



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

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 6572r460.00000

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-

observance of the RF's legal, institutional and complex governance framework; and the fragile nature of stakeholder analysis when mapping the legal and insti

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

" 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

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

The RDP currently has six experts on the following areas: Governance, Freshwater Ecology and Limnology, Engineering and Impact Assessment, Natural Resources and Ecological Economy

the 6th RDP Face-to-

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
the RF,

For

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

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 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 –

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 evaluated 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,

of communities and natural resources, social participation, and Human Rights.

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

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.

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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

and did not include an analysis of the legal and institutional framework that could provide an understanding . 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 *Program Objective 6 G/F1 11* 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.

settings

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

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 DP's's

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, reso,

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

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 _____ 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

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

The Panel should not refrain from providing recommendations for the long term, but it is necessary to understand

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

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

Annex - Data Collection Report



RIO DOCE PANEL MIDTERM REVIEW

DATA COLLECTION REPORT

Brasília, May 2020

1.

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%

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 a

<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.

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.

Renova Survey

	of not making the best use of RDP's independence.	
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Semi-Structured Interviews

Policymakers and Regulator, Renova's Directors, Staff and Consultants, and Mining companies

Based on the interviews, in general, IUCN brand contributes to this principle.

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.

Regulators, Influencers and Policymakers

To dialogue and be introduced mainly by RF to the different audiences can diminish the Independence and the

<p>What are the factors that diminish the RDP Independence?</p> <p>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>	<p>factors that diminish independence or potential.</p>	
<p><i>[Independence]</i> 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	

the contracting party to directly engage consultants over whom they can exe

<p>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> <p><u>Policymakers and Regulators (Members of CIF or its Technical Chambers)</u></p> <p>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.</p> <p>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.</p> <p>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> <p><u>Renova Staff and Consultants</u></p> <p>RDP does not communicate much with CIF and other stakeholders – they should engage in more dialogue with the state prosecutor and other audiences.</p> <p>“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>		
<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>	

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><u>+Document Analysis</u></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_aoIKJZO4), 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>	
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+Renova Survey:

Regarding the question: "I know the RDP objectives and its independent character in drafting recommendations for RF"

+Semi-structured interviews

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.

The site contains all the information necessary to understand the work arrangements, but it is not easily accessible for the target audience.

<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" data-label="Figure"> <table border="1"> <caption>CIF Survey Results</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>																			

58% disagreement for policy-makers and regulators.

57% agreement for Do-ers and influencers

[Engagement]

2.3.1. To what extent is the RDP working with all affected parties?

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.

The instruments for checking adoption and the scope of its recommendations n

For one of the Espirito Santo policy-makers interviewed, 3 of the RDP's perceptions were remarkable: that the

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:

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

There is a reference to a request from RF staff:

“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.”

There are also mentions to requests from RF for which the panel advised to hire consultancy companies.

RDP 3 Internal Report

Board of trustees meeting:

“The Board expressed a desire to have their technical teams reviewing Panel outputs as part of the review process”

RF’s technicians started to review RDP’s publications, without affecting RDP’s independence to finalize their conclusions and recommendations.

RDP 5 Internal Report

Project Board Meeting Main outcomes were:

Suggestion to approach public prosecutors’ reparation workforce (José Adécio) and Luciano Penido;

Until RDP6 Face-to-Face Meeting, RDP had not contacted the Prosecutor’s Office.

RDP 6 Internal Report

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

<p>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>	<p>approach is to collect information instead of trying to build collective knowledge.</p>	
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[Engagement]

2.3.2. Does the Panel composition

<p>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.</p> <p>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>	<p>Mining companies expressed critic, reactive and defensive positions toward the Panel.</p>	
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+Documental Analysis

IUCN ANNUAL RDP SURVEY

Q15 The Panel's composition is fit for purpose

2018: strongly agree (57%), moderately agree (43%),

2019: strongly agree (57%), moderately agree (29%), moderately disagree (14%)

<p>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</p>		
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Name, Position, Theme.

Academic Grade (Lattes)

Other Experiences (Lattes, Orcid, Wikipedia, Google Scholars)

Yolanda Kakabadse, Chair of the Panel.

Graduation in Educational

Psychology (Wikipedia)

GOVERNANCE

		Former Secretary of Biodiversity and Forests of the Ministry of the Environment of Brazil		
Peter H. May	PhD in Natural Resource Economics and Master's in Regional Planning from Cornell University.	Professor at the Department of Development, Agriculture and Society of the Federal Rural University of Rio de Janeiro (UFRRJ)		
NATURAL RESOURCES AND ECOLOGICAL ECONOMY.				

+Documental Analysis

+SURVEY para os membros do RDP: answered by 5 of 6 active members and 2 of 4 former members.

