 3, below, shows
the summary of the results). The analysis was performed using the NVivo software.

As the results show, **RF's programs addressed some relevant aspects of the analyzed
recommendations.** Nevertheless, we identified **important gaps** in the implementation, even for
recommendations classified by Renova in their official feedback as 'Category 1' (full agreement,
currently being implemented)[15].

The direct or indirect **contribution of RDP recommendations is still not clear** in the cases
where some aspects of the recommendations were adopted. The IUCN MEL officer will identify the

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[15] Namely Recommendations 1 and 2 of IP01; Recommendations 6 and 7 of TR01; and Recommendation 3 of IP02.

best way to asses those eventual links considering the availability of Renova's teams for surveys, interviews or discussions.

In 2021, the same analysis will be done for all other groups of recommendations.

Table 2. Recommendations were separated into groups according to their themes for the implementation assessment.

	Themes of recommendations' groups	Recommendations
1	**Comprehensive impact assessment, adaptive management**	TR01R01; TR01R02; TR01R03; TR01R05; IP04R01; TR01R04
2	**High level governance / institutional relations**	TR02R01;TR02R02;TR02R04;IP02R01
3	**Knowlegde management, communication, information sharing**	TR01R06;TR01R07;IP02R03;IP05R02
4	**Alternative livelihoods, socioeconomic development**	IP01R01;IP01R02;IP01R03
5	**Ecosystem and Human Health**	TR02R03;IP05R01;IP02R02;IP03R01;IP05R03
6	**Rio Pequeno Dam (Juparanã lake)**	IP03R02;IP03R03

Table 3. Summary of the analysis of the implementation of two groups of RDP's recommendations.

Group	3	4
Main subject of recommendations	Knowledge management, communication, information sharing	Alternative livelihoods, socioeconomic development
Recommendations	TR01R06;TR01R07;IP02R03;IP05R02	IP01R01;IP01R02;IP01R03
IMPLEMENTATION	The evidences suggest that **Renova has recently invested in new tools and partnerships for communication and information sharing**. Some examples: - The Program 38 - Monitoring of the Rio Doce Basin – makes data available to both national and state's agencies and society in general through the automatic integration of databases and a dedicated online portal. - A recently launched communication product ("Boletim das Águas") makes advances in the way information about water quality is presented to broader audiences. Regarding the **sharing of knowledge about the restoration process**, Renova participated in events to debate lessons learned in areas like governance and water security. The Foundation is also forging partnerships in specific areas (e.g. reforestation) to share data and experiences.	There is evidence that Renova Foundation **is implementing several elements of IP01 recommendations**: • Partnerships with several stakeholders in the Basin (SEBRAE, 'S' system, NGOs and other Civil Society organizations, Technical assistance institution – EMATER) for professional training and capacity building; • Creation of funds and calls for projects to stimulate economic development and entrepreneurship; • Conduction of diagnostic studies about socioeconomic contexts and opportunities; • Stimuli for forest restoration and agroforestry

GAPS	- N**o evidence for integrated plans and actions for sharing data**. RF's website displays a large number of reports, but the structure and level of detail of available information is not uniform among programs. - N**o evidences of systematic plans for gathering, organizing and disseminating knowledge** from the different programs. - N**o evidences of consistent and robust institutional communication** about impacts on freshwater biodiversity or fish toxicity, neither partnerships for data sharing regarding human health issues.	• Apparently, **actions run independently, as we found no evidence of integrated assessments or planning** as proposed by the recommendations. • The available information does not always allow a deeper evaluation of the **distribution of actions in the territory**. • No specific fund created for land use conversion into more sustainable options.
RDP's contribution	Although it is possible to identify some aspects related to the recommendations among RF's actions, those examples do not respond to the main aspects addressed by the RDP. This is consequently difficult to link RF's activities to the recommendations.	The impact of the recommendations in those activities it is not explicit. Some of the identified actions were already in place when the Issue Paper was launched (March 2019). RDP contribution to the implementation or strengthening of the actions will be assessed through further interactions with Renova Foundation teams.

1.5. Other influences of the RDP

Besides tracking the uptake of recommendations, the RDP MEL strategy uses an Influence log to register any **perceived influence of the RDP on the reparation process of the Rio Doce Basin, as well as unintended effects of its work** in the basin or elsewhere**.** In 2020, the Influence log had 25 new entries, some of them described as examples in this section.

Influence in the reparation process

In two instances of the Influence log, Renova's teams mentioned that **the meetings with the Rio Doce Panel created the opportunity to interact with other teams** inside the Foundation and to think about the reparation process in a **more comprehensive way**.

Other stakeholders also showed interest in the work of RDP:
- A government representative of *Minas Gerais* invited the Panel to **participate in a forum about the current fishing bans**, linked to IP02
- The Rio Doce Basin Committee and the MG State Governments reported **interest in using TR02 as a reference** for addressing Climate Change in plans and policies
- One of **Vale's managers actively circulated TR02** within the organization's experts.

Influence on the landscape restoration in the Rio Doce Basin

Two ROAM assessments[16] cited RDP studies (IP01 and TR02), and one Panel member – Peter May – was invited to **participate on the webinar "Opportunities to restore the Rio Doce basin**

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[16] The ROAM is a methodology developed by IUCN and WRI to identify the best opportunities for ecosystem restoration. The ROAM assessments were conducted by WRI Brazil for the *Gualaxo do Norte* watershed (where the Fundão dam was), and for the Minas Gerais portion of the Rio Doce Basin. Links for the reports can be found on Annex 4.

in Minas Gerais"[17], promoted by the World Resources Institute (WRI) Brazil. The ROAM assessment is an **important step forward toward landscape restoration** as it engages local stakeholders in identifying their expectations regarding restoration, the preferred areas for implementing the activities, and the best restoration methods. Being involved in the **efforts for the planning of ecosystem restoration is significant to the RDP long-term view**, as ecological restoration is a nature-based solution that improves the health and sustainability of ecosystems.

Citations of RDP work in scientific articles and technical studies

In 2020, the work of the Rio Doce Panel was frequently used as **a reference for information on the Rio Doce Basin and the impacts of the Fundão tailings dam failure**. From December 2019 to December 2020, **ten scientific articles cited TR01** to describe the Rio Doce Basin before the disaster and the impacts of the dam's failure. This may represent an important contribution of the Panel in providing complete and publicly available information about the disaster.

