Rio Doce Panel: 2018 Annual Monitoring and Learning report

Summary

The RDP monitoring, evaluation and learning approach is based on understanding the influence of RDP knowledge products on target and non-target audiences. In 2018, the following key accomplishments were realized to support this process:

- The MEL plan was finalized
- A Theory of change was developed
- A set of learning questions was developed
- Targeted audiences for the RDP recommendation was identified
- 11 criteria were chosen and applied to help selecting and prioritising the topics to be addressed in Issues Papers and Thematic Reports. All topics selected met 8 to 10 criteria
- The number of Issues Papers and Thematic Report delivered by the RDP against the agreed annual work plan has been tracked. One out of the 8 (12,5%) RDP's products predicted in the workplan was delivered on time.
- The adoption of the RDP recommendations by the Renova Foundation has been tracked. Renova reported that 6 out of the 7 recommendations delivered in 2018 had been adopted or in in the phase of implementation[1] .
- Altmetric[2] was contracted to assess the online dissemination, attention and influence of the 1st thematic report but will be operational only from 2019. In the meantime, downloads figure show that the 1st Thematic Report has been downloaded 1015 times through the end of November.
- A feedback survey has been developed in coordination with the RDP Chair and taken by all the RDP members. Results of the survey showed that the panel members are overall satisfied with the current Panel strategy and operations, Panel composition and interaction and about the Panel Chair

Introduction to the Monitoring, Evaluation and Learning (MEL) Plan

The Rio Doce Panel will during the course of next 4-5 years develop a number of Issue Papers and Thematic Reports that contain recommendations and technical guidance for the major restoration underway in the Rio Doce watershed. A MEL plan has been developed (see annex 1) to understand how and to what extent these products and recommendations will be influential and useful to intended audiences and processes. The plan also aims to help the RDP making sense of the evidence gathered to meet adaptive management and learning objectives.
Some of the key elements contained in that Mel plan are presented here below:

1. A Theory of change: To describe how the Panel intends to contribute to the project outcomes and impact.
2. A Target audience analysis and identification: Using a power/influence approach[3] to identify who should be the targeted audience for the products developed by the Panel
3. A set of Learning questions: To guide dialogue process and reflexion about the panel intervention effectiveness and to enable practical improvement and strategic adaptation
4. A set of tools and approaches to track progress against Results Areas: To track Panel performance against work plan and explore the reach and relevance of Panel outputs.
4.1. Product design

[1] Feedback from Renova regarding the uptake of the recommendations of TR01 delivered in 2018 were received only by January 2020.

[2] Altmetric (https://www.altmetric.com/) tracks attention, dissemination, influence and impact of research.

[3] See e.g. Tsui, J., Hearn, S., & Young, J. (2014). Monitoring and evaluation of policy influence and advocacy. *London: ODI Working paper*, *395*.

4.2. Product delivery and quality
4.3. Recommendation uptake
4.4. Reach of RDP knowledge products
4.5. Effect of the RDP knowledge products on Renova Foundation and other stakeholder actions
4.6. Subsequent knock-on effects of RF actions on social, environmental and economic parameters of the Rio Doce catchment
4.7. RDP Feedback and sense-making facilitation

5. A budget for MEL activities

1. Theory of change development
The RDP met on Saturday 24 March 2018 in Belo Horizonte to develop its theory of change, and monitoring, evaluation and learning framework (See annex 2 for report).

As showed below This Rio Doce Panel theory of change (figure 1) is underpinned by several assumptions and takes into account several drivers that may or not influence the trajectory of the change pathway envisioned.