The members declared the following expertise:

Areas of Expertise of TOR	Members	Former Members
Landscape management and restoration	3	1
Integrated water resource management	2	0
Freshwater ecology	1	0

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			

[Engagement]

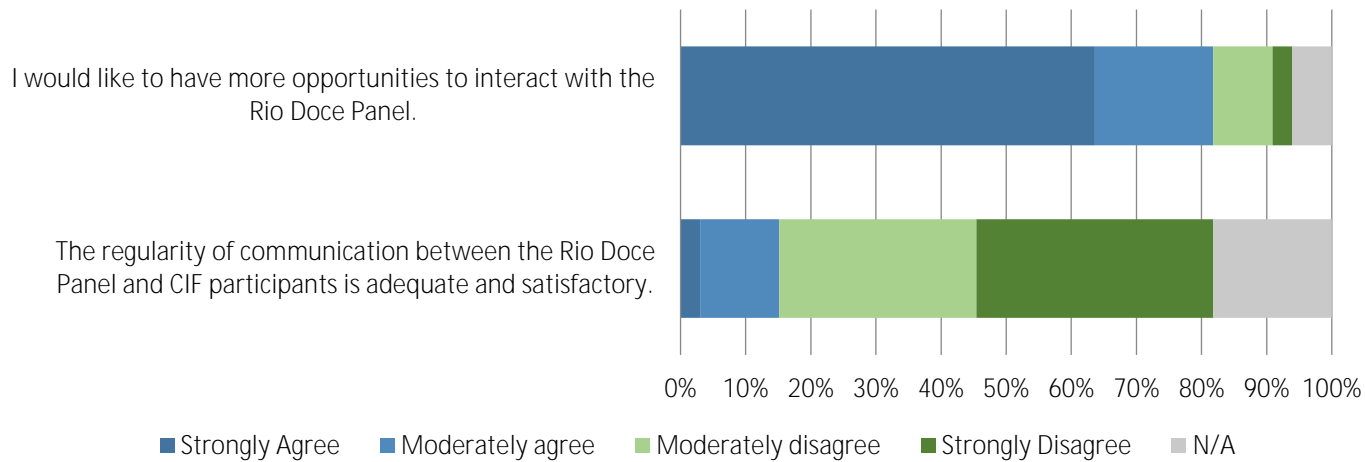
<p>adherence would be with the CIF's secretary. [to participate in] inter-chambers meetings in which the chamber's coordinators participate, technical coordination in the states. It is an interesting moment when the participation of panel members can help in more specific debates. I have made that proposal 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>		
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+ Document Analysis

The Cooperation Agreement signed with RF rules that one of its objectives is to:

<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>26%</td> </tr> <tr> <td>Moderately disagree</td> <td>14%</td> </tr> <tr> <td>Strongly Disagree</td> <td>10%</td> </tr> <tr> <td>N/A</td> <td>8%</td> </tr> </tbody> </table>	Response	Percentage	Strongly Agree	42%	Moderately agree	26%	Moderately disagree	14%	Strongly Disagree	10%	N/A	8%		
Response	Percentage													
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<p><u>+CIF Survey</u></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.

Medium

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

	consultancies to support the process.	
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[Accountability]

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 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)

~~xxxx~~

<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>[Accountability]</p> <p>2.4.2.</p>		<p>Medium</p>

+Semi-structured interviews

Interviews with RF Directors and Consultants, and mining companies

Expectation:

“ 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.”

Opinions regarding RDP publications delivered and in progress:

+Document Analysis:

On the RDP3 Report and Visit Itinerary it is mentioned that:

Roberto Waack talked about the challenge to integrate short-term and long-term perspectives:

	<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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RDP245q36.4175 Td/GS8-0/W12(a)JT225.2d/GS8-ed thecl

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> 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>

[Effectiveness] .46 375.31 0.48004 12051 nework ok77.75 54.24 reWh41.64 242.09 567.43 14.04 refq36.48 201.89 577.75 5-1.2 5-1.d19.89 the

MEL strategy will address the following key 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 changes likely to be?
- Are there any unintended consequences of Panel actions?
- What does the Panel know that could enhance other ISTAP-related processes?

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?

The TOC Narrative:

“ 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.

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.

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. implementation of the programmes and integrated areas.

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

The Target audience analysis and identification is not deep enough and do not clarify the legal framework and the governance aspects.

As result, the CKL is affected, and the MEL as a whole.

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

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".

- 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,

One RDP member said that did not know the document.

IUCN

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

carried out

	<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> 2.5.4. IUCN to deliver on its outputs?</p>	<p>RDP project does not adopt methodologies of knowledge management, ecologies of knowledge⁵⁹ facilitation, and 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



	methodology and facilitation fit for purpose.	
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+Participant Observation:

The evaluation team observed the face-to-face dynamic during the RDP 6.

During the observation of RDP 6 the evaluation team attended meetings with several actors and RDP meetings.

Observations:

<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>
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+Semi structured interview

IUCN

Asked about need to change the RDP *modus operandi* the answer was: "I wouldn't change it because it has a fluid process."

"Different ISTAPs have different types of outputs and different *modus operandi*- 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."

+Document Analysis

Planning evolution analysis:

REPORT RDP 2nd FACE-TO-

<p> IPO1 (Peter) Alternative Livelihoods... Q1 launched; IPO2 (Francisco) Risks of supressing natural flows.. Q3 launched; IP O3 (Francisco) Water quality..Q3 postponed to 2020; IPO4 (Ciça) Socioeconomic impacts of fish bans...Q2 launched; IPO5 (Luiza) Human and health ... Q2 launched; TR O2 (Fernando) Climate Change...Q3 postponed to Q4; IP O6 (Luis) A framework ...Q3 launched; IP O7 (Ciça) Terrestrial Biodiversity.. Q3 moved to 2020; IP O8 (Luiza) Environmental education..Q4 moved to 2020; IP O9 (Luis) Guidance on assessing sustain..Q4 moved to 2020; IP 10 (Peter) Applying landscape and ES..Q4 moved to 2020; <u>RDP 6 (March 2020)</u> 2020 Calendar Thematic Report 02 Climate Change (Peter) Q2 Thematic Report 03 Water q Thematic Report 04 Delivered: Issue Paper 5 on March 2020 <u>See analysis of RDP members profile at section 2.3.2.</u> </p>		
<p> <i>[Effectiveness]</i> 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> <u>MEL 2018 annual report</u> 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>	