The table in **Annex 3 shows all citations** of RDP papers with hyperlinks to the studies.

1.6. Outcomes of RDP work

As mentioned, we identified actions implemented by Renova's programs that align with some of the RDP recommendations, and with further investigation we expect to understand to which extent the RDP work influenced the adoption of those practices. Besides, we track the influences of the RDP work on other stakeholders to follow-up on potential impacts. Concrete outcomes of those influences are tracked and compiled in 'outcome descriptions'. Two examples of **unexpected outcomes** are given below.

- The Global Industry Standard on Tailings Management - Global Tailings Review[18], launched on August 5th 2020, **includes a section on post-disaster** recovery as defended by one of the Panel members, Luis Sánchez, during a public consultation event held in Brisbane, Australia, in December 2019. In addition, the RDP project coordinator, Stephen Edwards, was **invited to participate in the Advisory Group for the Global Tailings Review**, representing IUCN and the conservation community. The involvement of the RDP team in the Review shows that the knowledge acquired in the project can serve as an **international reference for best practices** in tailings management, risks and sustainability.
- The framework for impact assessment recommended in IP04 was used to underpin the elaboration of a socioeconomic restoration plan outside the Rio Doce Basin (details of this outcome are confidential).

1.7. Perceptions and lessons learned

RDP members feedback

Every year in October, after the biannual RDP meeting, Panel members respond to a Survey to assess their perceptions and opinions regarding their own work and IUCN support. In 2020 the **survey was restructured and expanded** to investigate some elements pointed out by the Mid-term review (e.g., organization of RDP documents and procedures for internal communication) and to **assess the members' evaluation of RDP7**, held remotely in September due to Covid-19 restrictions.

The answers show:

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[17] *https://www.youtube.com/watch?v=eXdnrby9h6g&feature=youtu.be*

[18] An initiative co-convened by the International Council on Mining and Metals -ICMM, United Nations Environment Programme - UNEP, and the Principles for Responsible Investment – PRI

- An overall **satisfaction of members** regarding RDP's strategy and operations, RDP's composition, the Chair's role and IUCN support.
- Answers regarding the **IUCN support in the preparation for meetings, monitoring of the Panel's activities and RDP's composition improved** in comparison to 2019 survey.
- Even if all members agree that i) the Panel's meetings are objective; ii) all members are aware of RDP's ToR; iii) there is adequate time and style for decision making and iv) the Panel Chair is effective in her role, **those questions had more answers "moderately agree" than "completely agree"** when compared to 2019.
- Panel members were **overall satisfied with the RDP7 virtual meeting**. A suggestion was made to distribute meetings with external stakeholders along the year instead of concentrating them in the same week as the internal meetings.

The challenges of working in context of the Rio Doce reparation

The reparation of the Rio Doce is a complex process that involves a multitude of stakeholders with varying and changing powers, whose actions respond to several diffuse and frequently divergent interests. The dynamics of the process forms a challenging environment for the Panel to work in. Two recent major facts that can affect the RDP work are:

- **The "judicialization" of reparation programs**. In late 2019, the judiciary started to play a strong role in the reparation process, determining several "axes" to be prioritized, establishing deadlines for the completion of activities and technical requirements. As highlighted by the Renova Foundation teams and directors in several opportunities, this **affects the decision making power of the Renova Foundation** and of the Inter-federative Committee (CIF).
- Renova Foundation's directors communicated to the Panel that the Foundation, from 2020 on, would **focus its efforts on the delivery of the agreed in the TTAC[19]**. According to them, the allocation of the existing resources in activities not linked to the Foundation's obligations can negatively affect the efficient execution of the programs. Building a positive legacy, and going beyond the defined in the TTAC clauses will not be a priority for the Foundation.

These examples illustrate the challenges faced by the Panel, whose vision is long-term and focused on an integrated, basin wide approach that goes beyond the TTAC. The Renova Foundation is the main interlocutor of the Panel, whose outcomes will be affected if the Foundation loses decision-making power, or if it does not support activities that aim for long-term outcomes.

This complex context was taken into account by the RDP when reviewing the Stakeholder map and the Theory of Change. Several discussions were held to debate on ways to adapt the work of the Panel to the new (and always changing) context. More engagement with different stakeholders, more strategic communications, and the inclusion of more specific, short-term recommendations were sought as possible responses. Those debates are also part of the RDP learning process, described below.

RDP Learning process: survey and group discussion

During the MEL session of RDP7 a group-discussion was held with the objective to address one of the MEL Strategy's key questions: **What does the Panel know that could enhance other ISTAP-related processes?** All IUCN staff involved in the project (including support from HQ), the leaders of the IUCN Nature Based Solutions and Business and Biodiversity groups, all Panel members and Renova's focal points participated in the group discussion.

To base that discussion, the participants were invited to answer to a survey with the following questions:

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[19] Transition and Adjustment Agreement

    a) If you knew everything you know now when you began working with the Rio Doce Panel project, would you do something differently?

    b) What do you consider as key elements for an ISTAP to be successful?

The survey's responses were systematized in NVivo, which allowed for the identification of common patterns in the responses. The results were used to build the graphs of the frequency of the themes in the responses (as seen in Annex 5), which were showed to the participants to kick-off the discussions.

The results of the survey and the group-discussion[20] showed that:

a) RDP lessons learned (so far):
- The participants highlighted the **importance of involvement and engagement with relevant stakeholders**. The work of the Panel needs to **add value** to stakeholders, and they need to recognize it.
- It is consequently crucial to **act strategically when communicating** to stakeholders.
- The participants agreed that **more time in the field**, especially in the beginning of the Panel, would have benefited the understanding of the context and stakeholders' necessities.
- The Panel has **overestimated the capacity to deliver studies**. When doing the work plans, it is better to propose less and achieve more than to be too ambitious and under deliver. One specific suggestion is to **avoid writing two Thematic Reports concurrently**.
- The adaptation to the **very dynamic context** of the Rio Doce reparation is a challenge.
- **Close interaction and dialogue with Renova** is very important.

b) Key points for an ISTAP to be successful:
- A **robust process to select high level Panel Chair and members** is crucial, as well as an efficient and healthy environment for **teamwork among members**.
- It is important to have **adequate lead-time to prepare the ISTAP**.
- **Support from IUCN secretariat** is essential.
- Reflect on **which stakeholders should be involved** and what will be the **value for them** to put time and resources to engage with the Panel. Try to identify **short-term outcomes** with more immediate and tangible impacts in the case the vision of the Panel is on the long-term.
- Account for **different and dynamic contexts**.