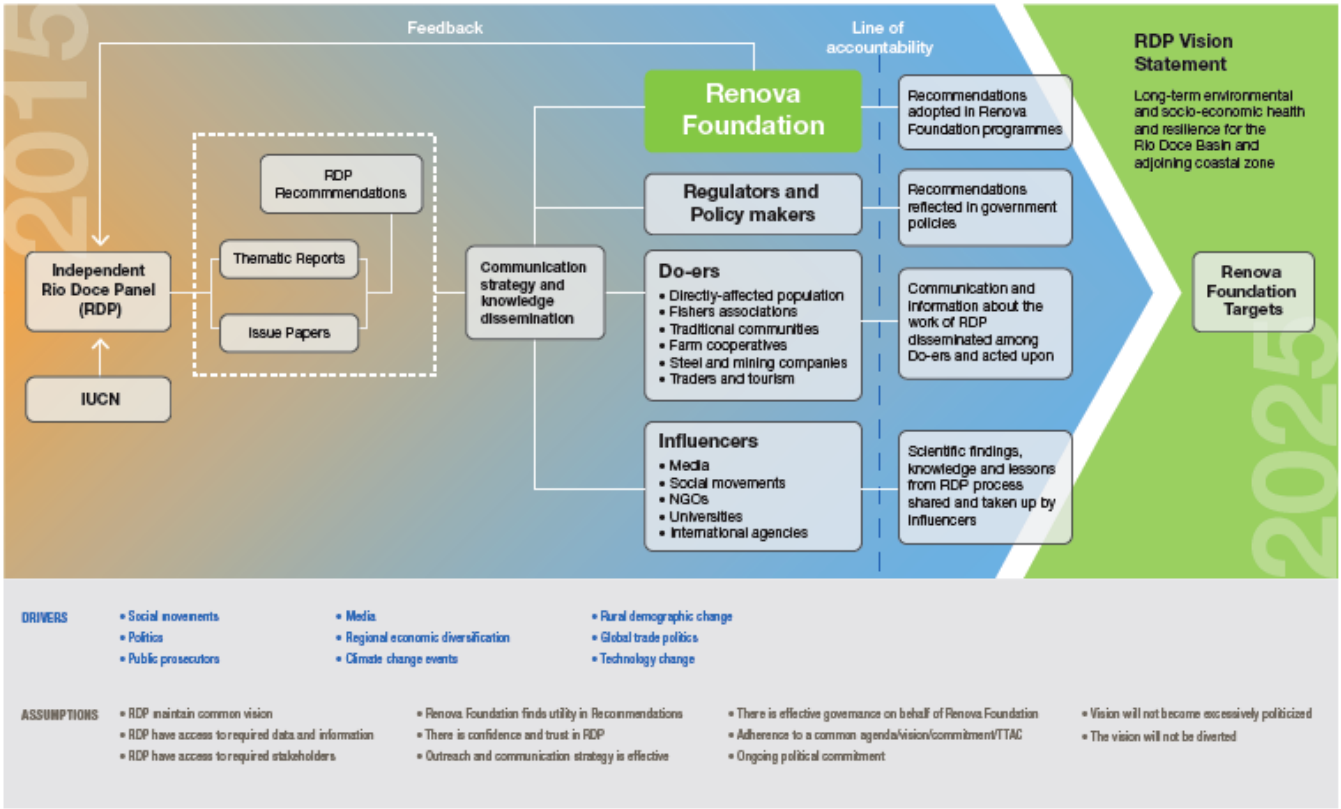

Figure 1: RDP Theory of Change

The Rio Doce Panel´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, grounded in the landscape, and will make the watershed known as a model for other basins"
The RDP will contribute to its vision through the timely delivery of salient, credible and legitimate recommendations packaged in Issues Papers and Thematic Reports. These recommendations will inform the Renova Foundation, the RDP's primary target audience, but will also be packaged and disseminated among a wider range of key stakeholders, including regulators, policy makers, do-ers and influencers. The RDP aims to have its recommendations adopted and reflected in the RF's implementation of on-ground actions. The RDP also aims to inform and influence the behaviours of a broader set of concerned stakeholders. Ultimately, the RF actions, combined with actions from other stakeholders, will contribute to social, environmental and economic health for the Rio Doce.

2. Target audience analysis and identification
Initial analysis conducted on March 22 based on the power/influence approach showed that 4 different main audience categories (Renova Fundation, Regulators and Policy makers, Do-ers and Influencers). Among these 4 categories, 10 stakeholders (Renova Foundation, Mining companies, local authorities, ANA, IBAMA, RF, State governors, Public persecutor, State development bank and CIF) were perceived as primary audience per the RDP due to their high level of power and strong interest in the project. Additional criteria have then been applied to help prioritise key audience and to get a better understanding of who these key audiences are and reflect on how we/the RDP will engage with each of them and how to track the RDP influence on their behaviour (see annex 3).

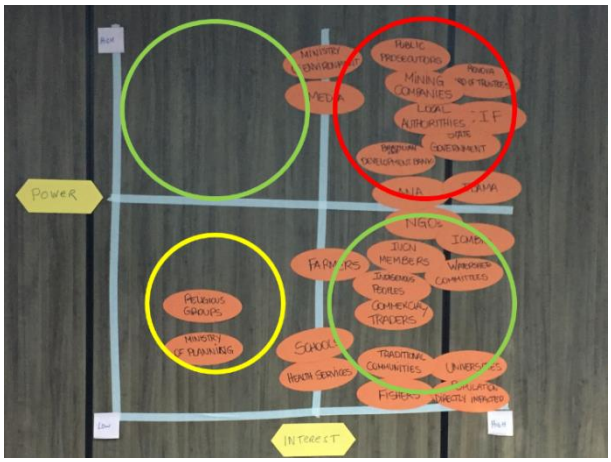

Fig 2 : Initial stakeholder analysis

3. Learning questions development
The following questions have been developed and will be used to guide dialogue process and reflexion about the panel intervention effectiveness and to enable practical improvement and strategic adaptation.

- Is the Panel informing and influencing target audiences in the way it anticipated? If not, then how?
- What impact has the Panel on how its audience undertake their core activities and how lasting are these change likely to be?
- Are there any unintended consequences of Panel actions?
- What does the Panel know that could enhance other ISTAP-related processes?

4. Tools and approaches to track project progress against Results Areas
The RDP defined five main result areas for which tracking system have been developed. Out of these five result areas, three falls under the RDP's zone of accountability.

4.1. **Product design**

The RDP has defined a set of 11 criteria (see annex 4) to help define the priority themes that should be addressed by the Issues Papers and Thematic Reports. The first three criteria are mandatory.

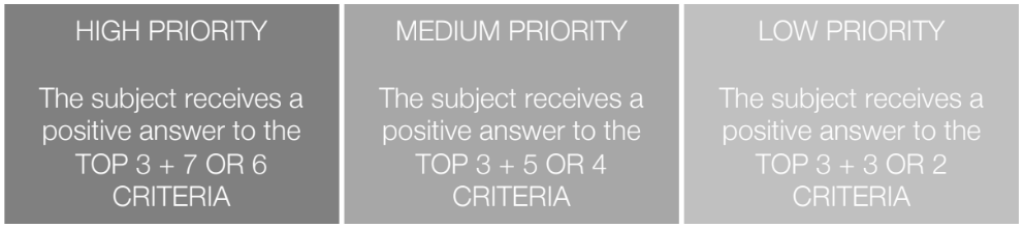

Fig 3: Prioritization scale

Based on these criteria, the following priority list was created.