KEY QUESTION: HOW EFFECTIVE ARE THE STRATEGIES IN PLACE IN REACHING OUT AND INFLUENCING THE RDP TARGETED AUDIENCES?	The strategies in place in reaching out and influencing the RDP targeted audiences are low effective.	High
<p><i>[Effectiveness]</i></p> <p>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>	High

+Semi-structured interviews

Policy Makers

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 in s to under

<p>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.</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><u>Regulators</u></p> <p>The only public prosecutor interviewed said that he was not aware of the Panel, and never received any material or updates from it.</p> <p><u>Do-ers</u></p> <p>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> <p><u>Influencers</u></p> <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>RF Staff</u></p> <p>IUCN-RDP communication team is understaffed and hardly will be able to keep up the required collective communication effort with only one person.</p> <p>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.</p> <p>Using graphical elements and videos can be a good help in RDP communication</p> <p>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>	<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.

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

IUCN

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).

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 narra

<p>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.</p> <p>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.</p> <p>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>	<p>partnership on communication between RF and IUCN.</p>	
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+Document Analysis

Rio Doce Panel - Communication Plan

A Communication plan was written with the following general 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.”

That is a plan designed with coherent proposals and strategies.

An IUCN presentation delivered in October 2019, during RDP5, made a wrap-up of the Panel interaction with various audiences:

On September 30th 2019, the Panel had: 41 meetings and participation in events (15 presentations of the RDP work and 26 as observers)

Meetings and Events: 21 with RF, 10 with influencers (4 with IUCN related stakeholders), 6 with CIF and 5 with Do-ers.

Data on communication:

Website launched in March, 2019

Institutional video: June, 2019

Newsletter: September, 2019

adequate and
satisfactory.

63% understand
the concept
"Solutions based
on nature" and
"landscape
approach".

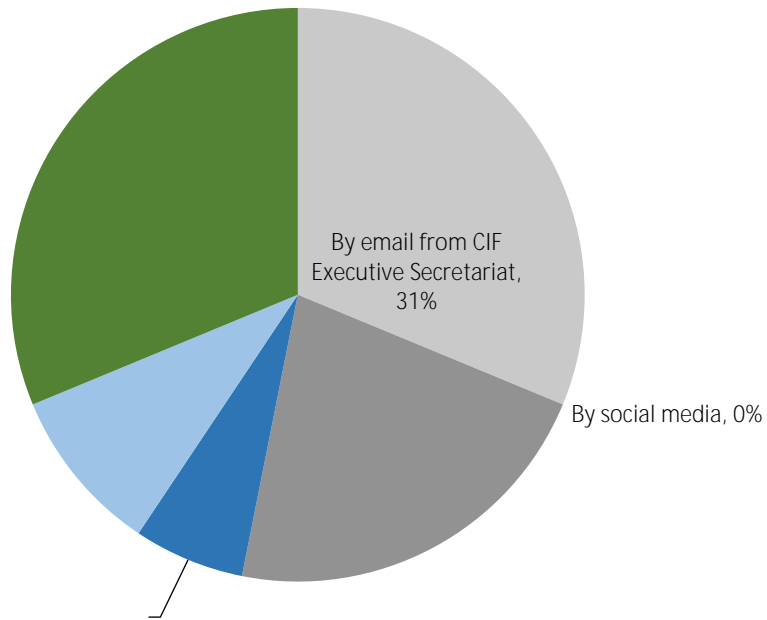
60% disagree that
had shared the
RDP products.

54% don't receive
regular
information about
the RDP.

67% are aware of
the
recommendations
elaborated by
RDP.

53% know the
objectives of the
Rio Doce Panel
and are aware of
its independence.

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

	<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>	
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+Renova Survey

58% of the replies consider the communication between RDP and RF satisfactory.

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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.

<p><i>[Effectiveness]</i> 2.5.11. What is the level of integration of recommendations into the implementation of RF's programs?</p>	<p>recommendations are being incorporated in but data is not conclusive to assess the integration level.</p>	<p>Medium</p>
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+Semi-Structured interviews:

IUCN

Regarding the modus operandi what is unclear so far is the frequency that the Renova have to tell us what they are doing

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.

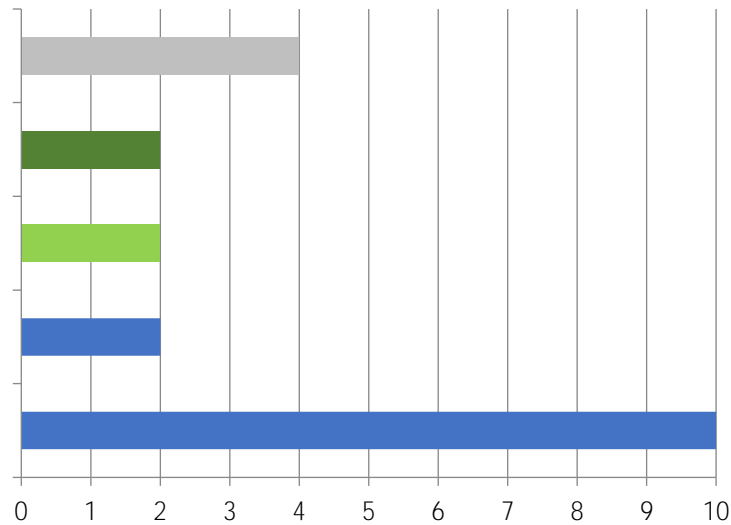
Recommendations need to dialogue more with the agendas and points of disagreement within program monitoring. It is necessary to be less generic.