1.8. Overview of RDP results – Communication and knowledge logframe

The results presented in this report were compared to the indicators and progress markers designed to monitor the project's development. As shown in Annex 4, **four progress markers exceeded expectations** ("like to see" and "love to see" progress markers). Five progress markers show expected results, and **4 expected results were not reached**. One indicator, about the awareness and support from local leaders, was not assessed.

As highlights of the logframe we cite the **national and international outreach of RDP work**, with RDP papers being used a **reference in the context of the Rio Doce Basin** and the impacts of the disaster. Another good result was on **Renova's official responses to the recommendations** - although concrete impacts at operational and decision making levels was not explicit.

The indicators that **did not reach expected results** were:
- The number of knowledge products delivered. As mentioned in section 1.1, the Panel launched two of the four foreseen papers. Nevertheless, two drafts of Thematic Reports were finished and shared with Renova and peer reviewers, and are now going through the editorial process. Launches are expected for 2021 Q1 and Q2.

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[20] The MEL session, which includes the results of the group discussion, is reported as part of the RDP7 meeting public report available at https://www.iucn.org/rio-doce-panel/panel/rio-doce-panel-meeting-documents

- <u>Awareness of different stakeholders and decision makers about the RDP's work</u>. This deficiency, pointed out by the MTR, is being addressed by the RDP project and will be a priority for 2021. The review of the stakeholder mapping will support the necessary adjustments in the RDP's Communication & Engagement Strategy.
- <u>The number of RDP's participations in external events</u>, impacted by the Covid-19 pandemic as many events were cancelled or postponed in 2020.
- <u>The improvement of RDP internal Survey responses in 2020 when compared to 2019</u>. There was an improvement of 20% of the responses, a lower level than the 30% defined by the "expect to see" marker. Considering that responses had improved more than 30% in 2019 when compared to 2018, it is expected that the rate of improvement in responses decreases. This progress marker will probably be reviewed in 2021, acknowledging that improvement cannot be infinite.

2. Other important achievements of the RDP project in 2020

Mid-term review

A Midterm Review (MTR) of the RDP project took place in the first semester of 2020. The evaluators presented the results in a webinar on July 16th. **The final report made twenty recommendations to IUCN, the Panel and Renova, who provided a joint management response**. Both the report and the management response are publicly available at https://www.iucn.org/resources/monitoring-and-evaluation/evaluations-database.

The recommendations prompted the review of important tools for the RDP project as the Stakeholder Map and the RDP's Theory of Change, the set of criteria the Panel uses for themes selection, the format of in-depth meetings (done after the launch of RDP knowledge products), and the standard questions used for official feedback from Renova. We detail some of those below.

Joint Review of the Stakeholder mapping and Stakeholder Analysis

A work group composed by the IUCN team, Panel Members and two Renova representatives performed a **joint review of the RDP Stakeholder Map**, which resulted in the identification of the key stakeholders for the RDP (Annex 6). As a following step, the IUCN team **analysed each stakeholder**, considering their mandates, previous interactions with the RDP, and main perceived interests.

Those comprehensive reviews allowed for a deeper understanding of the interests and powers of identified stakeholders, highlighting their potential roles in the achievement of the RDP vision for the Rio Doce Basin. This mapping was the basis for the review of RDP's Theory of Change, explained below.

Review of the RDP's Theory of Change

Based on the list of key stakeholders and the results of the stakeholder analysis performed by the IUCN team, **the Panel members and Renova focal points revisited the RDP's Theory of Change (ToC)** in a series of virtual meetings that took place in November and December 2020. The exercise was able to clarify some aspects of the previous ToC diagram and narrative, describing three possible levels of knowledge uptake by stakeholders (awareness, understanding/recognition, and use), defining the causal links between the RDP's activities and the desired outcomes, and identifying underlying assumptions.

The resulting ToC Narrative is in Annex 7. A graphic designer is working to transform the final diagram built by the teams using an online 'whiteboard' platform[21] in an easily shareable figure.

Review of MEL tools and advances in MEL activities

Some MEL tools were reviewed responding to perceived needs according to the evolution of the project and to MTR recommendations:

- **Changes in the format of in-depth meetings**, done with Renova's teams after the launch of RDP knowledge products. The new structure of the meetings focus on the **how the teams evaluate the possibilities and challenges to implement** the recommendations, in addition to identifying the programs where recommended actions are already in place.
- **Review of the feedback form** by which RF gives official feedback to the RDP. The new format (Annex 8) **reshaped the feedback categories** to better reflect the Foundation's agreement and willingness to implement the recommendations, as well as to indicate the eventual need for the involvement of other stakeholders. The new format also aims to **register concrete actions** put in place or planned by the RF to enable implementation.
- **Review of the RDP's criteria for themes selection**. The new criteria were defined with the participation of the Panel Members and aim to indicate, among the potential themes for the development of knowledge products, the ones in which the Panel has high potential to give meaningful, applicable and timely contributions (Annex 2).
- **Review and re-organization of the MEL tracking sheets**, used to monitor the indicators of the result areas.

In 2020 it was possible to perform the first analyses of the implementation of RDP recommendations by Renova, as showed in section 1.4. Those analyses will be complemented and extended to other stakeholders.

The conduction of **surveys with RF, the Advisory Board and the CIF** also allowed for a better understanding on how those stakeholders evaluate the work of RDP, as shown in Section 1.2. A database was built with the contacts of all stakeholders that interacted with the RDP in 2020 and will be used to **follow-up on the influences** of the RDP on the multiple audiences.

Finally, during the RDP7 **dedicated half-day MEL session**, the presentation of results and progresses organized by the MEL officer triggered important debates about the work of the Panel, with the participation of all IUCN staff involved in the project, the Panel Members, and RF focal points.

