



## Rio Doce Panel: 2019 Annual Monitoring, Evaluation and Learning report

### Contents

Summary of results .....	2
2019 Annual Monitoring, Evaluation and Learning report .....	4
Introduction .....	4
1. RDP 2019 – Monitoring results .....	4
1.1. Advances in MEL strategy, activities and tools .....	4
1.2. Product delivery, design and quality .....	4
1.3. Uptake and reach of RDP recommendations .....	5
1.3.1. Recommendation uptake .....	5
1.3.2. Communication outputs and outreach .....	7
1.3.3. Participation in events .....	9
1.3.4. Survey results .....	10
1.4. RDP members' feedback .....	10
1.5. Tracking RDP impact .....	10
1.5.1. Communication and Knowledge log frame .....	10
1.5.2. Influence log and outcomes description .....	11
2. Insights and next steps .....	11
2.1. How can these results help to answer the key MEL questions? .....	11
2.2. Which improvements in MEL are expected for 2020? .....	12



## **Summary of results**

### ***I. Advances in MEL strategy, activities and tools***

In 2019, the MEL strategy (Annex 1) was revised and detailed. The RDP face-to-face meeting (RDP5) held in September had a special session about MEL.

### ***II. Product delivery, design and quality***

Much of the activities and outputs described by the “IUCN - Renova 2019 Rio Doce Panel Workplan” were achieved as proposed in 2019 (Annex 5)

Four Issue Papers (IP01 to IP04) were published (Table 1). The workplan expected the launch of a higher number of papers: two Thematic Reports (TR), and nine IPs, 5 of which originally planned for 2018. The verified delivery attained ~36% of the foreseen products for the year.

All of the IPs launched were made public in dedicated URLs in the Rio Doce Panel website within IUCN domain, after a peer-review process, and met at least 8 of the 10 pre-defined priority criteria, showing good results on these proposed indicators for product quality. All studies were published in Portuguese and English.

### ***III. Recommendation uptake by Renova***

Renova responded that they agree with 13 out of the 17 recommendations RDP had provided by the end of 2019, and are currently implementing at least 11 of them (Figure 1). There is an uneven response to implementation regarding recommendation type: recommendations on Governance or Research are classified by Renova within categories 3 or 4, meaning the foundation will not fully implement them.

### ***IV. Communication results and outreach***

A Communication strategy was elaborated. A dedicated website for the Rio Doce Panel was launched, in English and Portuguese; an institutional video and a factsheet were produced; and 2 newsletters were elaborated and delivered to a mailing list with representatives of RDP target audiences.

The RDP web pages were viewed 12,860 times (9,626 unique views). Participation in events seem to impact positively the website visits (Figure 2). The majority of the viewers were in Brazil (62%), followed by the US (12%), the UK (6%) and Australia (4%).

There were 781 downloads of the RDP four IPs launched in 2019, and 3000+ downloads of TR01. More than 800 hard copies of the knowledge products were delivered. Altmetric shows the 5 knowledge products published by 2019 had a total of 15 mentions: 8 in IUCN policy documents and 7 tweets.

The RDP members participated in 53 external events and meetings in 2019, in which they made 18 presentations of the Panel (Figure 5).

### ***V. RDP members' feedback***

The answers of a survey of the Panel members show an overall satisfaction with the RDP meetings. We observe improved results regarding the quality of team work among Panel members, the way the Panel Chair performs her role, and monitoring of the Panel's activities in comparison to 2018. On the other hand, in 2019 Panel members were less convinced that the Panel composition is fit for



purpose or that Panel members are fully engaged in Panel meetings. Seven out of the 16 answers (~44%) had an improvement compared to 2018.

## **VI. Tracking RDP impact**

The indicators of the Communication and Knowledge logframe were assessed using the progress markers as shown in Annex 10. Six progress markers exceeded expectations, two attained expected results, and 4 expected results were not reached.

A highlight is the good response on the implementation of recommendations made by Renova - although the concrete impact on operational and decision making levels was not assessed. Other good results were the availability of the RDP websites in Portuguese and English, the international reach of the knowledge products, and the participation of the Panel members in external events.

Registers in the Influence log indicate RDP is influencing target audiences as Renova Foundation and CIF, as well as international stakeholders. An identified unintended outcome is the inclusion of a section on post-disaster recovery in the “Global Tailings Review” after the participation of a Panel member in the discussions, in which he emphasized the importance of the inclusion of that information.



## 2019 Annual Monitoring, Evaluation and Learning report

### Introduction

This report aims to register and analyse the results of the Rio Doce Panel work in 2019 from the perspective of the Monitoring, Evaluation and Learning (MEL) Strategy. The MEL Strategy for the RDP was first developed in 2018, and is a dynamic and often revisited document. A description of the MEL strategy and its tools are in Annex 1.

The first section of this report presents the monitoring results, including the advances in MEL tools in 2019. The second part will focus on the relation of these results and the MEL key learning questions, as well as on the proposition of next steps for the MEL strategy.

### 1. RDP 2019 – Monitoring results

#### 1.1. Advances in MEL strategy, activities and tools

The first attempts to use several of the MEL Strategy tools occurred in 2019. It is important to note that the first RDP study (TR1) was published in September 2018 and the first feedback form completed by Renova about its recommendations was received in December 2018.

A Communication officer and a new Project officer joined the RDP-IUCN team in late 2018. The *Communication & Knowledge Logframe* was built conjointly by them during 2019. Similarly, the *Influence log* had its first record in June 2019. A RDP-Renova recommendation flowchart was developed by IUCN and Renova focal points in April 2019, defining the milestones of the interaction of the Panel with Renova during the elaboration of a paper, as well as the feedback process.