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:

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. C2: RF agrees and will identify the best way to	10	16 out of 20 recommendations were evaluated by RF. RF totally agree with 12 of the 16 revised recommendations.



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)

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...*"

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.		

	<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>	
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+Semi-structured interviews

RF Staff

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. U an tan A o er sgl c .

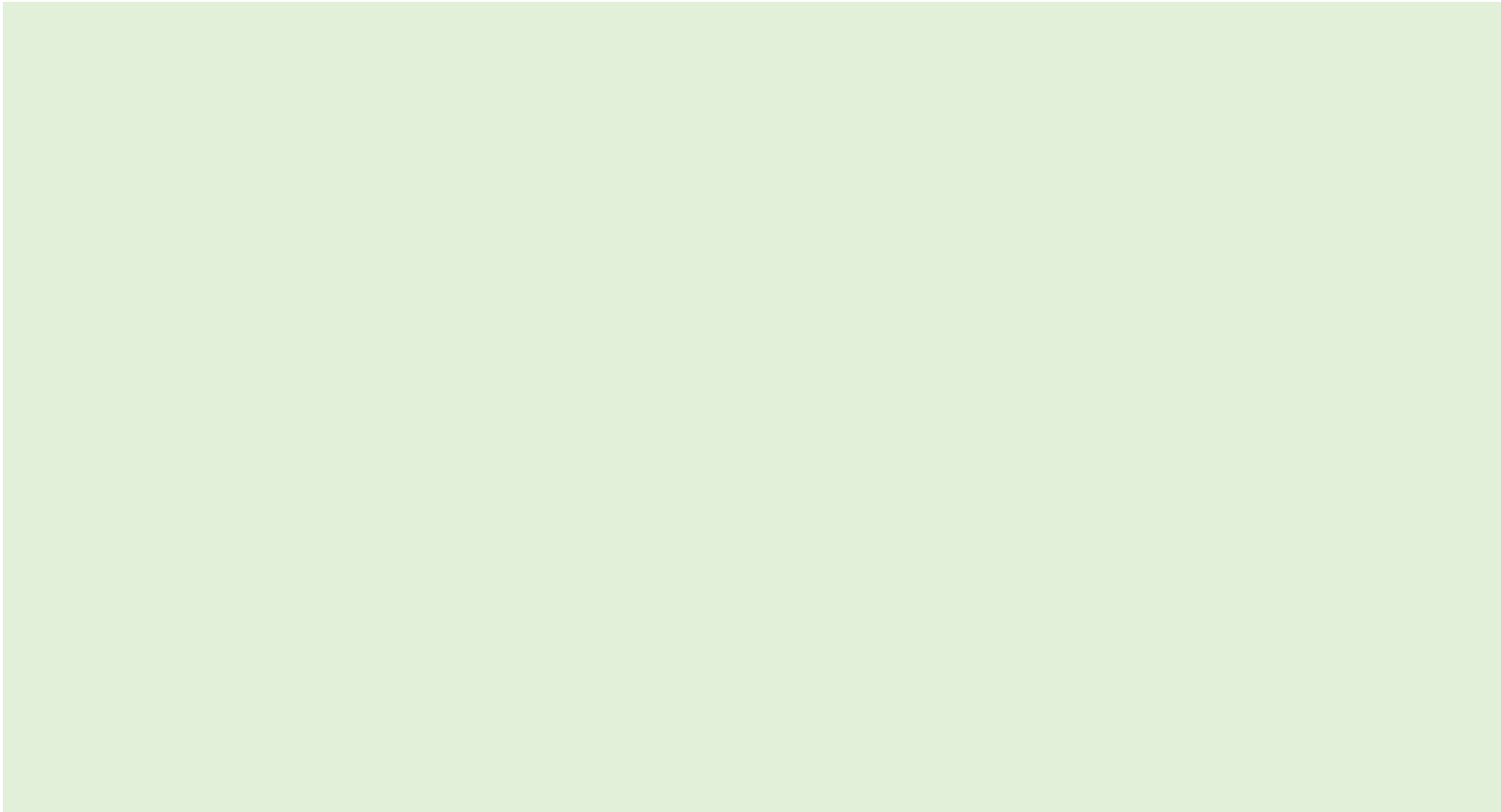
There is a conflict between RF's Curator Council and CIF's plenary – it is strategic to solve this conflict. CIF's president should participate in the Curator Council meetings and vice-versa. In the Curator Council the tone is given by the sponsoring companies. RF had 2 agendas to take care of (CIF's 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. T

<p>engage Brazilian environmental leaders to construct innovative solutions like those of "green municipalities" in the Eastern Amazon region</p> <p>Stronger connection on a regular basis with RF's decision makers</p> <p>More contact with stakeholders</p> <p>A better connection to other stakeholders besides RF</p> <p>Provoke resources for support to fieldwork by students and technical staff</p>		
<p><u>+Renova Survey:</u></p> <p>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> <p><u>+CIF Survey:</u></p> <p>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.</p> <p>RDP's results will be perceived only after all the affected population be recognized and all the issues related to registration are overcome.</p>		
<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>

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.