3. Insights regarding MEL key questions and next steps for MEL

2.1. How can these results help to answer the MEL key questions?

The results shown in this report were used to inform the high-level discussions that took place in 2020 involving RDP members, IUCN and Renova Foundation. The MEL key questions were presented and debated among participants, and the systematized results of the discussions are shown below. The answers form a comprehensive summary of the MEL strategy potential to contribute to a better understand of the project functioning, its achievements, and the challenges it faces.

I.   Is the Panel informing and influencing target audiences in the way it anticipated? If not, then how?

In general, results suggest that the RDP is informing the Renova Foundation in the way it anticipated, but there is space for improvements on how the knowledge produced by the RDP reaches

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[21] https://miro.com/app/board/o9J_ld16MA0=/

other stakeholders. Influence of RDP work is still difficult to track, yet some early markers show potential influence on Renova, governments and other policy makers.

Renova Foundation is the main interlocutor of the Panel, and its teams are overall satisfied with RDP's communication. The online launch of TR02 had a positive side effect, allowing a larger audience to participate in the event. Other interactions of the Panel with Renova's teams were also strengthened in 2020. As the main target audience, Renova declares so far to agree with and be keen to implement most of the Panel's recommendations, and Renova's teams consider the work of the Panel as of high quality. Nevertheless, as mentioned in section 1.4, there is a discrepancy between the declared acceptance of the recommendations and the lack of evidence showing their full implementation, as well as difficulties in identifying the influence of RDP work on the actions in place.

Results show that there is space for improvement in the communication with other key stakeholders. The RDP strengthened the communication and interaction with some of them (e.g. CIF and Rio Doce Basin Committee) in 2020, and the reviewed Communication Strategy to be launched in 2021 aims to account for other needs. As a specific good result in outreach, we highlight the use of the Panel's work as a reference to inform academic research about the Rio Doce Basin, which exceeded expectancies.

The influence of the RDP on other stakeholders than Renova is harder to monitor, as there are no previously agreed feedback fluxes between them and the Panel. Some early markers showed that dedicated presentations of the RDP products to other target audiences than Renova can have positive results in influencing important stakeholders: MG government and the Rio Doce Basin Committee showed interest in using TR02 recommendations. The MEL strategy will reinforce the use of different research methods to capture the eventual evidences of RDP influence.

II.   Is the Panel and IUCN performing as they expected in the planning phase?

The performance of the Panel had a significant improvement regarding product delivery when compared to 2019. Half of the expected knowledge products were launched in 2020, and the two other Thematic Reports foreseen by the work plan are currently under final editorial review. Some reflections on the reasons for the delay in launching the 2 TRs are:

- Higher level of complexity of TRs. Besides being a more complex document, requiring more time for elaboration, the TR has editorial requirements that IPs do not.
- Simultaneous work in two TRs divided Panel members' efforts.
- The Panel did not have enough clarity about the final product of the TRs when the writing process started, which input delays to the writing phase.

The RDP internal survey reveals that Panel members are satisfied with their team work and the support of IUCN. The Covid-19 pandemic had limited effect over RDP's performance.

III.   What impact has the Panel on how its audience undertake their core activities and how lasting are these changes likely to be?

We identified actions linked to RDP's recommendations in RF's activities, but the contribution of RDP to those results was not explicit. In 2021, the MEL strategy will focus on understanding the impact of the recommendations not only on Renova but also on other stakeholders.

IV.   Are there any unintended consequences of Panel actions?

As detailed in sections 1.5 and 1.6, some unintended consequences of the RDP work tracked so far are:

- Promote the integration of RF's teams and an opportunity for them to reflect about alternatives for the restoration programs;
- The influence on a global forum discussing best practices on mining.

V.   What does the Panel know that could enhance other ISTAP-related processes?

Summarizing the learnings described in section 1.7, an ISTAPs need to be aware of and respond to the specificities and complexities of the situation it is addressing, involving key stakeholders in the process and adding value for them. Capacity to adapt is also important in dynamic contexts.

More specifically, it is crucial to have strong support from IUCN, to have enough lead time to prepare the ISTAP, and to make a robust selection process for the Panel Chair and Panel Members. When defining the annual work plans, it is important to account for the 'learning curve' of initial years and to consider being conservative when proposing the deliverables.

2.2. Which improvements in MEL are expected for 2021?

There is a great expectation for the continuity and deepening of the analyses aiming to capture how RDP recommendations are influencing the reparation process and being implemented by Renova and other stakeholders. The continuation of documental analyses will be complemented by interviews and surveys in order to make RDP's contributions more explicit.

The review of RDP's ToC done in 2020 triggered the necessity for a review of the project's Logical Framework and adaptations to the MEL Strategy as well, which will be done in 2021 Q1.

*Annex 1. Criteria for the assessment of priority in proposed issues to be targeted by RDP knowledge products **in use until March 2020***

The RDP defines priority themes to work on based on a set of criteria, in which the first three are mandatory for a subject to be addressed by the Panel:

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 RDP's vision?

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?

Priority is then classified as following:

High Priority: Theme meets 3 mandatory criteria + 6 or 7
Medium Priority: Theme meets 3 mandatory criteria + 4 or 5
Low Priority: Theme meets 3 mandatory criteria + 2 or 3

Annex 2. Criteria used for themes selection from September 2020 on.
2020 Review - "Themes selection indicators"

➢ RDP is able to provide useful and informed scientific response to the issue/theme. (<u>YES is mandatory to ALL – 1 to 4</u>)

1. Does the Panel have the **expertise and capacity** to lead the elaboration of the product?
2. Does the Panel have enough **clarity about what will be the final product**?
3. Is there **publicly available technical and scientific information** about the issue/theme to support the product construction?
4. Does the issue/theme **align with the RDP's Terms of Reference and Scope**?

➢ Contribution to RDP vision[22] (<u>YES is mandatory to at least one of the items – 5 or 6</u>)

5. Does the issue/theme address long-term, basin wide solutions?
6. Does the issue/theme directly contribute to improve social and environmental health and resilience?

➢ Other:

7. Can the RDP address the issue/theme and deliver the product in time for stakeholders to act upon the recommendations?
8. Will responding to the issue/theme contribute to conflict management?
9. Was the issue/theme suggested or mentioned by Renova or other stakeholders?
10. Does responding to the issue/theme help setting the Rio Doce as a sustainable development model for other basins?