Subject	Number of priority criteria met	Decision
Impact of the Fundao Dam failure	10[4]	Address in Thematic report 01
Climate Change: Building future scenarios for the Rio Doce watershed. Building links with water access, energy, agriculture	9	Address in Thematic report 02
Water quality and Health: governance and management - major initiatives taken to improve water quality.	10	Address in issue paper 03
Coastal Lakes: Socio-economic and environmental risks of building "obstacles" to the natural flows – coastal lakes in ES.	8	Address in issue paper 01
Fishing: Socioeconomic impacts of fishing bans and solutions for sustainable fisheries.	10	Address in issue paper 02
Data analyses: ensure full access to Renova's data bank with the objective to strengthen quality of dialogue with technical teams, on decisions/actions to be taken and/or to correct actions already implemented;	8	Not yet defined
Biodiversity: remaining biodiversity of the affected areas as well as data on the chosen actions for recovery of biodiversity;	9	Address in issue paper 07
Biodiversity: monitoring programmes to evaluate recuperation of species, species translocation from non-impacted areas	9	Not yet defined
Water governance and management: major initiatives taken to improve water quality. Eg. sewage treatment plants (only 5,7% of the sewage is treated). Technical support to Municipalities on this front. Monitoring of water quality (biological indicators, physio-chemical)	10[5]	Not yet defined
Development of **alternative economies** for local communities (independence from mining activities)	10	Address in issue paper 04
Local communities: ensure involvement / participation in priority setting, and implementation of actions that contribute to integrated approach to sustainable development.	Not assessed[6]	Not yet defined
Landscape analysis: restauration based on socio-economic and environmental priorities.	9	Not yet defined
Dredging: is dredging out all of the tailings going to be better for the environment? Is it necessary? Or will it further deteriorate the basin?	8	Not yet defined
Marine: better understanding the impact on the marine and coastal environment	8	Not yet defined
Governance: ideal governance model for the watershed to promote long-term positive impact	10	Not yet defined
Sustainable Development: lessons from experiences and cases we can learn from to propose a model for the region? landscape planning and economic diversification to promote better living conditions for the population and conservation of ecological systems.	10	Not yet defined
Health and the environment: social challenges and opportunities of affected people. Local populations' health depends on the health of the environment.	10	Address in issue paper 05
A framework for assessing environmental and social impacts of disasters for effective mitigation	10[7]	Address in issue paper 06

Education • Environmental education, not only for children, but targeting a broad audience; • Education – apprenticeship, new vocations, new markets to support the development of supply chains and alternative economic opportunities for youth to stay in the basin; • Renova Paralelo Rio Doce Program;	Not assessed[8]	Address in issue paper 08

Table 1: Met criteria per Topic

4.2. **Product delivery and quality**

The RDP organises its work based on an annual work plan. The work plan informs the number of Issues Papers and Thematic Reports that the RDP plans to deliver throughout the year.
In order to assess the quality and timely delivery of these products, we looked at the number of these products delivered against the agreed annual work plan and at the 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).

In 2018, the RDP did not manage to deliver any of the 6 Issues Papers that were initially planned and 1 out of the 2 Thematic Report that were planned (12,5% of the planned products for the year). This low rate of delivery can however be explained by the context of year 1 one of the project where the Panel and IUCN spent the first part of the year (e.g., Oct 2017 to March 2018) understanding roles and the context, and determining delivery mechanisms (e.g., the Issues Papers and Thematic Reports). The 6 Issues Paper and the Thematic report will be delivered by mid-2019.

DELIVERABLE	SUBJECT	Status
Thematic Report 01	Introductory concept document about the impacts of the event and the Panel's mandate and potential contributions.	Delivered
Issue Paper 01	Socio-economic and environmental risks of building "obstacles" to the natural flows – coastal lakes in ES.	Postponed to 2019
Issue Paper 02	Socioeconomic impacts of fishing bans and solutions for sustainable fisheries.	Postponed to 2019
Issue Paper 03	Water quality and Health: governance and management - major initiatives taken to improve water quality. Eg. sewage treatment plants (only 5,7% of the sewage is treated).	Postponed to 2019

[4] This subject is found in the 'Priority setting sheet' as "Sustainable and resilient mitigation of the impacts of the dam failure", and effectively turned out to be TR1 (*Impacts of the Fundão dam failure: A pathway to sustainable and resilient mitigation*). Verified in March 2020, over the original report's draft, using the Priority setting sheet version dated December 13th 2018.
[5] Verified in March 2020, over the original report's draft. The version of the Priority setting sheet used in this assessment was dated December 13th 2018.
[6] *Idem*
[7] *Idem*
[8] *Idem*

	Technical support to Municipalities on this front. Monitoring of water quality (biological indicators, physio-chemical).	
Issue Paper 04	Alternative economies for local communities: a) how to build such synergies as a talking point and as a basis for reviewing the components of the Renova programs in this area for consistency with this perspective. b) assessment of complementary policy measures (what we have called "policy mix") that could help to build better synergy for resource conservation.	Postponed to 2019
Issue Paper 05	Health and the environment: social challenges and opportunities of affected people. Local populations' health depends on the health of the environment	Postponed to 2019
Issue Paper 06	A framework for assessing environmental and social impacts of disasters for effective mitigation	Postponed to 2019
Thematic Report 02	Climate Change building future scenarios for the Rio Doce watershed. Building links with water access, energy, agriculture.	Postponed to 2019

Table 2: Deliverable timetable

4.3. **Recommendation uptake**

The main target audience for RDP knowledge products being the Renova Foundation, a simple excel worksheet has been used[9] to track RDP recommendations adoption by the Renova Foundation. By this tracking system, RENOVA declared[10] that 6 out of the 7 recommendations provided by the RDP in 2018, derived from TR01, had been adopted or are being implemented by the beginning of 2020. One of the recommendations was not yet implemented, but Renova affirmed to be looking for the best way to implement it.