The learning curve



+Semi-structured interviews:

IUCN and RDP

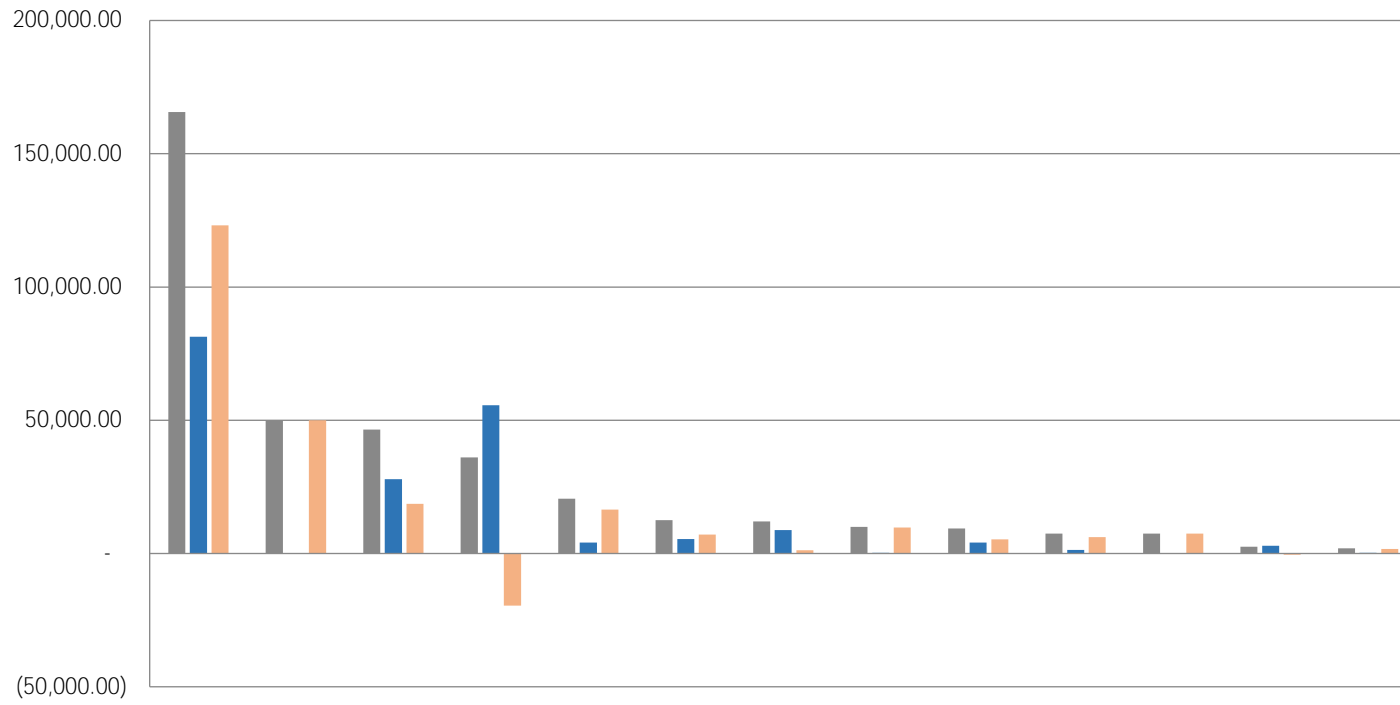
“ Panels are expensive; thus, it is important that the contracting parties should be satisfied with the quality of Panel results. The RDP is working to apply a more deliberative approach.”
The 2020 launch pipeline is more timid than last year, but more realistic.
The main challenge is involving all RDP members in the work and mobilization because each one has a different agenda and speed of response.

Renova Staff and Consultants:

Regarding eff

- *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

Graphic 2 2017 Budge, Expenses, Balance

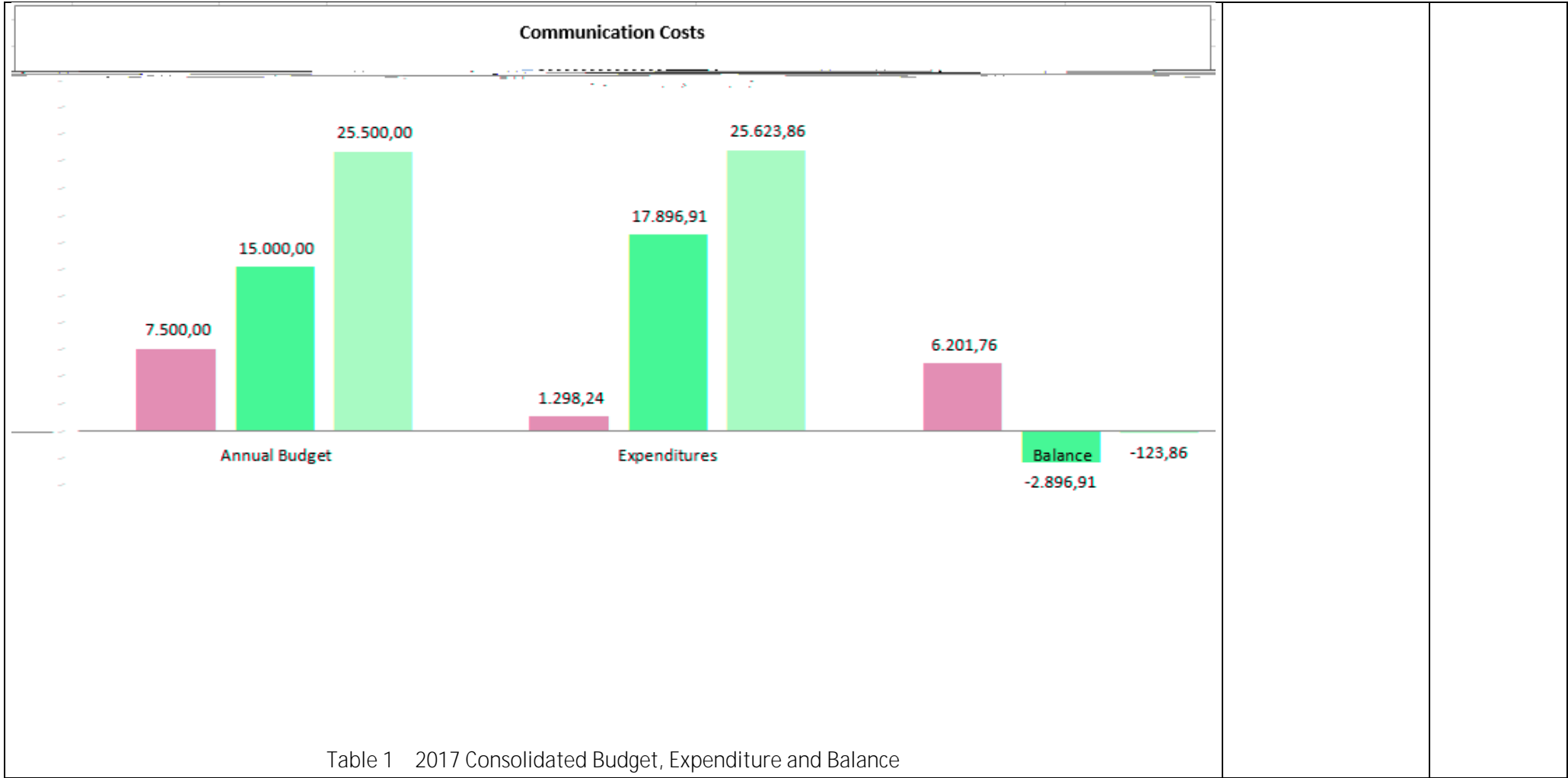


Graphic 3 2018 Budge, Expenses, Balance

Graphic 4



Graphic 5 Communications Costs 2017-2019



		Percentage	Percentage
Project Manager & Chairperson	10,000,000	10.4%	10,000,000
Project support officer	20,000,000	6%	4,000,000
Administrative support and staffing	162,770,67	40%	160,762,32
CIIRTOTAL			222,522,00

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

	2018 Annual	Percentage (Budget Component)	2019	Percentage (Annual Budget)	
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

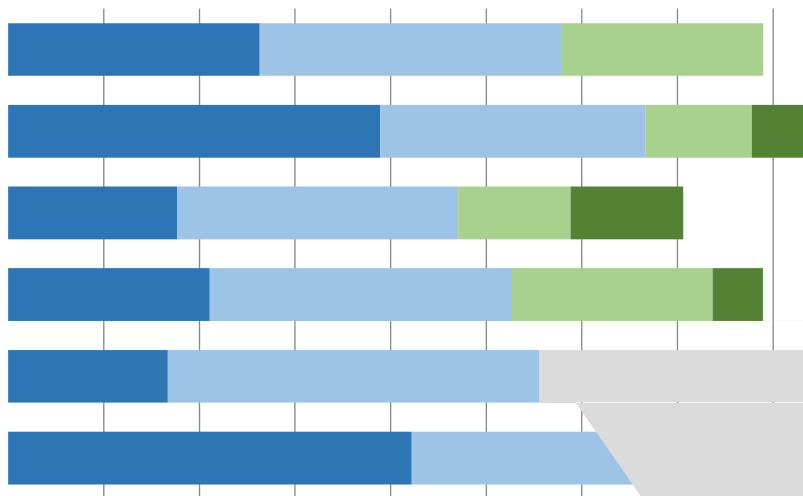
Main observations on the 2019 consolidate financial report:

- 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%;

■

2.7. Relevance	Findings	Strength of Evidence
KEY QUESTION: HOW RELEVANT IS THE RDP, AND IN PARTICULAR, ITS RECOMMENDATIONS, ADVICE AND OTHER OUTPUTS TO RF?	work as a relevant contribution, despite the fact that significant adjustments need to be made.	High
[Relevance] 2.7.1 To what extent does RF consider the RDP recommendations as a relevant contribution?	Idem	High
<p><u>+Semi-structured Interviews</u></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>	RF considers RDP's work as a relevant contribution, despite the fact that significant adjustments need to be made.	
<u>+ Survey</u>	62% agree that	

78% agree that
RDP's products have
high technical and
scientific quality.



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



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.