In the RDP5 face-to-face meeting, which took place in September 2019, a half-day session was dedicated to MEL, during which the MEL Strategy was presented by the IUCN HQ's Monitoring, Evaluation and Learning officer. In this opportunity, the rationale of the MEL Strategy and the use of some tools were discussed with IUCN Staff and the Panel Members. Some of the highlighted issues were i) that the MEL strategy has a monitoring and learning perspective, and is not a strict evaluation approach; ii) the fact that the collection of information for MEL is a shared effort that depends upon the Panel members and IUCN Staff; and iii) MEL results have a high potential value for adaptive management and also to assess the value of RDP work. An updated version of the Theory of Change was built after this session (Annex 2).

#### 1.2. Product delivery, design and quality

In 2019 four Issue Papers (IP01 to IP04) were published by the Panel. All of them were made public in dedicated URLs, in Portuguese and English, in the Rio Doce Panel website, within IUCN domain. No Thematic Report was launched.

The "IUCN - Renova 2019 Rio Doce Panel Workplan" anticipated the launch of a total of two Thematic Reports (Q2 and Q4) and nine Issue Papers (5 of which originally planned for 2018). The Annex 5 shows the work plan approved in the end of 2018, and also an assessment of the achievement of proposed activities. The Table 1, below, shows the deliverables foreseen by the work plan, with their expected launch date, and the status of each one by the beginning of 2020.

*Table 1. Calendar of deliverables for 2019, with the expected launch period as it was in October 2019. The “Status” column shows the actual launch period, or indicates the postponement of launch. Papers not yet launched are shown in grey. Explanation of priority criteria in Annex 3.*

DELIVERABLE	SUBJECT	Expect date	Status	Priority criteria met
Issue Paper 01	<b>Alternative livelihoods in rural landscapes of the Rio Doce Basin after the Fundão Dam failure</b>	Q1	Launched Q1	10
Issue Paper 02	<b>Socioeconomic impacts of fishing bans and solutions for sustainable fisheries</b>	Q2	Launched Q2	10
Issue Paper 03	<b>Risks of suppressing natural flows within a source-to-sea system: the case of Lake Juparanã, Espírito Santo State, Brasil</b>	Q3	Launched Q3	8
Issue Paper 04	<b>A framework for assessing environmental and social impacts of disasters for effective mitigation</b>	Q3	Launched Q4	10
Issue Paper 05	<b>Human health and ecosystem</b>	Q2	Moved to 2020 workplan	10
Draft Issue Paper 03	<b>Water quality and Ecosystem health</b>	Q3	Moved to 2020 workplan	10
Draft Thematic Report 02	<b>Climate Change building future scenarios for the Rio Doce watershed</b>	Q3	Moved to 2020 workplan	9
Draft Issue Paper 07	<b>Terrestrial Biodiversity and Ecosystem Services</b>	Q3	Moved to 2020 workplan)	9
Draft Issue Paper 08	<b>Environmental education and economy innovation</b>	Q4	Moved to 2020 workplan)	Not assessed
Draft Issue Paper 09	<b>Guidance on assessing sustainability and resilience of mitigation programmes</b>	Q4	Moved to 2020 workplan	6
Draft Issue Paper 10	<b>Applying landscape and ES approaches to integrate programmes and reinforce restoration</b>	Q4	Moved to 2020 workplan	8

### 1.3. Uptake and reach of RDP recommendations

#### 1.3.1. Recommendation uptake

By the end of 2019, seventeen recommendations had been made by the RDP to Renova considering the Thematic Report from 2018 (7 recommendations) and the four Issue Papers produced (10 recommendations).

After the launch of each of the RDP’s knowledge products, an in-depth meeting is conducted with Renova’s dialogue and technical teams to ensure the recommendations are clear to them. Afterwards, Renova’s teams involved in the subjects of the recommendations, which ideally were in the in-depth meetings, work together to give a formal feedback to RDP. This feedback is given as a formulary that has 4 pre-defined categories of declared uptake:

- **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.

By the time this report was finalized, Renova had given formal feedback for sixteen of the seventeen recommendations delivered by the end of 2019. It is known, however, that Renova agrees with and is implementing the recommendation of IP04<sup>1</sup>, not yet included in a formal feedback. All formal feedback from Renova are summarized in the RDP website<sup>2</sup>.

The graph below (Figure 1) shows the number of recommendations in each of the feedback categories. Recommendations were classified in the 7 types shown in the graph. Results show that Renova agrees with 13 out of the 17 RDP recommendations, and states it is currently implementing at least 11 of them. It is noteworthy that no recommendations on “Governance” and “Research” are being fully implemented by Renova: the 4 of them (3 from IP03 and 1 from IP02) are within categories 3 and 4.

The fact that Renova states it is already implementing most of the recommendations (category 1) just after the products’ launches could indicate that RDP’s contribution is to reinforce and support solutions already identified as important by the Foundation. However, a more detailed and exhaustive analysis of the implementation and continuous interaction with Renova is needed, for several reasons (examples used below are in Annex 6):

- Periodic feedbacks and additional follow-up are needed to assess if the foundation is moving forward with the implementation of recommendations put in category 2.
- It is common that, although declaring the implementation of the recommendation “is already underway”, Renova’s feedbacks lack examples of concrete actions already implemented (ex. IP02R3). Further investigation is needed.
- Punctual actions are cited as implementation examples of integrative and comprehensive recommendations (ie. Recommendations 3, 4 and 6 of TR01). It is necessary to understand the real comprehension and willingness to implement this kind of recommendation, which may require the involvement of higher hierarchical levels of Renova.