4.4. **Reach of RDP knowledge products**

As we are also interested in understanding the reach of RDP knowledge products beyond the Renova Foundation, Altmetric was contracted by IUCN to assess the online dissemination, attention and influence of these products across multiple platforms. Altmetric will however only operational from 2019. In the meantime, downloads figure show that the 1st Thematic Report has been downloaded 1015 times through the end of November.

[9] The tracking sheet with all the recommendations is sent to Renova after an in-depth meeting about the paper launched. Renova gives feedback according to the categories shown in **Annex 5**.

[10] Renova's responses about the TR01 recommendations uptake were delivered in January, 2020.

ENGLISH: 456 downloads

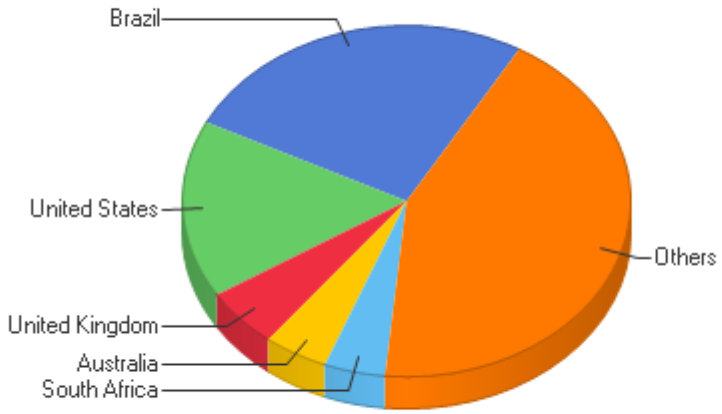

Fig 4: English version downloaded per country

PORTUGUESE: 559 downloads

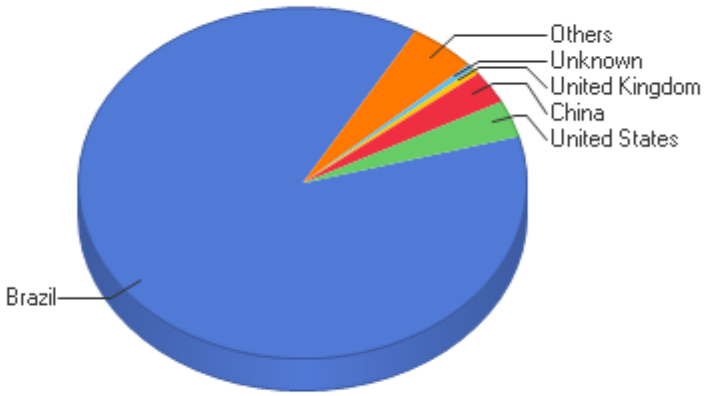

Fig 5: Portuguese version downloaded per country

4.5. **Effect of the RDP knowledge products on Renova Foundation and other stakeholder actions**

Not implemented yet. Will start in 2019

4.6. **Subsequent knock-on effects of RF actions on social, environmental and economic parameters of the Rio Doce catchment**

Not implemented yet. Will start in 2019

4.7. **RDP Feedback and sense-making facilitation**

An RDP feedback survey has been developed in coordination with the RDP Chair. A set of 21 questions were sent to the panel members to collect their feedback on the Panel strategy and operation, composition and interaction and Panel chair. The results of the survey showed that the Panel members are overall satisfied with the current situation as, in most of the case, they strongly agree that everything is going well.

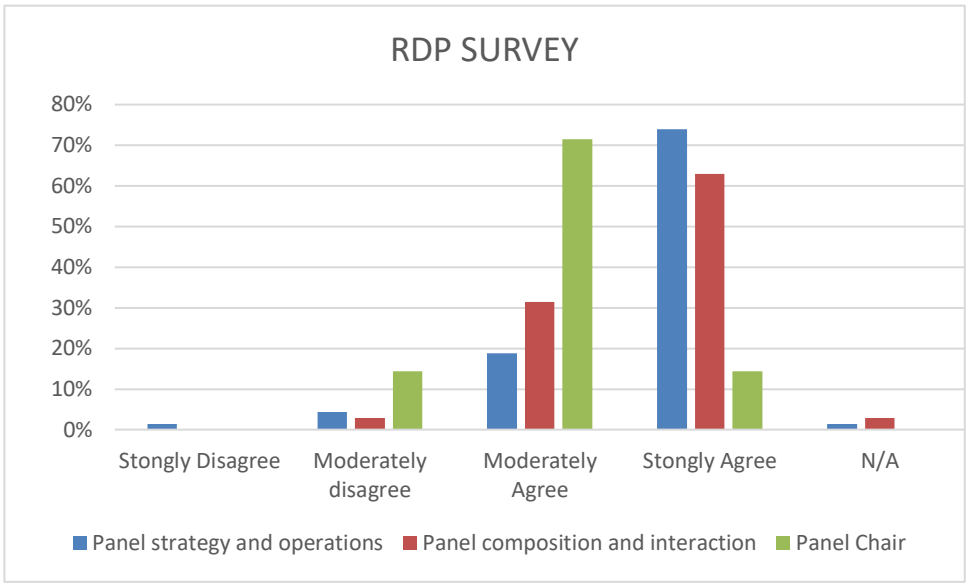

Fig 6: Panel's overall feedback results

The details of the results will be shared with the RDP for reflexion and to help identify possible improvements for 2019.