High weight: Meet all criteria from 1 to 6 (ability and vision) + 3 or 4 other
Medium weigh: Meet mandatory criteria + 1 or 2 other
Low weight: Meet all mandatory criteria

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[22] Long term environmental and socioeconomic health and resilience for the Rio Doce Basin and adjoining coastal zone

Annex 3. Citations of RDP's knowledge products in technical and scientific studies

Date	Name	Journal / Institution	Type	Mention	Link
Dec-19	Geochemical evaluation of bottom sediments affected by historic mining and the rupture of the Fundão dam, Brazil	Environmental Science and Pollution Research	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://link.springer.com/article/10.1007%2Fs11356-019-07119-1
Mar-20	Conservation paradox: Large-scale mining waste in protected areas in two global hotspots, southeastern Brazil	Ambio	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://doi.org/10.1007/s13280-020-01326-8
Apr-20	Rapid Ecological Evaluation of the Terrestrial Flora and Fauna in the Rio Doce Basin (Avaliação Ecológica Rápida da Fauna e Flora Terrestre na Bacia do Rio Doce) – Annual report 2020	Bicho do Mato	Technical Study	Cites TR01 to describe the Rio Doce Basin	Not publicly available
May-20	Marine zooplankton dynamics after a major mining dam rupture in the Doce River, southeastern Brazil: Rapid response to a changing environment	The Science of The Total Environment	Scientific Journal	Cites TR01 to describe the Rio Doce Basin	https://doi.org/10.1016/j.scitotenv.2020.139621
May-20	Ecotoxicological assessment after the world's largest tailing dam collapse (Fundão dam, Mariana, Brazil): effects on oribatid mites	Environmental Geochemistry and Health	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://doi.org/10.1007/s10653-020-00593-4
May-20	Possible contamination of the Abrolhos reefs by Fundao dam tailings, Brazil – New constraints based on satellite data	The Science of The Total Environment	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://doi.org/10.1016/j.scitotenv.2020.138101
Jul-20	Oportunidades de restauração de paisagens e florestas - ROAM - na Bacia do Gualaxo do Norte	Renova Foundation - WRI Brasil	Technical Study	Cites IP01 to describe the socioeconomic situation before the dam's collapse and its impacts	https://www.fundacaorenova.org/wp-content/uploads/2020/06/relatorioroambaciagualaxo.pdf
Sep-20	Recovery assessment: the process needed after impacts have exceeded sustainability limits	International Journal of Environmental Impacts	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://www.witpress.com/elibrary/ei-volumes/3/3/2702

|				and mentions part of its recommendations	
Sep-20	Content analysis of dam break studies for tailings dams with high damage potential in the Quadrilátero Ferrífero, Minas Gerais: technical weaknesses and proposals for improvements	Natural Hazards	Scientific journal	Cites TR01 to describe impacts of Fundão's dam failure	https://link.springer.com/article/10.1007/s11069-020-04254-8
Sep-20	Interaction between Epistylis sp. and copepods in tropical lakes: responses of epibiont infestation to species host density	Liminologica	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://doi.org/10.1016/j.limno.2020.125815
Oct-20	Satellite evidence for pervasive water eutrophication in the Doce River reservoirs following the collapse of the Fundao dam in Brazil	Environmental Pollution	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://www.sciencedirect.com/science/article/abs/pii/S0269749120367038
Oct-20	A Two-Fluid Simulation of Tailings Dam Breaching	Mine Water and the Environment	Scientific Journal	Cites TR01 to describe impacts of Fundão's dam failure	https://doi.org/10.1007/s10230-020-00717-3
Dec-20	Oportunidades de Restauração de Paisagens e Florestas na Porção Mineira da Bacia do Rio Doce - Resultados e recomendações da aplicação da ROAM	IEF MG - WRI Brasil	Technical Study	Cites one of TR02 recommendations	http://www.ief.mg.gov.br/images/stories/2020/ROAM/Metodologia_ROAM_Bacia_Doce.pdf

*Annex 4. Assessment of the results according to the progress markers defined in the Communication and Knowledge logframe. In the **"Results"** column: White: achieved as indicated in progress markers. **Orange:** indicators that did not achieve the "expect to see" marker. **Yellow:** indicators not fully assessed.*