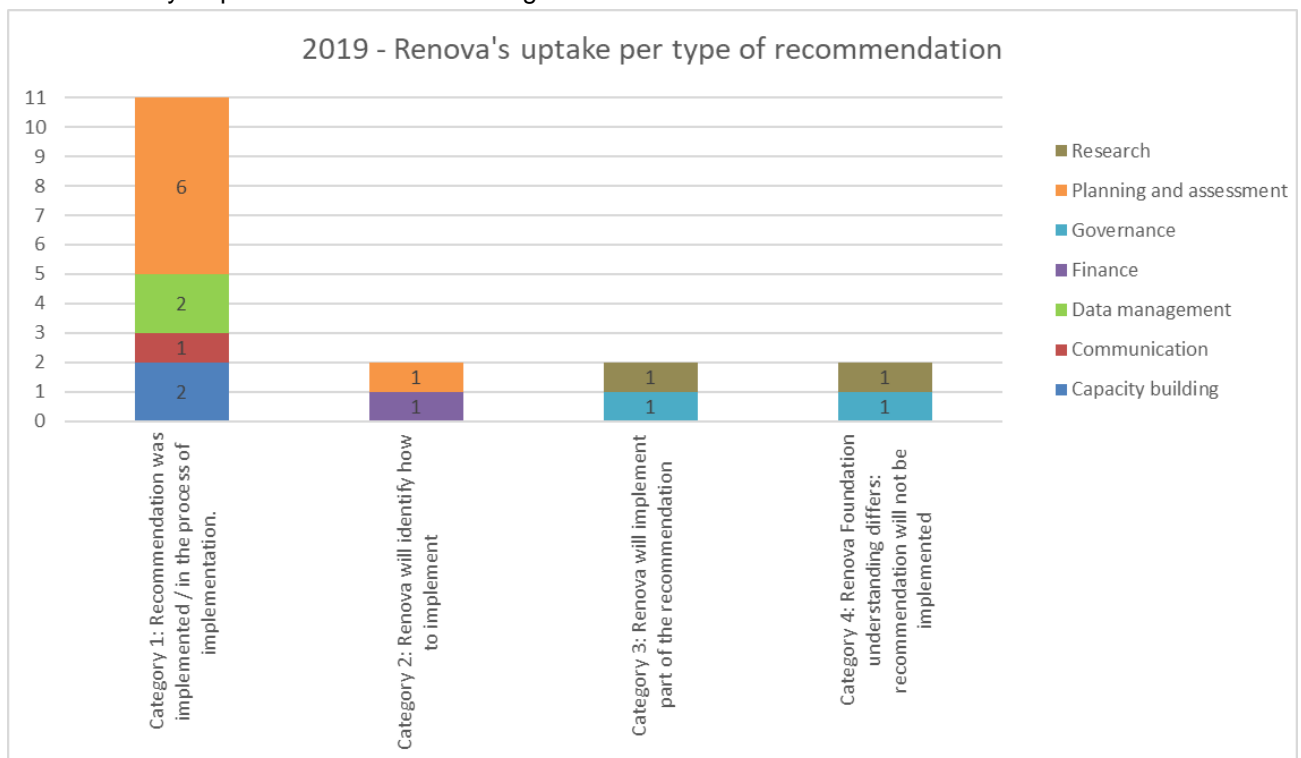


Figure 1. Number of recommendations of each type against the uptake Category of Renova’s feedback.

<sup>1</sup> During the meeting with Renova’s Impact Curatorship team in March 2020, the coordinator Luiza Ramaldes mentioned that they are starting a partnership with a university to implement the recommendation from IP04.

<sup>2</sup> <https://www.iucn.org/table/rio-doce-panel/recommendations>

### 1.3.2. Communication outputs and outreach

In 2019, a Communication Strategy was elaborated and as part of the products defined, a dedicated website for the Rio Doce Panel was launched (previously RDP information was available in a smaller site within the IUCN Business and Biodiversity Programme), with English and Portuguese versions; an institutional video and a factsheet were produced; and 2 newsletters were elaborated and delivered to a mailing list elaborated based on the RDP target audiences.

The RDP web pages were viewed 12,860 times in 2019 (9,626 unique views). Figure 7 illustrates the evolution of page access through the year, pointing out some events that could have influenced traffic in the webpages. The majority of the viewers were in Brazil (62%), followed by the US (12%), the UK (6%) and Australia (4%). Bounce rate average for all RDP pages were around 25%.