Annex 1: MEL Plan

Monitoring and learning plan for the Rio Doce ISTAP

Objective: Understand and learn from the influence and impact of Rio Doce ISTAP (the Panel) products and recommendations on target processes and audiences, as well as any unexpected outcomes.

Rationale: The Panel will develop a number of products: Issue Papers and Thematic reports. These will contain Recommendations. We (IUCN BBP and the Panel) want to understand how and to what extent these products and recommendations are influential and useful to intended audiences and processes, and beyond.

Deliverables: This M&L plan will help deliver an annual M&L report. The structure, content, and timing of the M&L report will be agreed with BBP. The M&L plan will serve as key input to the external mid-term review and the final evaluation

Audience: The intended audience of this M&L plan and deliverables is the Panel, Renova Foundation,IUCN BBP and the project board.

Approach: The M&L plan will address the following key questions:

- Is the Panel informing and influencing target audiences in the way it anticipated? If not, then how?
- What impact has the Panel on how its audience undertake their core activities and how lasting are these change likely to be?
- Are there any unintended consequences of Panel actions?
- What does the Panel know that could enhance other ISTAP-related processes?

We will use a small and cohesive set of tools to gather evidence linked to these questions. Supported by IUCN, the Panel will play a key role in making sense of the evidence gathered through this plan to meet adaptive management and learning objectives. Key tools include:

- **Theory of change:** A theory of change (ToC) describes how a program intends to contribute to outcomes, often understood as changes in the behaviour of people beyond the immediate intervention team, and impact. A ToC is usually depicted by a causal diagram that shows how target groups will respond to the intervention's activities and outputs. The diagram is accompanied by an explanatory narrative. A good ToC tells a cogent causal story[11].

  We will work with the Panel, Renova Foundation, BBP and a graphic designer to develop a use-focused TOC for the Panel. The TOC will include a clear vision, assumptions, outcomes, indicators, and will link to data collection tools. The TOC will be tested through the annual M&L report and annual Panel review meetings. Findings will be fed into the external mid-term review and the final evaluation.

- **Target audience and process identification:** Key audience and process targets will be identified by the Panel using a power/influence approach[12] or similar. Panel product (papers, reports,

[11] Douthwaite, B. Colomer, J. Raetz, S. Fernandez, M. Using Theory to Improve the Evaluation of Policy Influence. Submitted for publication 2017.
[12] See e.g. Tsui, J., Hearn, S., & Young, J. (2014). Monitoring and evaluation of policy influence and advocacy. *London: ODI Working paper*, *395*.

recommendations) influence on and utility to target audiences and processes will then be monitored using a small set of data collection tools.

- **Output tracking:** Panel outputs that will be tracked under the M&E plan include the following products and events:

Output category - products	Output category - events
Issue Papers	Panel meetings
Thematic Reports	External meetings that includes Panel participation (i.e. Panel expertise/knowledge features in meeting)
Recommendations	

Standard IUCN project management tools (e.g. Google docs) will be used to log outputs. An output tracking template will be developed for this purpose in coordination with BBP.

- **Uptake and influence tracking**:
Qualitative and quantitative approaches will be combined to explore the reach and relevance of Panel outputs.

1. A light touch online survey will be developed using Survey Monkey and applied to target audiences to understand the extent to which Panel outputs are perceived as relevant. The content, timing and potential recurrence of the survey will be agreed with BBP.

2. Semi-structured interviews will be used to provide more in-depth understanding the perceived relevance of Panel products with a small number of priority targets. An interview guide will be developed for this purpose, and the number and timing of interviews will be agreed with BBP.

3. Online dissemination, attention and influence of Panel products across multiple platforms will be tracked through the use of Altmetric[13] .

4. Outcome story will be will be developed to understand and highlight how select RDP Recommendations have informed and influenced RF actions.

Facilitated sense-making: Evidence gathered through this M&L plan is intended to help understand and learn from the influence and utility of Panel Recommendations on target processes and audiences, as well as any unexpected outcomes. As such, the Panel will play a key role in making sense of evidence gathered. We (IUCN GFCCP M&L) will facilitate that process through regular scheduled meetings with the Panel and the project board.

Input to MTR & final evaluation: The TOC and associated evidence base, as summarized in annual M&L reports, will be made available to inform MTR and final evaluation processes.

[13] https://www.altmetric.com/

M&L plan implementation:

Task	Time (days)	Schedule	Lead	Cost (CHF)
M&L report structure, content, timing	1	Q1 2018	GFCCP M&L	907[14]
Theory of change facilitation	2	Q1 2018	GFCCP M&L	1814
Theory of change graphic design @ 350/day	4	Q1 2018	External	1400
Target audience and process ID	1	Q1 2018	GFCCP M&L	907
Output tracking template development	1	Q1 2018	GFCCP M&L	907
Online survey design and analysis	1	Q4 2018	GFCCP M&L	907
Survey Monkey Standard Monthly rate	N/A	Annual	N/A	43
Semi-structured interview guide development	1	Q4 2018	GFCCP M&L	907
Interviews with target audience members - conduct, transcribe, extract key messages: 10 interviews, 0.5 days/interview @ 350/day	5	Annual	External	1750
Altmetric set up & management	2	Q1 2018	GFCCP M&L	1814
Altmetric subscription fee	N/A	2018 & Annual	N/A	5000 TBC[15]
Outcome story@USD250	3	Q4 2018 & Annual	External	750
Facilitated sense-making	2	Annual	GFCCP M&L	1814
Annual M&L report development	3	Annual	GFCCP M&L	2721
Call-down M&L support	2	2018 & Annual	GFCCP M&L	1814
Travel expenses	1	Annual	GFCCP M&L	3000

M&L plan budget (CHF):