| OUTCOME 1	Results	EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Rio Doce ISTAP established and working with independence, transparency, responsibility and commitment, supported by IUCN Secretariat	Studies covered 8-10 criteria	Topic selected cover at least 6 priority criteria	Topic selected cover at least 8 priority criteria	Topic selected cover at least 10 priority criteria
	All Panel members have signed Conflict of interest statement	All Panel members have signed Conflict of interest statement and are independent		
	50% achieved by Q3	80% of products foreseen at annual work plan are delivered	100% of products foreseen at annual work plan are delivered in time	Products delivered outpass the number foreseen at annual workplan
	There was na improvement of 20% of the responses	There is improvement in the results of 30% of the questions in the survey compared to the year before	There is improvement in the results of 50% of the questions in the survey compared to the year before	There is improvement in the results of 80% of the questions in the survey compared to the year before
OUTCOME 2		EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Recommendations and knowledge generated by RDP adopted in **Renova Foundation** programmes	RF declares to totally agree with 12 of 19 recommendations. MEL efforts are addressing concrete implementation	At least 50% of recommendations are adopted and/or reflected in RF operational decision	50 to 75% of recommendations are adopted and/or reflected in RF operational decision	More than 75% of recommendations are adopted and/or reflected in RF operational decision
OUTCOME 3		EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Recommendations and knowledge generated by RDP reflected in **government policies and regulatory frameworks**	Surveys showed that more than 60% of CIF representatives were not aware of the RDP's work.	At least 50% of decision makers consulted are aware and supportive of RDP´s work.	50 to 75% of decision makers consulted are aware and supportive of RDP´s work.	More than 75% of decision makers consulted are aware and supportive of RDP´s work.
	One meeting with CIF's executive Secretariat and presentation of TR02 to CIF	RDP members meet CIF executive secretary and other CIF members at least once a year	RDP recommendations are taken to CIFs comissions and general meetings	CIF meetings minutes and/or statements with supportive mention to RDP´s recommendations.
	CBH Doce representatives and MG government representatives mentioned interest to consider TR02 in plans and policies addressing Climate Change	From 1- 3 reports and/or statements from the public sector actors positively mentioning the work of RDP and recommendations.	More than 3 reports and/or statements from the public sector actors positively mentioning the work of RDP and recommendations.	Existing laws for waterbasin conservation enforced, and new programs to support their implementation established related to RDP recommendations.
OUTCOME 4		EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Communication and information about the work of RDP disseminated among **Do-ers** (affected population, farm cooperatives, fishers association, traditional communities, steel and mining companies, traders and tourism)	Some tools (i.e. Newsletter incription form) is only available in English	All reports, meeting summaries, communications materials and main website pages translated to Portuguese.	All reports, meeting summaries, communications materials and all website pages translated to Portuguese.	All reports, meeting summaries, communications materials translated to Portuguese and Portuguese version of RDP website.
	Not assessed	At least 50% of local leaders consulted are aware and supportive of RDP´s work.	50 to 75% of local leaders consulted are aware and supportive of RDP´s work.	More than 75% of local leaders consulted are aware and supportive of RDP´s work.
OUTCOME 5		EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Scientific findings, knowledge, and lessons from RDP process shared and taken up by **Influencers** (media, social movements, NGOs, universities and international agencies)	Impacted by Covid 19 pandemics.	Panel members and/or IUCN presented RDP's work in at least 5 events.	Panel members and/or IUCN presented RDP's work in at least 10 events.	Panel members and/or IUCN presented RDP's work in at least 15 events.
	Achieved for TR02, not for IP 05	At least 10 media articles or interviews released by Thematic Report and at least 5 by Issue Paper.	At least 15 media articles or interviews released by Thematic Report and at least 10 by Issue Paper.	More than 15 media articles or interviews released by Thematic Report and more than 10 by Issue Paper.
	19 spontaneous (En+Pt) shares of TR02 on Tweeter, 12 citations of RDP papers, 10 of them references of TR01 in scientific articles	At least 5 influencers replicated RDP´s work (on social media) and engaged in activities promoted by RDP	At least 10 influencers replicated RDP´s work (on social media) and engaged in activities promoted by RDP	At least 10 influencers replicated RDP´s work and engage in activities promoted by RDP; Academic papers, reports and publications referenced RDP´s reports and/or papers and/or recommendations.
	Pageviews from several countries	Thematic reports and issue papers are accessed by municipal and state level audience.	Thematic reports and issue papers are accessed by national level audience.	Thematic reports and issue papers are accessed by international level audience.