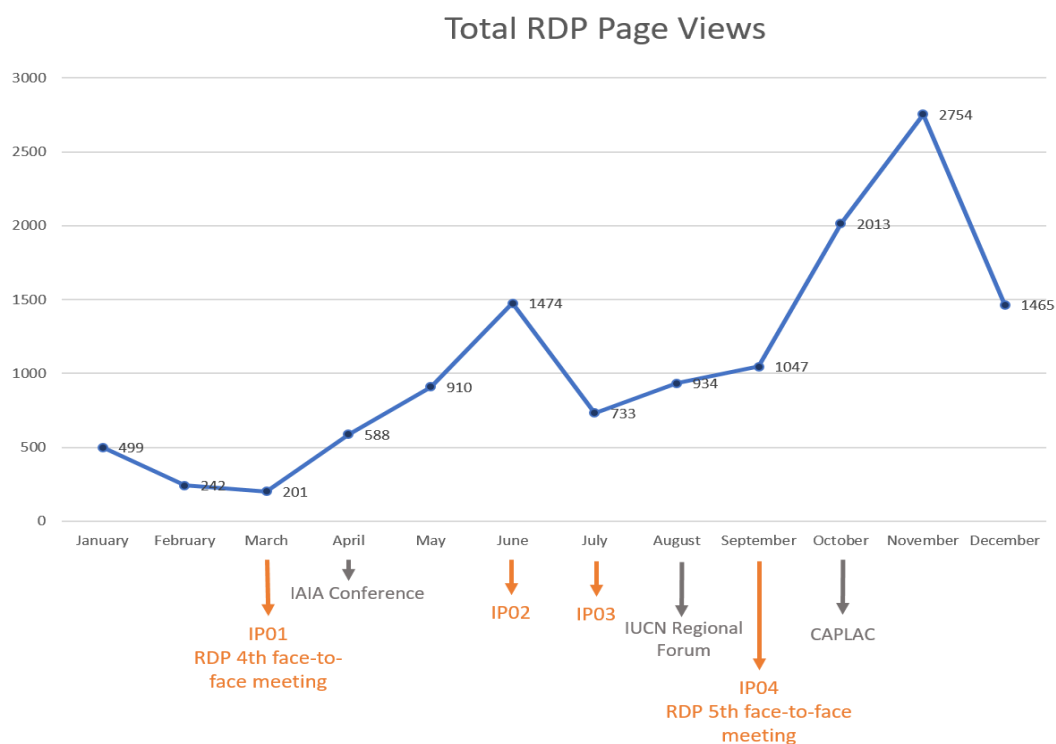


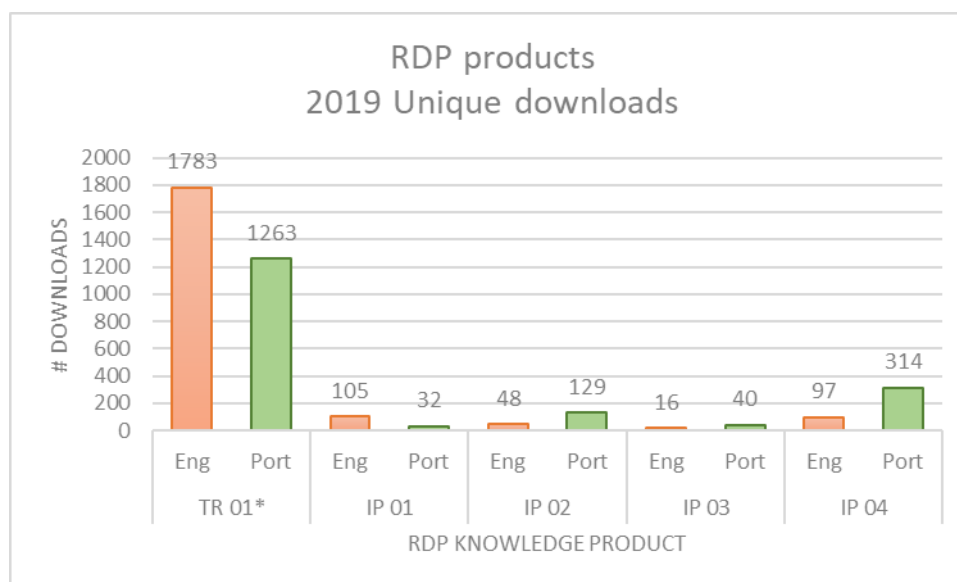
Figure 2. Total RDP webpages views in 2019. In orange, RDP knowledge products launches (IPs) and RDP face-to-face meetings. In grey, participations of RDP members and IUCN staff. Obs.: In the IUCN regional forum, RDP was presented by IUCN) in key events.

In 2019, there were 781 downloads of the RDP four IPs launched in 2019, and 3,046 downloads of TR01. The graph of Figure 3 shows the number of downloads of these knowledge products, and also of TR01, launched in 2018. Is noteworthy that the TR has many more downloads than all IPs. TR01 and IP01 had more downloads in English, while the Portuguese version of the other RDP studies had

more downloads. More than 800 hard copies of the knowledge products were delivered in launches and external national and international events.

Altmetric tool shows the 5 knowledge products published by 2019 had a total of 15 mentions: 8 in IUCN policy documents and 7 tweets. Apart from that, RDP was subject to 11 Facebook and Tweeter posts made by IUCN-SUR, and 9 posts on LinkedIn.

Two newsletters were elaborated (July and November), and distributed in Portuguese and English<sup>3</sup>. The Figure 4 shows the number of deliveries, the number of recipients that opened the newsletters, and the ‘Click-through’ metrics – the number of times the recipients of the Newsletters clicked in any of its links. The Newsletter #1 most clicked content was the link to the RDP institutional video, in both Portuguese and English versions. For the Newsletter #2, the Rio Doce Panel main page and the link for IP04 download were the most clicked contents.



*Figure 3. Total downloads of RDP products in 2019.  
 \*TR01 was launched in September 2018; only downloads made in 2019 are shown here.*

<sup>3</sup> The distribution list was built with IUCN contacts (including Brazil’s members), CIF members, and other stakeholders indicated by Renova. Among recipients are the mayors of the 39 municipalities affected, state-level government agencies, and members of the academia.



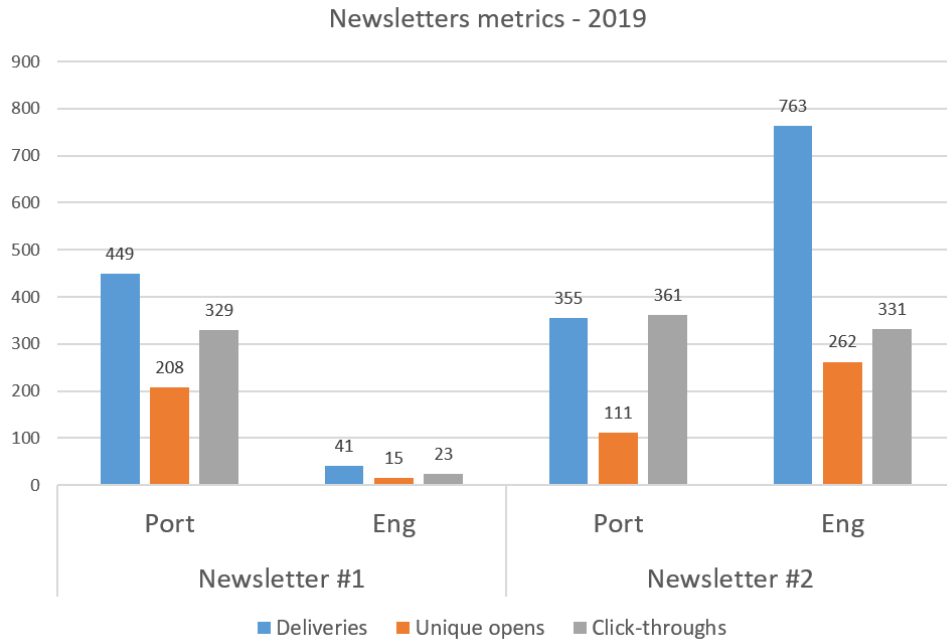


Figure 4. Newsletters delivered (blue), opened by recipients (orange), and the count of ‘clicks’ in any content of the newsletter (grey). The high number of recipients of the 2<sup>nd</sup> Newsletter version in English is due to the non-intentional inclusion, in the delivery list, of the subscribers of the Portuguese version.