2018	Annual (2019 onwards)
26,455	**16,892**

[14] Using HQ 2018 charge-out rates
[15] Detailed proposals expected Jan 2018

Annex 2: TOC workshop report

Rio Doce Panel: Theory of change & Monitoring, evaluation and learning framework

Purpose

The purpose of the Rio Doce Panel theory of change and monitoring, evaluation and learning framework is to:

1. Reach shared understanding on the RDP's intended results and pathways to achieve them
2. Identify and integrate key stakeholders into RDP impact pathways
3. Define results and indicators relevant to RDP progress and performance
4. Select appropriate monitoring tools
5. Track RDP progress and performance
6. Make sense of evidence related to progress and performance
7. Feed into evaluative processes (mid-term review, final evaluation)
8. Test assumptions about the effectiveness of the Independent Science and Technical Advisory Panel (ISTAP) model
9. Help answer learning questions[16]
10. Share learning (success and failure) with related initiatives

Basic Premise

This Rio Doce Panel theory of change is underpinned by two assumptions:

1. Mitigation actions undertaken by the Renova Foundation (RF) can be enhanced by Rio Doce Panel (RDP) knowledge and recommendations, and
2. Enhanced mitigation actions undertaken by the RF can deliver better results for the environment, people and economy of Rio Doce catchment (figure 1).

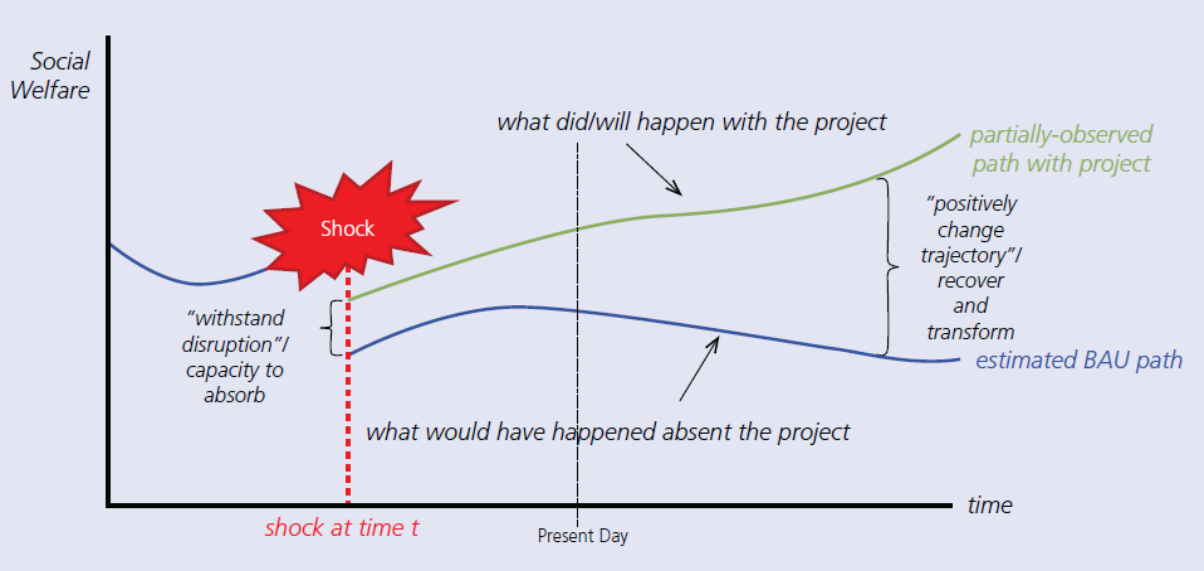

Figure 1: The RDP can contribute to enhanced on-ground outcomes

[16] A draft set of learning questions is included in Annex 1

(Source: Bond, et al., 2017)

Process

The RDP met on Saturday 24 March 2018 in Belo Horizonte to develop its theory of change, and monitoring, evaluation and learning framework. RDP members were joined by Alan and Guilherme from the RF, and Stewart Maginnis and Steve Edwards from IUCN. Jules Colomer and Carolina Marquez (IUCN) facilitated the session. RDP Terms of Reference grounded all aspects of the process. The slide deck used to guide the process is available from XYZ.

RDP Theory of Change

The theory of change developed during the session:

- defines the RDP's vision[17],
- describes how the RDP aims to contribute to the vision through a causal chain of linked results,
- integrates primary and secondary stakeholders[18],
- defines a limit to the RDP's zone of accountability[19],
- outlines assumptions and other drivers of change, and
- provides the building blocks of a monitoring, evaluation and learning system to track, report and learn from RDP progress (figure 3).