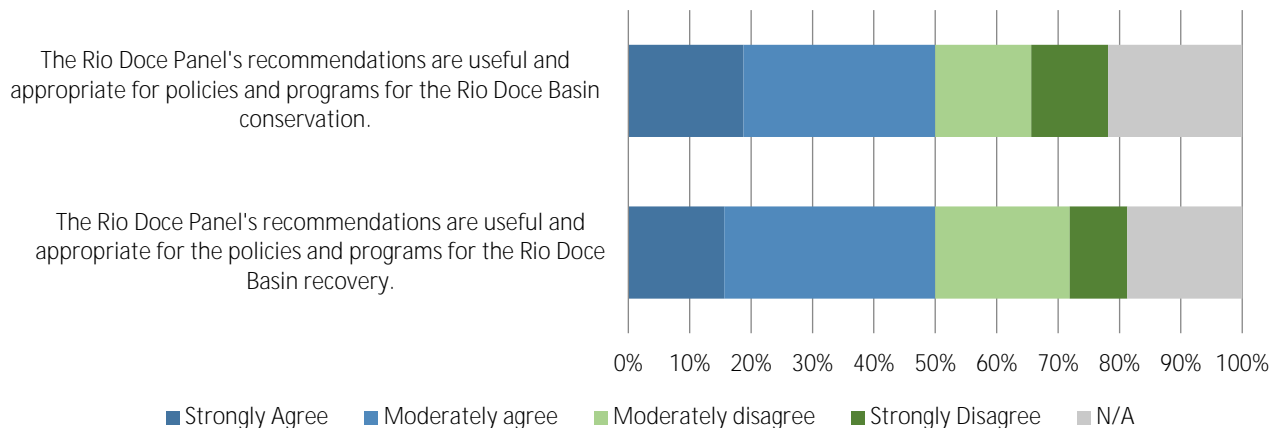
<p style="text-align: center;">CIF Survey</p> <table border="1"> <caption>CIF Survey Data</caption> <thead> <tr> <th>Item</th> <th>Strongly Agree</th> <th>Moderately agree</th> <th>Moderately disagree</th> <th>Strongly Disagree</th> <th>N/A</th> </tr> </thead> <tbody> <tr> <td>IP 05</td> <td>20%</td> <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%			
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%																																								
<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 contribute to the conservation goal</p>	<p>Medium</p>																																											

	of restoring the Rio Doce basin. Regarding other stakeholders, there is no enough data.	
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[Relevance]

2.7.4 To what extent do CIF

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

	between its vision of priorities and RF needs.	
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+Semi-structured interviews

Renova Directors, Staff, and Consultants

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 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 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

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).

RF Staff

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.

RF Directors and Consultants:

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.

+Focus Group

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.

Asked about the TOC and the interaction with other stakeholder groups that appear on the TOC chart, the Panel members

Renova makes the first proposition on the construction of the programs foreseen in TTAC. The CIF/Technical Chambers

		legal framework should be updated.	
<u>+Survey RDP</u>	<p>Ensure that recommendations reach different technical and policy decision-makers</p> <p>Reaching policymakers and affected people</p> <p>The differences among stakeholders' expectations</p> <p>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.</p> <p>The judicial process and confusing governance that rules the restoration</p> <p>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.</p>	The RDP survey shows different visions of the challenges for the TOC delivery.	
recommendations?	actionable	The key result from the survey findings points out that RDP expectations.	Medium
<i>[Sustainability]</i> 2.8.3 To what extent does RDP meet RF's expectation in terms of providing timely and actionable recommendations?		The key result from the survey findings points out that RDP expectations.	Medium
<u>+Document Analysis</u>		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.

	RDP's view is divergent from RF's (57% of respondents agree that RDP meets RF's expectations).	
<p><u>CIF Survey (open answer)</u></p> <p>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>		

[Sus

<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 IP05 did not consider in its biography the Ministry of Health's regulation mentioned by the Association.</p> <p>The MEL analysis that points out that 63% of RDP's recommendations are being incorporated by RF needs to be confirmed.</p>		
<p>on their recommendations?</p> <p>and constructive feedback</p>	<p>In general, RF delivers constructive feedback and on time.</p>	<p>High</p>
<p><i>[Sustainability]</i> 2.8.5</p>		

any evidence of these recommendations being presently implemented on the ground?	There are early markers that demonstrate that recommendations are adopted by the RF, and being implemented in the ground.	

	ers and influencers	
<p><i>[Sustainability]</i> 2.8.7 influencers?</p> <p style="text-align: right;">-ers and on the</p>	<p>There aren't early markers of the regulators and policy makers, do-ers and influencers.</p>	<p>High</p>
<hr/> <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>	

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

+Semi-structured interviews

RF Directors and Consultants

- "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."

- "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

<i>[Sustainability]</i>	See analysis	Low
2.8.9 To what extent have external factors influenced the work of the RDP?		

<p>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.</p>		
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IUCN

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.

RDP Survey question

-making process at the Renova Foundation, how appropriate is the RDP Project

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

+Documental Analysis

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.

CIF deliberates about programs executed by RF and has already issued warnings and fines for RF not observing the decisions.

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.

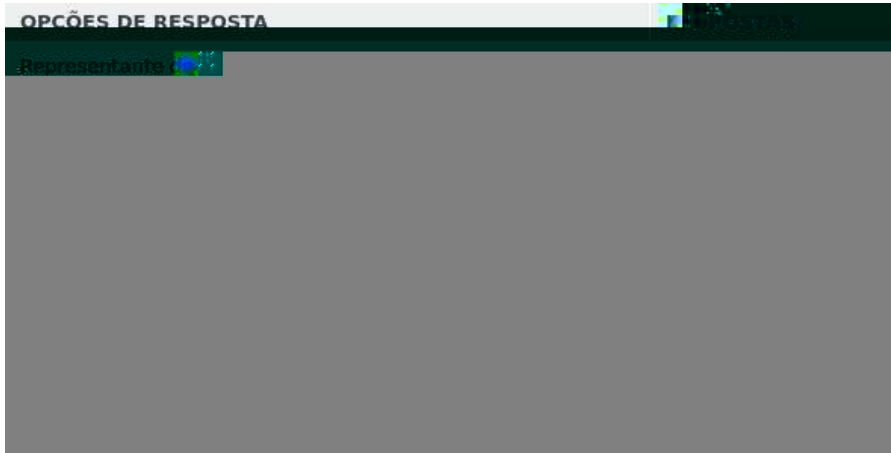
Therefore,

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ANNEX 1 -

ANNEX 2 SURVEY PARTICIPANTS PROFILE (CIF AND RENOVA)