### 1.3.3. Participation in events

The RDP members and IUCN support staff participated in 53 external meetings and presentations in 2019. The Figure 5 shows the type of participation and the stakeholders involved. While Renova was, as would have been expected, the most frequent interlocutor of the RDP, the Government was the least targeted audience in 2019. All participations are listed in Annex 7.

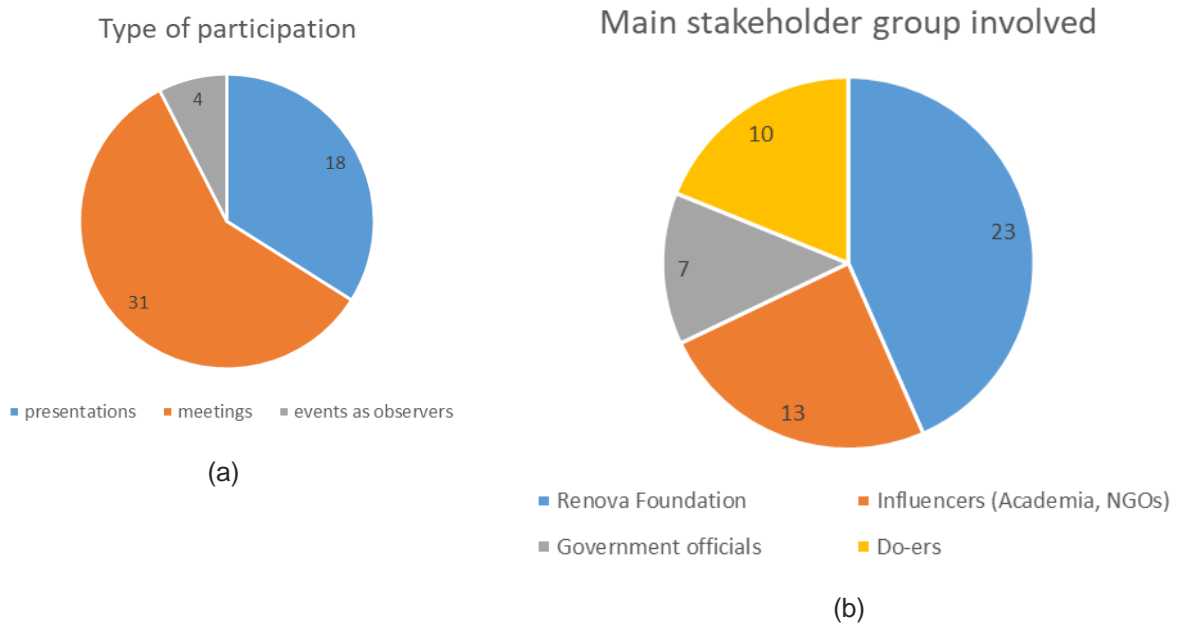


Figure 5. Type of participation of the RDP external events (a) and group of stakeholders involved (b).



A follow up of these participations to assess influence and impact will be included in the MEL 2020 work plan.

#### 1.3.4. Survey results

No surveys or interviews with Renova or other stakeholders were performed in 2019, because there were relatively few Panel Recommendations that had been released to date, and this data collection would not have given much insight until after the Panel's Recommendations are known and where possible, implemented. These MEL activities will be performed starting in 2020. Results from the interactions of the consultancy hired for the ongoing Mid-term review with several interlocutors will also bring important evidence from different stakeholder groups.

#### 1.4. RDP members' feedback

In October 2019 a survey was made with the Panel members to assess their perceptions and opinions, regarding their own work and also IUCN support. Quantitative questions and the answers from the Panel members in 2019 are shown in Annex 8, while Annex 9 shows a comparison of the results with those from 2018.

The answers show:

- An overall satisfaction with the meetings. All members strongly agree that meetings are objective, adequately managed and that the minutes are clear and complete. Nevertheless, results about the lead time in which material to support meetings is provided had worse results than in 2018 (4 out of the 7 Panel members only moderately agreed).
- Answers regarding the quality of team work among Panel members, the way the Panel Chair performs her role, and monitoring of the Panel's activities improved in comparison to 2018 survey.
- Less homogenous opinions about RDP roles, *modus operandi*, composition and interaction (questions from 5 to 16). As shown in the Annex 9, the Panel members in 2019 were less convinced that the Panel composition is fit for purpose or that Panel members are fully engaged in Panel meetings than they were in 2018.

Seven out of the 16 (~44%) quantitative questions had an improvement in their answers in 2019.

#### 1.5. Tracking RDP impact

##### 1.5.1. Communication and Knowledge log frame

As shown in Annex 10, six progress markers exceeded expectations ("like to see" and "love to see" progress markers). Two progress markers show expected results, and 4 expected results were not reached. Two indicators were not assessed, as the necessary interviews or surveys do to so were not performed.

A highlight of the logframe is the good response on the implementation of recommendations in the official feedbacks made by Renova - although the concrete impact on operational and decision making levels was not assessed. Other good results were the availability of the RDP websites in Portuguese and English, the international reach of the knowledge products and the participation of the Panel members in external events.

The indicators that did not reach expected results, apart from the number of knowledge products delivered, were related to the reach and influence of the Panel's work on other stakeholders than Renova.



### 1.5.2. Influence log and outcomes description

As previously cited, the Influence log has its first entry from June 2019 and 11 instances of influence were recorded in the year. At least ten of them indicate positive and potentially significant influence of the Panel on different stakeholders. Some examples are:

- Renova' advisory board and technical committee invited the Panel to present IP02, showing an influence of the RDP on the Foundation's governance bodies;
- RDP recommendations were cited during a CIF meeting and used by a public prosecutor in a presentation;
- National and international influencers are using RDP products or reaching out to Panel members to advise on their work.

Some of these instances will be further explored in order to identify solid outcomes of the influences, yielding outcome-descriptions.