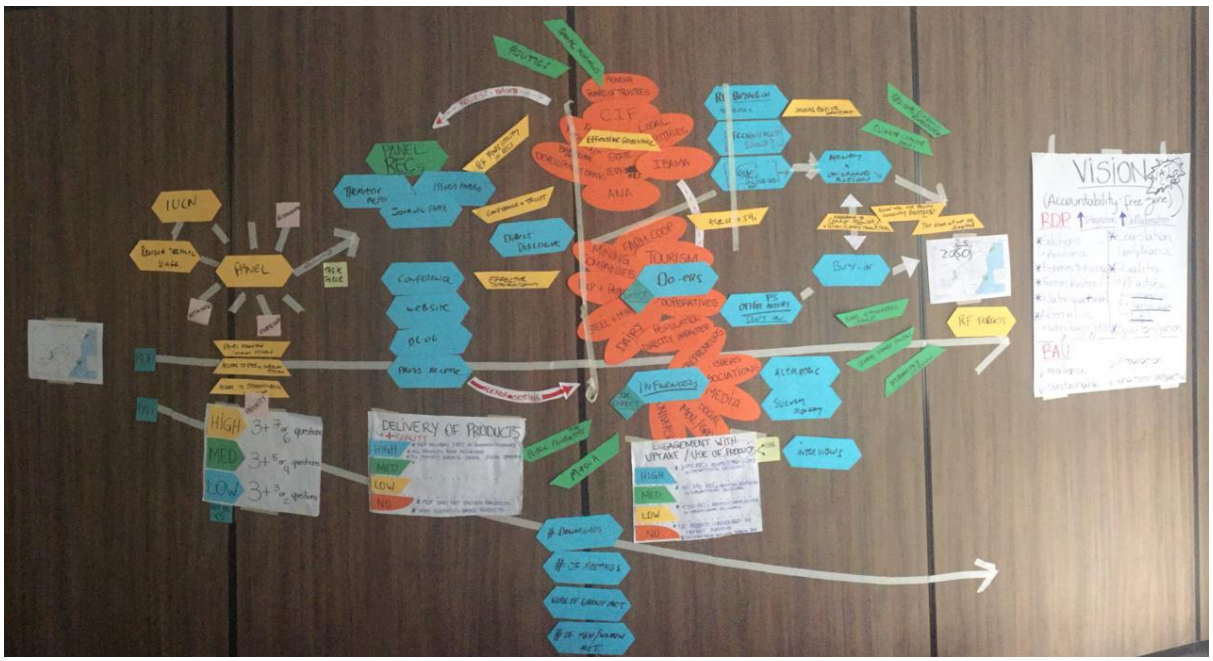

Figure 3: RDP theory of change developed on 24 March 2018

[17] **Vision**: A description of the large-scale development changes (economic, political, social, or environmental) to which the program hopes to contribute (Earl, et al., 2001).

[18] Initial stakeholder mapping was completed with the RDP and RF on 22 March 2018 (Annex 2)

[19] **Zone of accountability**: Delineates results attributed to RDP actions from those that rely on other actors.

DRAFT: The RDP's draft vision is social, environmental and economic health for the Rio Doce that is sustained beyond the lifespan of the RF TTAC, is nature-based, integrative and grounded in the landscape approach.

Recognizing that the process of knowledge adoption is: iterative not linear, active not passive, contextualised (adapting and modifying information to suit, thereby also creating knowledge), needs based rather than curiosity-driven, or pull more than push (Andrews, 2012). 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 and are informed by RF needs. RDP Recommendations inform and aim to influence the RDP's primary target audience – the RF – through regular scheduled meetings at which RDP Recommendations are considered by the RF. A range of other stakeholders are reached by the RDP through the RF on an ad-hoc basis. The RDP aims to have its Recommendations adopted and reflected in the RF's implementation of on-ground actions. The RDP also aims to inform and influence the behaviours of a broader set of concerned stakeholders. 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.

Monitoring, evaluation and learning components

The RDP defined three main result areas within its zone of accountability. These were mapped on to the theory of change:

1. **Product design:**
    - Use of agreed prioritisation criteria (Annex 4) to define topics of the *Issues Papers* and *Thematic Reports*. We equate use of agreed prioritisation criteria with RDP product salience.
2. **Product delivery and quality:**
    - Number of *Issues Papers* and *Thematic Reports* delivered against an agreed annual work plan.
    - Number of *Thematic Reports* allocated ISBNs by the IUCN Publication Review Committee[20]. We equate ISBN allocation with *Thematic Report* credibility (*Issues Papers* being too short to be considered for ISBNs by the IUCN Publication Review Committee).
3. **Recommendation uptake:**
    - Number of recommendations adopted and/or reflected in RF operational decisions.

Other result areas fall outside of the RDP's zone of accountability and were not discussed during the session, though may be useful for the mid-term review and final evaluation:

4. **Effects of RDP Recommendation uptake on RF actions**
5. **Subsequent knock-on effects of RF actions** on social, environmental and economic parameters of the Rio Doce catchment.

[20] https://www.iucn.org/theme/science-and-economics/our-work/culture-science-and-knowledge/iucn-editorial-board

We use rubrics[21] to define high, medium and low levels of performance for result areas 1-3. Each result area includes criteria to define different levels of performance. Existing criteria can be modified, and new criteria added if necessary during the RDP lifespan, as part of a structured learning process:

	Criteria		
Performance level	1. Product design	2. Product delivery and quality	3. Recommendation uptake
High	3 + 7 OR 6 questions	• Panel delivers XX issues papers and XX thematic reports annually • All Thematic reports are allocated ISBNs by IUCN Publication Review Committee	• >75% Recommendations are adopted and/or reflected in RF operational decisions
Medium	3 + 5 OR 4 questions	• Panel delivers XX issues papers and XX thematic reports annually • 25-75% Thematic reports are allocated ISBNs by IUCN Publication Review Committee	• 50-75% Recommendations are adopted and/or reflected in RF operational decisions
Low	3 + 3 OR 2 questions	• Panel delivers XX issues papers and XX thematic reports annually • <25% Thematic reports are allocated ISBNs by IUCN Publication Review Committee	• <50 % Recommendations are adopted and/or reflected in RF operational decisions

Each result area will be monitored using fit for purpose tools. These are outlined below. Monitoring will be led by IUCN and evidence will be fed back to the RDP on a regular basis as part of joint sense-making and learning about RDP progress and performance. Evidence gathered is intended to help understand and learn from the influence and utility of RDP Recommendations on target processes and audiences, as well as any unexpected outcomes. As such, the Panel will play a key role in making sense of evidence gathered. IUCN will facilitate that process through regular scheduled meetings with the RDP.