Annex 5. Results of the "RDP learning" Survey conducted with IUCN teams and Panel members to base a group discussion in RDP07.
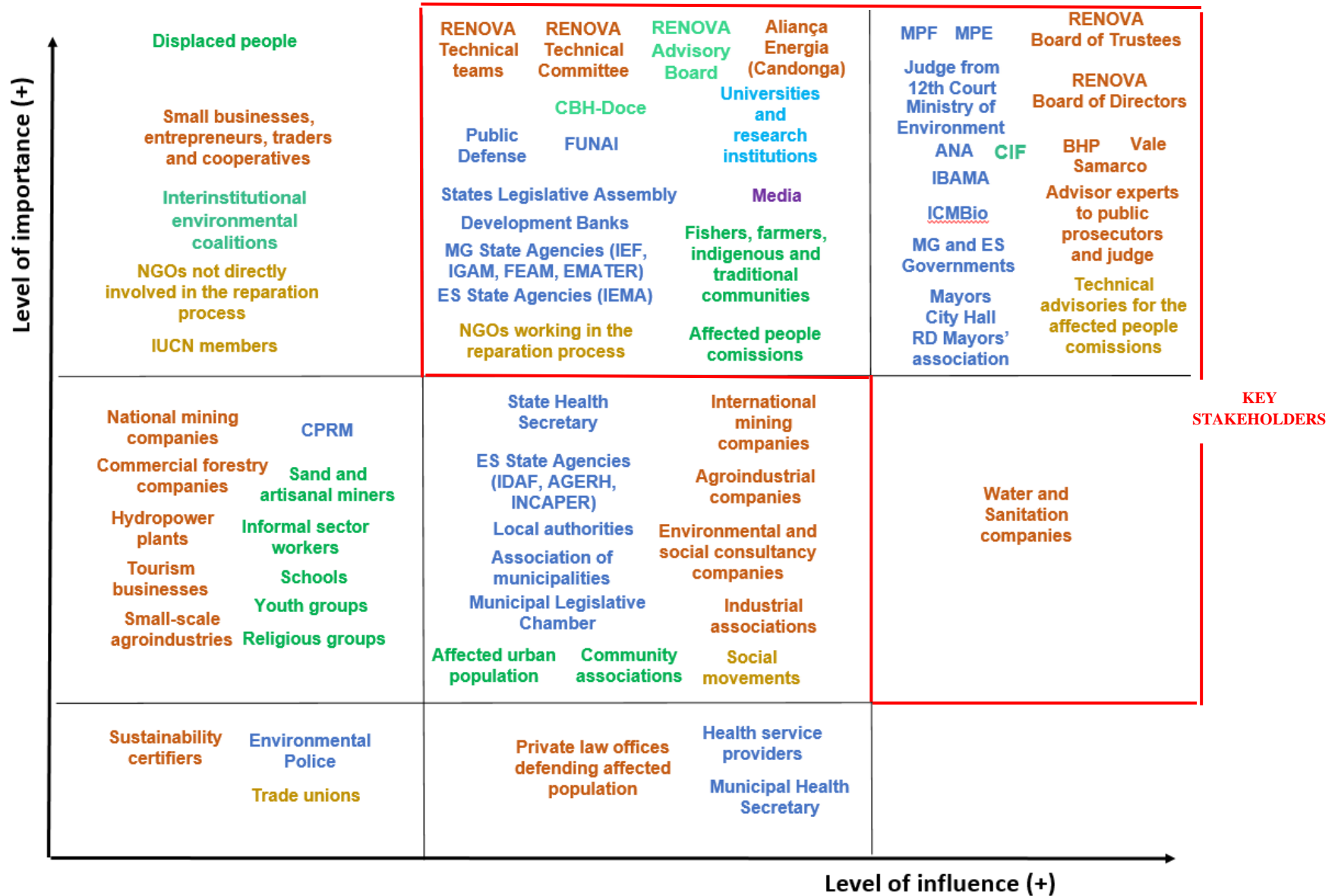
If you knew everything you know now when you began working with the Rio Doce Panel, would you do something differently?
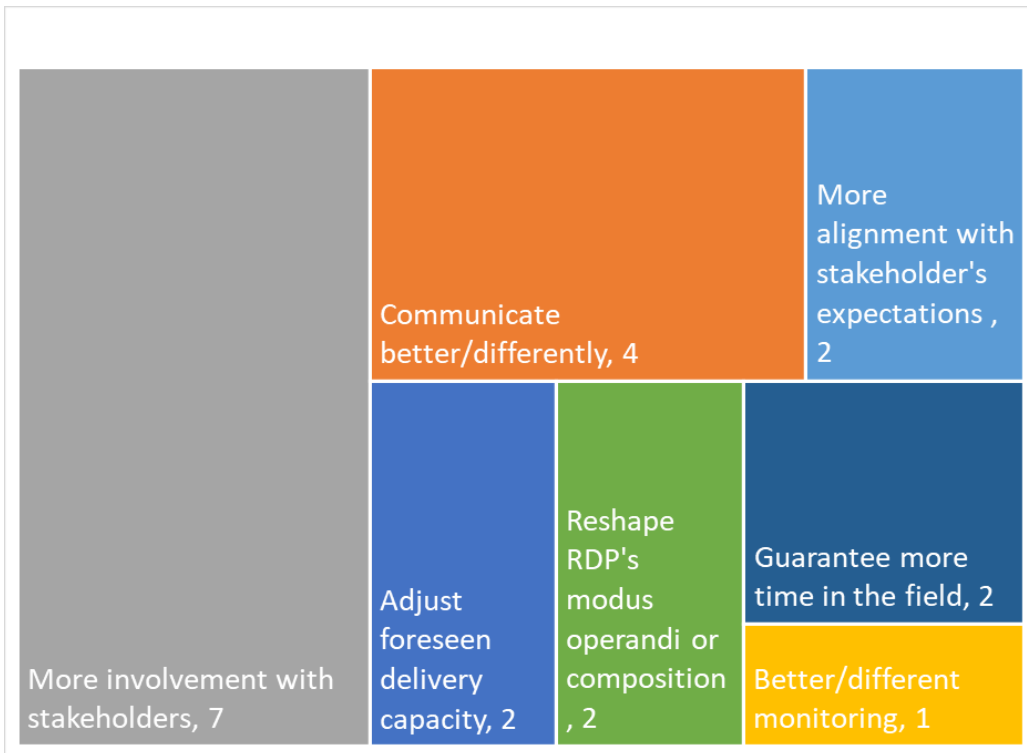
What do you consider as key elements for an ISTAP to be successful?
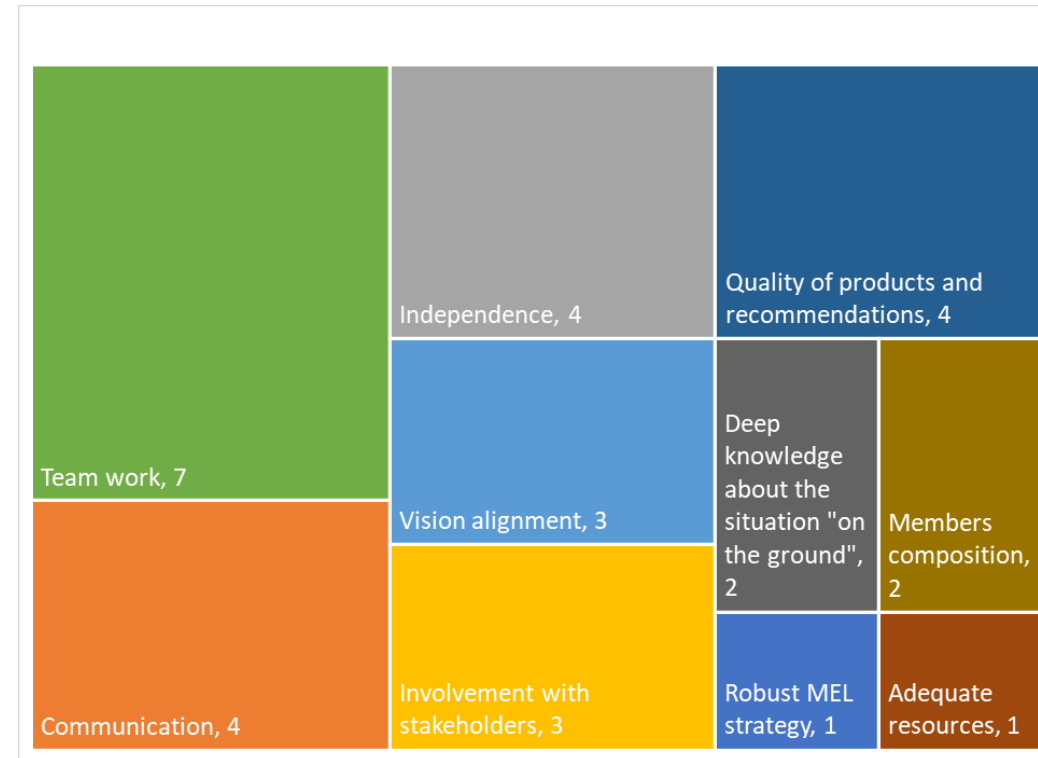
Annex 6. Diagram with the results of the Stakeholder Mapping review conducted by IUCN and Renova in 2020. Outlined in red, the identified "key stakeholders".

KEY STAKEHOLDERS

Annex 7. The reviewed RDP Theory of Change Narrative
Rio Doce Panel - Theory of Change Narrative

The Rio Doce Panel's (RDP) vision is for **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.

The RDP, guided by the ISTAP's principles, acts through the timely delivery of clear, targeted, credible and legitimate Recommendations packaged in *Issue Papers* and *Thematic Reports*. If implemented by the targeted stakeholders, **these recommendations influence the restoration process and the long-term management of the basin**, contributing to the RDP's vision.