An outcome already identified is the post-disaster recovery section included in the "Global Tailings Review" after Luis Sánchez, a Panel member, participated in a public consultation and a specific meeting held in Brisbane by UNEP, ICMM (International council on mining and metals) and Principles for Responsible Investment (PRI). Steve Edwards, IUCN Programme manager, was also invited to participate in the Advisory Group for the Global Tailings Review, representing IUCN and the conservation community..

## 2. Insights and next steps

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

A collective effort involving all IUCN staff and Panel members will evaluate how the results described can help to build answers for the key questions. Nevertheless, some insights are exposed below.

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

As the main target audience (see ToC narrative in Annex 2), Renova declares so far to agree with and be keen to implement most of the Panel's recommendations. The analysis of Renova's feedback so far indicates that the foundation will not completely implement "Governance" and "Research" types of recommendation.

Other assessment tools – as an extensive analysis of reports, or the implementation of surveys and interviews – are necessary to understand the actual reach and influence of RDP work on Renova. These additional interviews and surveys are planned for 2020 and beyond.

Regarding the other stakeholders, some indicators show that the Panel is not influencing audiences as expected (outcomes 3 to 5 in Annex 10). The possible reasons for that need to be discussed so that adaptations can be implemented.

Also, MEL activities aim to assess all the proposed indicators in 2020, fostering the understanding of the RDP influence on all stakeholders.

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

The results of this report will support discussions by the Panel members and IUCN team about the project results and expectations.

The table in Annex 5 demonstrates that much of the proposed outputs for 2019 were completely achieved. The RDP internal survey reveals that the majority of the results are positive and Panel members are satisfied. Nevertheless, product-delivery rhythm as well as other outcomes shown in Annex 10 did not reach expectations.

Regarding product delivery, some reflections on why the Panel and IUCN did not meet their initial targets are:



- As a new initiative, the time and effort required to generate publications was not fully understood, and the Panel was overly-ambitious.
- New processes flows and guidance documentation were being prepared and adapted in the first year+ of the Panel's existence.
- There was change-over in the Panel – two members left in mid-2018 (and were shortly replaced) and one member left in 2019 (who was also shortly replaced). This generated some lag in the production of Panel outputs.
- The Renova Foundation requested greater levels of interaction in the development of Panel outputs – particularly in the early conception stage, as well as during subsequent reviews. This added additional time constraints.

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

The analysis performed so far cannot completely answer this question. The full execution of MEL strategy and the use of the several proposed tools starting in 2020 will provide elements to understand the actual impact and its sustainability.

**IV. Are there any unintended consequences of Panel actions?**

An example of unintended consequence of the RDP is the influence on global forums discussing best practices on mining, as described in section 1.5.2. It is expected that the follow-up and analysis of the Influence log in 2020 will document other unintended consequences of the Panel work.

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

The results of this report will support a discussion with the Panel members and IUCN team to identify other potential contributions for ISTAPs.

**2.2. Which improvements in MEL are expected for 2020?**

Several MEL time-demanding activities that were not started in 2019 now have the possibility to be developed, with the arrival of an MEL officer to the Brasilia office in March 2020. These activities will be detailed in a MEL workplan and data collection plan for 2020, and will include:

- Surveys and interviews with Renova staff, CIF members and other stakeholders to assess the concrete influence of RDP work and its impact on behavioural changes.
- Extensive analysis of Renova's and CIF's official reports, in an active search for RDP influence. This activity will benefit from NVivo tool for organizing and analysing the large amount of qualitative data.
- Enhancing the use of the Influence log by Panel Members, and engaging in the elaboration of outcome descriptions.
- Performing more complete assessments of the reach of the knowledge products among influencers with the use of NVivo and Altmetrics.

Based on the experience acquired in the elaboration of this report, some monitoring tools will be re-designed in order to track results in a more efficient way. An example is the *MEL tracking sheets* excel spreadsheet that replicates some information already tracked by the *Recommendations tracking list* and *delivery workplan*. Feedback mechanisms from Renova will also be improved, from a unique feedback that occurs after the knowledge products' launch, to a more frequent and consistent assessment along time. The Communication and Knowledge Logframe will also be revised.

Finally, the Mid-term Project review results, to be available by mid-2020, will have important inputs for the learning process of the RDP MEL strategy and to the RDP project as a whole.



*Annex 1. The MEL Strategy tools.*

## **About the Monitoring, Evaluation and Learning Strategy and its tools**

The Monitoring, Evaluation and Learning (MEL) strategy aims to understand and learn from the influence and impact the Rio Doce Panel (RDP) products and recommendations have on target processes and audiences, as well as account for unexpected outcomes. It also aims to help RDP making sense of the evidence gathered to meet adaptive management and learning objectives.

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?

In order to address these key questions, several tools were developed:

### **i. Theory of change (ToC).**

The objective of the ToC is to describe how the project intends to contribute to the outcomes and impact. The first effort to elaborate a Theory of Change was made in March 2018, during the second RDP face-to-face meeting and involving IUCN staff, Panel members and the Renova Foundation. The ToC was revisited during the 5th RDP face-to-face meeting, held in September 2019, when the Panel Members and the IUCN staff, with the support of the IUCN HQs MEL Officer, revised some assumptions and drivers. The ToC graphic as it was in the end of 2019 and the narrative that describes it can be found in Annex 2. As validated by the RDP Project Board, the Theory of Change model is intended to be dynamic and regularly revisited to ensure it remains fit-for-purpose.

### **ii. Target audience analysis and identification.**

The identification of the targeted audiences for the products developed by the Panel is an important part of the ToC construction. A first attempt to elaborate a target audience/stakeholders identification was also made during RDP2 in March 2018, generating an excel spreadsheet called *Targeted audiences list*. This table could not be totally finished during RDP2, and was completed in 2019 by the RDP Project Officer.