Tools and approaches mapped to Result Areas				
1. Design	2. Delivery & Quality	3. Uptake	4. Effect on RF actions	5. Longer term impacts
A basic output tracking system will be used to monitor performance against the Design, and Delivery & Quality result areas. Associated output indicators such as # RDP – RF and RDP –		A basic uptake tracking system will be used to monitor performance against the Uptake result area, using communications from the RF as		

[21] A rubric sets out clearly criteria and standards for assessing different levels of performance. Rubrics have often been used in education for grading student work, and in recent years have been applied in evaluation to make transparent the process of synthesising evidence into an overall evaluative judgement (https://www.betterevaluation.org/en/evaluation-options/rubrics).

other stakeholder meetings will also be tracked	input, per the RDP terms of reference.		
	Online dissemination, attention and influence of Panel products across multiple platforms will be tracked through the use of Altmetric[22] or similar.		
	A light touch online survey will be developed using Survey Monkey and applied to target audiences to understand the extent to which RDP outputs are perceived as relevant.		
	Semi-structured interviews will be used to provide more in-depth understanding the perceived relevance of Panel products with a small number of priority targets. An interview guide will be developed for this purpose.		
Outcome stories will be developed to understand and highlight how select RDP Recommendations have informed and influenced RF actions.			
Value for money and other impact assessment approaches could potentially be applied to link RDP to longer-term impacts.			

IUCN will deliver an annual Monitoring and Learning report to the RDP and RF. The annual Monitoring and Learning reports will serve as a key input to the external mid-term review and the final evaluation.

[22] Altmetric (https://www.altmetric.com/) tracks attention, dissemination, influence and impact of research.

***Annex 3:** RDP Stakeholder/audience/beneficiary identification sheet*

The RDP completed an initial stakeholder mapping exercise on 22 March based on the power/influence approach. Several additional criteria were included to help prioritise stakeholders/audience/beneficiaries[23].

###	Stakeholder	Level of impact from disaster (1, 2, n/a)	Help or hinder? Can be supportive (green) or indifferent (yellow) or mixed/not sure (orange)	Power/ Influence rank (1, 2, 3)	Type of power (economic political social)	Type of relationship w/ Panel	Type (Private sector, Government, Community, Academic, Media, Other)	Level (International, National, Local)	Main interests (Governance, Fisheries, Mining, Biodiversity conservation, economic and social development, Etc)
1	Renova Foundation technical team	n/a		1	SE	Main beneficiary	Private sector	Local	Economic, social and environmental development
2	Universities	2		2	PS	Influencer	Academic	Local/National	Multidisciplinary

[23] The stakeholder mapping slide deck needs to be uploaded to google drive and link provided here.

3	Media	2		1	SP	Influencer	Media	All levels	Multidisciplinary
4	IUCN members	2		2	S	Influencer	Multistakeholder	National/International	Natural resources
5	NGOs social/environmental	2		2	P	Influencer	NGO	Local/National	Economic and social development; natural resources
6	Entrepreneurs	2		2	E	Influencer	Private sector	Local	Multidisciplinary
7	Social Movements	2		2	S	Influencer	Community	All levels	Social development
8	Local authorities	1		1	P	Governance	Government	Local	Economic and Social development/ Governance
9	ANA (water)	1		1	P	Regulator/ Policy Maker	Government	National	Water resources
10	IBAMA	1		1	P	Regulator/ Policy Maker	Government	National	Natural resources/Governance
11	State Governors	1		1	PES	Regulator/ Policy Maker	Government	Local	Economic and Social development/ Governance
12	Public prosecutors	1		1	PS	Regulator/ Policy Maker	Government	National	Governance

13	Renova Foundation Board of Trustees	n/a		1	PES	Main beneficiary	Multistakeholder	All levels	Governance
14	CIF	n/a		1	P	Renova BoT	Multistakeholder	Local/National	Governance
15	Mining companies (BHP, Vale)	1		1	EP	Renova BoT	Private sector	All levels	Mining
16	Ministry of the Environment	1		2	P	Regulator/ Policy Maker	Government	National	Natural resources/Governance
17	ICMBio	1		2	P	Regulator/ Policy Maker	Government	National	Conservation Units
18	Watershed Committees	1		2	SP	Regulator/ Policy Maker	Multistakeholder	Local/National	Water resources/ Governance
19	State [Development] Banks	2		1	PE	Governance	Government	Local	Investment
20	Population directly impacted (loss of jobs)	1		2	SP	Do-er	Community	Local	Livelihood/ Governance
21	Farmers	1		2	SE	Do-er	Community	Local	Farming
22	Fishers	1		2	S	Do-er	Community	Local	Fisheries
23	Indigenous peoples groups	1		2	SP	Do-er	Community	Local	Livelihood

24	Traditional communities	1		2	SP	Do-er	Community	Local	Livelihood
28	Steel and mining companies	2		2	E	Do-er	Private sector	National/International	Mining
29	Paper, steel, dairy, sugar-cane cooperatives	2		2	E	Do-er	Private sector	Local	Economic development
30	Commercial/traders	1		2	SE	Do-er	Private sector	Local/National	Trading
31	Sustainability certification providers / best practice private sector	2		2	E	Do-er	Private sector	National/International	Economic and social development; natural resources
32	Private Sector (Tourism, etc)	1		2	E	Do-er	Private sector	All levels	Trading
33	International resource/ expertise providers	2		1			Academic	International	Multidisciplinary
34	International Agencies	2					Government	International	Investment

Annex 4: Criteria for Priority Setting

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

Annex 5. Categories of Renova's feedback

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