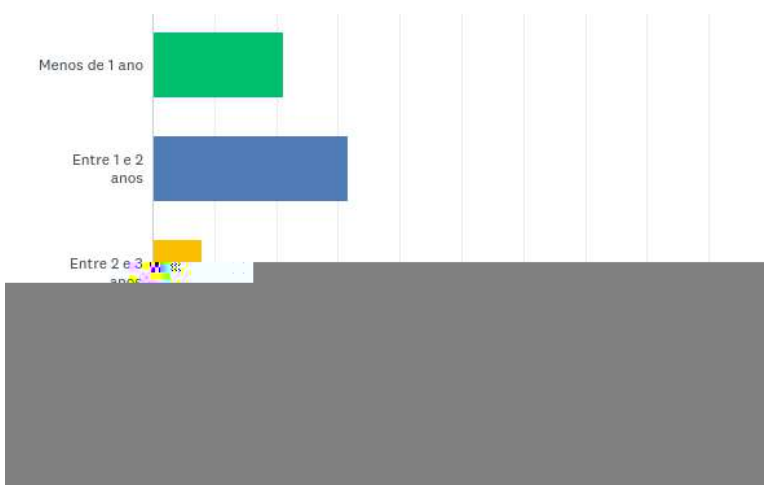
CIF: Instituição que representa



CIF: Função no Conselho



Há quanto tempo está no CIF



Como você recebe informações sobre o Painel Rio Doce?

RENOVA

Há quanto tempo na Renova

Área de Atuação na Renova

OPÇÕES DE



Como você recebe informações sobre o Painel Rio Doce?



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</u> <hr/> <p><u>recommendations to Renova:</u></p> <ul style="list-style-type: none"> • The Panel needs to be aware of the boundaries between 	

		<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. 	
<p>RDP 2 March 18</p>	<ul style="list-style-type: none"> • The Panel agreed that recommendations will be issued to Renova <u>as the main client</u>, 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. 		

- Keith Alger will leave the Panel at the end of the month for professional reasons.

- 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.

- 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

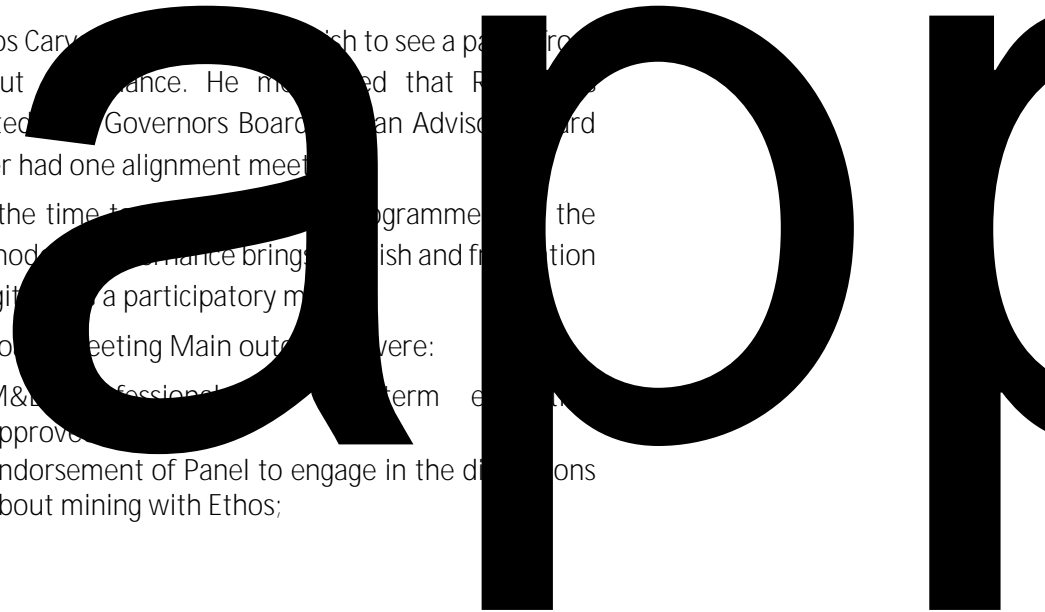
Renova Staff. We can suggest another name for the meetings since they are not an “alignment” per se.

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.

Tourism in the basin: protected areas, cultural tourism, rural tourism (Çiça).
The Panel should consider the advice of André de Freitas and analyse potential recurrent themes for future studies.

José Carlos Cary... to see a p...
RDP about... He m... that R...
coordinated... Governors Board... an Advis...
that never had one alignment meet...
Now it's the time to... programme... the
present model... finance brings... and f...
and delegit... a participatory m...
Project Board... Meeting Main out... were:
M&E... professional... term...
approve...
Endorsement of Panel to engage in the discussions
about mining with Ethos;



		<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> <p>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>	
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ANNEX 4 -

		<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> <p>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</p>	

Panel should always be independent and objective and do not take any side of the discussions