All stakeholders identified were categorized in 4 groups: **Renova Foundation** – the main target audience; **Policy makers and regulators**, that follow the process mainly through the CIF mechanism of governance. **Do-ers**, composed primarily by directly affected people, enterprises and organizations working in the basin; **Influencers**, that are external people interested in the subject, and who may have an impact on the basin's restoration (international agencies, NGOs, Universities and others). The order of the list of stakeholder groups also reflects their respective order of prioritisation, with the Renova Foundation by far the most important stakeholder group due to their role in implementing the restoration effort, followed by the Policy makers and regulators, for their role in mandating the work of the Renova Foundation as well as their role in the enabling environment, followed by the Do-ers and Influencers.

### **iii. Result Log Frame**

An Excel spreadsheet called *Communication & Knowledge Logframe* was developed to systematize the necessary identified activities to achieve the project goals, and also to monitor the project outcomes through pre-defined project markers. The log frame lists the outputs and activities (mainly of IUCN staff), relating them to five outcomes: one related to the principles of ISTAP work and the knowledge production of the RDP, and four others relating to the expected impacts of the Rio Doce



Panel on stakeholders as depicted in the ToC<sup>4</sup>. Indicators and means of verification are defined to monitor the outcomes, and pre-defined goals are established as progress markers that categorize the results in 3 classes (“Expect to see”, “Like to see”, “Love to see”).

A summary of the Communication & Knowledge Logframe, with all proposed indicators, means of verification and progress markers can be found in Annex 4.

iv. **Set of tools and approaches to track progress against Results Areas**

The MEL Strategy defined results-tracking tools for 5 areas. These tools aim to monitor the performance of the Panel and explore the reach and relevance of Panel outputs. The results tracked by these tools will serve as inputs for the Communication & Knowledge Logframe, helping to assess the outcome progress markers. The five areas are:

- a. **Product design.** The Rio Doce Panel defined ten criteria to prioritize themes for Issue papers and Thematic Reports. The *MEL\_tracking\_sheets* excel spreadsheet, in its “priority setting” tab, evaluates the criteria met by each published study (Annex 3).
- b. **Product delivery and quality.** At the end of the year, RDP defines the list of deliverables for the next year and IUCN prepares a work plan that is submitted to Renova Foundation. This work plan defines the number of Thematic Reports (TR) and Issue Papers (IP) to be published in each trimester. For TRs, a quality indicator is the attribution of a DOI by the IUCN Editorial Board. Being too short to have DOI, IP will only be given a dedicated URL in the IUCN web domain. The *MEL\_tracking\_sheets* spreadsheet (tab ‘product\_deliver&quality’) monitors delivery against the annual work plan.
- c. **Uptake of RDP knowledge and recommendations.** After every launch of TR or IP, Renova’s teams that work in programs directly related to the recommendations are invited to give their feedback about the uptake of the recommendations. This feedback is systematized in the *RDP\_Recommendations\_list* excel spreadsheet. The public feedback is available at: <https://www.iucn.org/table/rio-doce-panel/recommendations>. For the assessment of recommendations’ uptake by other stakeholders, the MEL Strategy proposes the use of access and sharing metrics of RDP work among all audiences, news clippings, and the conduction of surveys/interviews.
- d. **Effects of RDP knowledge products on Renova Foundation and other stakeholders’ actions.** The *Influence\_log* excel spreadsheet is designed to record all influences perceived by IUCN staff or Panel Members on any stakeholder. These influences can be informal (a perception at a meeting or conversation, in an email, or during a presentation) or more concrete (as policies changes or investments shifts influenced by a RDP recommendation). Besides of registering influences, the logged instances serve as input of further investigation in order to identify concrete outcomes of the RDP. The detection of these causal changes will be captured and packaged in outcome descriptions or short outcome stories.
- e. **Subsequent knock-on effects of RDP knowledge on social, environmental and economic parameters of the Rio Doce catchment.** When possible impact stories are developed to demonstrate subsequent knock-on effect of the RDP knowledge products and recommendation. Impact stories seek to demonstrate RDP socioeconomic and environmental impacts as well as behaviour change among different stakeholders (policy makers, doers and influencers) that benefited from the work of the Panel.

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<sup>4</sup> These four outcomes are depicted in the ToC as the four boxes on the right side of a dotted vertical line.