Topics for the Issue Papers and Thematic reports are selected by the RDP based on the knowledge of the Panel members and the needs of Renova Foundation (RF) and other stakeholders. Members of the Panel use fieldwork, information from stakeholders, and publicly available data and studies to develop their analysis and make their recommendations. All RDP papers go through a rigorous process to ensure quality and independence, including revision by anonymous peer reviewers, Renova staff and other stakeholders, when necessary. IUCN staff supports the RDP in all stages of the process.

Each key stakeholder identified by the Panel and presented in the Theory of Change is expected to **use the recommendations according to its interest, mandate and possibilities,** as described in the diagram. For that to happen, the stakeholders need, as a first step, **to be aware of the recommendations, and then to agree with them**, recognizing them as important to their role and their needs.

IUCN develops and implements a **tailored communication strategy** that is expected to be effective at disseminating the work of the panel to the different key stakeholders. **The intended outcome of the communications activities is to make all key stakeholders aware about the RDP**, its knowledge products, and its recommendations.

Nevertheless, stakeholders are expected to use recommendations only if they both understand and agree with them, in addition of being aware of RDP's work. Assuming that both the RDP and the key stakeholders adhere to a common vision, it is expected that the engagement activities led by the Panel will be effective in promoting the stakeholders' understanding and thereby their agreement regarding the recommendations.

The RDP, with the support of IUCN, engage with the key stakeholders through meetings and discussions. Those interactions are also expected to serve as a source of information and feedback, allowing the Panel to produce meaningful recommendations in response to stated interest.

However, acknowledging that stakeholders have different responsibilities, mandates, power and resources to implement the recommendations, and that the resources of the RDP are limited, **engagement activities will prioritize the stakeholders that are most likely to contribute to the RDP's intended ultimate goal**. These stakeholders are, in order of importance: the Renova Foundation, the Inter-Federative Committee (CIF) and its Technical Chambers, the Governments, the Basin Committee and other policy makers (state and municipal agencies, the legislative, and regulators). This prioritized engagement is expected **to guarantee that those stakeholders both understand and agree with recommendations** (outcomes shown within the "line of accountability" of the Panel).

The RF and the CIF directly manage and implement the restoration activities in the region, while the Governments and other policy makers will play a key role in promoting the sustainability of the restoration efforts on the long-term and beyond Renova's existence.

The Media will have a differential role. This stakeholder cannot act upon the implementation of recommendations but can broadly share the work of the RDP, having a diffuse reach over a large number of key stakeholders and therefore contributing to the dissemination of the knowledge produced by the RDP. In addition, we assume that the Medias can influence the decision-making when sharing content about the RDP recommendations.

Considering this, the IUCN and the RDP will identify strategic ways to engage with the media, depending on RDP's and Media's interests regarding each aspect of the Panel's work.

The RDP will also engage with the other key stakeholders (Public prosecutors and defenders, Judge of 12th court, "Do-ers" and "Influencers") with differing levels of intensity and investment, and depending on the degree to which recommendations are linked to their specific mandates.

The RDP expects that the uptake of recommendations by the key stakeholders in the short, medium and long term will contribute to the RDP's ultimate goal and vision for the Rio Doce Basin.

FIRST FEEDBACK FROM RENOVA FOUNDATION

RDP PRODUCT: THEMATIC REPORT 2 - Mainstreaming Climate Change in the
Rio Doce watershed restoration

Date: *To be completed by Renova Foundation as the organization's official feedback, up to 60
days after the in-depth meeting.*
Answers in English or in Portuguese

Recommendation 1 (TR02R01):

**Initiate a dialogue towards the development of a Rio Doce watershed Climate Action
Plan.**

Recognising that Renova cannot be held responsible for factors associated with mitigation and
adaptation to climate change in the Rio Doce Basin, the Panel recommends that Renova convenes an
interinstitutional working group. Together with representation from the two state governments, sectoral
representatives, public prosecutors and the judiciary, as appropriate, they would consider first and foremost
the potential threats posed by climate change to successful outcomes of TTAC programmes and subsequently
develop a climate action plan for the watershed. The working group would focus initially on adaptation
measures, definition of emission reductions projects, as well as identification of financial opportunities related
to climate action for the watershed. Convening of such a working group could be coordinated by the Rio Doce
Watershed Committee. Recognising the need to take into account the Rio Doce Basin as a whole, within a
source-to-sea system, the Panel recommends that efforts the adoption of a unified catchment area strategy for
assessment and adaptation to climate change effects.

1. **Which of the following statements better reflects Renova's next steps regarding
   this recommendation?**
   [Insert "X" in the adequate response. Details to be included below, according to the answer]

A. 1. The recommendation reinforces current practices of Renova Foundation that will be continued, supported by the recommendation	
2. The recommendation addresses a gap and Renova Foundation will work to implement what is under its competence	
B. Renova foundation partially agrees with the recommendation. In consequence, only some aspects of it will be implemented.	
C. This recommendation will not be implemented by Renova Foundation.	

Details/ Justification:
*[Be **as specific as possible**, naming programs or activities and the institutional areas
responsible for them. If possible, **include links** to materials that illustrate the answers].*
If A.1 is chosen:
- Why do you think this recommendation is useful?
- Which programs/activities will benefit from the support of this recommendation? How is the
  recommendation expected to help the continuity of the actions?
- Is it possible to estimate by when this recommendation will be implemented?
- Are there financial resources allocated to the implementation of this recommendation?
If A.2 is chosen
- Why do you think this recommendation is useful?

- In which programs/activities will this recommendation be implemented?
- Which are the next steps toward implementation?
- If it is the case, describe how the engagement of other stakeholders is expected or necessary to the implementation of this recommendation.
- Which challenges, if any, can be foreseen in the implementation of this recommendation? How could Renova overcome them?
- Is it possible to estimate by when this recommendation will be implemented?
- Will there be financial resources allocated to the implementation of this recommendation?
  If B is chosen:
- Which part of the recommendation will not be implemented and why?
- Which part of the recommendation will be implemented, in which program/activity? Is it possible to estimate by when?
- Which challenges, if any, can be foreseen in the implementation of this recommendation? How could Renova overcome them?
- Will there be financial resources allocated to the implementation of this recommendation?

  If C is chosen:
- Why will this recommendation not be implemented by Renova Foundation?

2. **Observations**
   [optional]
3. **Public feedback to be posted at RDP website**
   *[maximum 1000 characters, including space. If possible, **include links** to materials that*
illustrate the answers]