Annex 2 – ToC Graphic and narrative



Rio Doce Panel **Theory of change**

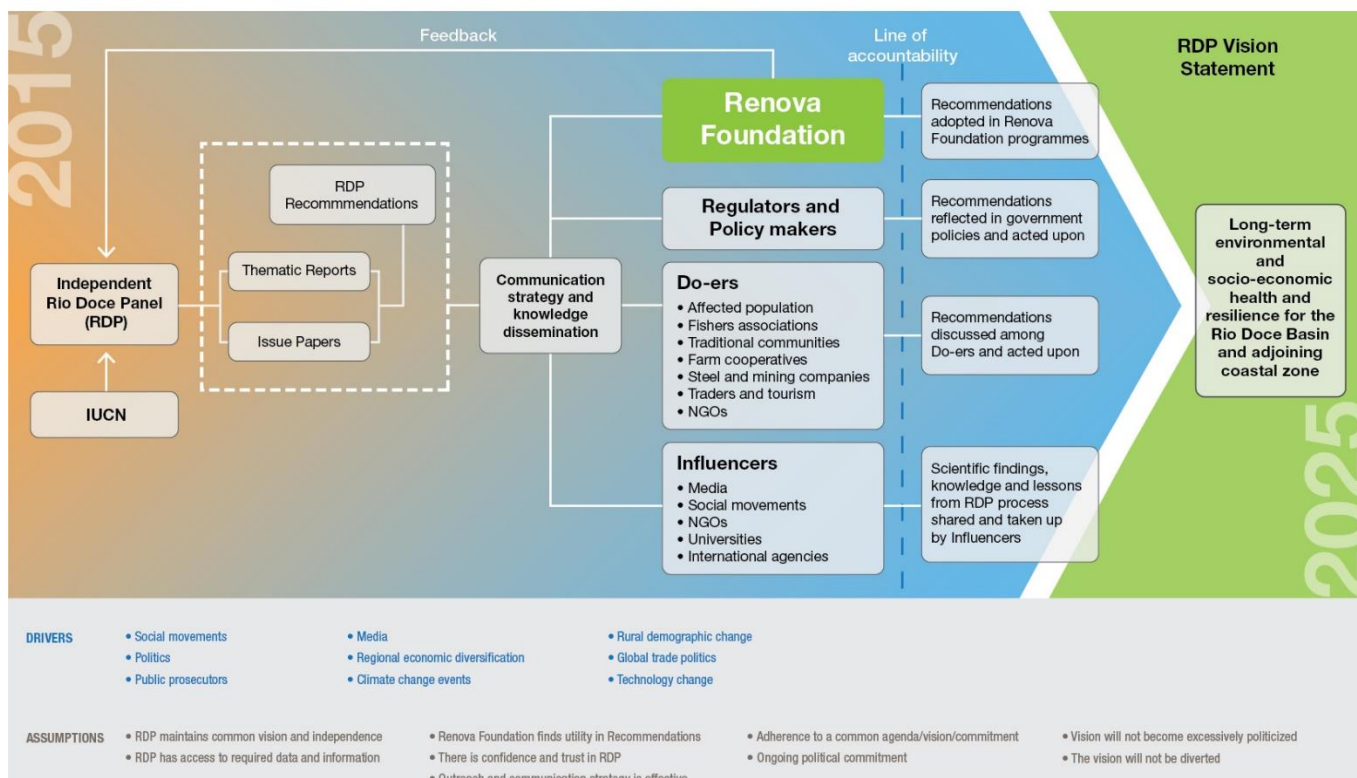


Figure 6. Graphic illustrating the Theory of Change. Version: January/2020, already reflecting changes discussed during RDP5, in September 2019.

ToC Narrative<sup>5</sup>:

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.

<sup>5</sup> As it was in 2019. The narrative was adapted in April 2020 to better reflect the details of the graph.



*Annex 3. Criteria for the assessment of priority in proposed issues to be targeted by RDP knowledge products*

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

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

Priority is then classified as following:

**High Priority:** Theme meets 3 mandatory criteria + 6 or 7

**Medium Priority:** Theme meets 3 mandatory criteria + 4 or 5

**Low Priority:** Theme meets 3 mandatory criteria + 2 or 3





*Annex 4. 2019 Communication & Knowledge Logframe Outcomes, Indicators, Means of verification and Progress markers*

OUTCOME 1	INDICATOR	MEANS OF VERIFICATION	EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Rio Doce ISTAP established and working with independence, transparency, responsibility and commitment, supported by IUCN Secretariat	Number of prioritisation criteria met by RDP knowledge products	Priority setting spreadsheet	Topic selected cover at least 6 priority criteria	Topic selected cover at least 8 priority criteria	Topic selected cover at least 10 priority criteria
	Panel members' total independency from Renova Foundation, Vale, BHP, Samarco and local or state government representatives	Conflict of interest statement	All Panel members have signed Conflict of interest statement and are independent		
	Number of products foreseen at annual work plan are delivered	Annual work plan and product delivery spreadsheet	80% of products foreseen at annual work plan are delivered	100% of products foreseen at annual work plan are delivered in time	Products delivered outpass the number foreseen at annual workplan
	Level of perception among Panel members about efficacy of IUCN Secretariat	RDP virtual survey	There is improvement in the results of 30% of the questions in the survey compared to the year before	There is improvement in the results of 50% of the questions in the survey compared to the year before	There is improvement in the results of 80% of the questions in the survey compared to the year before
OUTCOME 2	INDICATOR	MEANS OF VERIFICATION	EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Recommendations and knowledge generated by RDP adopted in <b>Renova Foundation</b> programmes	Number of recommendations integrated into the implementation of Renova's programs.	Recommendation uptake spreadsheet / Renova's feedback to RDP	At least 50% of recommendations are adopted and/or reflected in RF operational decision	50 to 75% of recommendations are adopted and/or reflected in RF operational decision	More than 75% of recommendations are adopted and/or reflected in RF operational decision
OUTCOME 3	INDICATOR	MEANS OF VERIFICATION	EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Recommendations and knowledge generated by RDP reflected in <b>government policies and regulatory frameworks</b>	Level of awareness of individual decision makers concerning the work of RDP and supportive of it.	Surveys or semi-structured interviews	At least 50% of decision makers consulted are aware and supportive of RDP's work.	50 to 75% of decision makers consulted are aware and supportive of RDP's work.	More than 75% of decision makers consulted are aware and supportive of RDP's work.
	Number of RDP and CIF meetings; number of CIF meetings minutes mentioning RDP and recommendations	RDP meetings reports with CIF members; CIF meetings minutes	RDP members meet CIF executive secretary and other CIF members at least once a year	RDP recommendations are taken to CIFs commissions and general meetings	CIF meetings minutes and/or statements with supportive mention to RDP's
	Statements and actions from the public sector concerning the importance of restoration efforts and a healthy watershed, mentioning the work of RDP.	Newsclipping	From 1- 3 reports and/or statements from the public sector actors positively mentioning the work of RDP and recommendations.	More than 3 reports and/or statements from the public sector actors positively mentioning the work of RDP and recommendations.	Existing laws for waterbasin conservation enforced, and new programs to support their implementation established related to RDP recommendations.
OUTCOME 4	INDICATOR	MEANS OF VERIFICATION	EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Communication and information about the work of RDP disseminated among <b>Do-ers</b> (affected population, farm cooperatives, fishers association, traditional communities, steel and mining companies, traders and tourism)	Number of RDP's reports, meeting summaries, news articles, videos and other materials translated and disseminated in Portuguese.	Materials distribution control and RDP webpages.	All reports, meeting summaries, communications materials and <u>main</u> website pages translated to Portuguese.	All reports, meeting summaries, communications materials and <u>all</u> website pages translated to Portuguese.	All reports, meeting summaries, communications materials translated to Portuguese and Portuguese version of RDP website
	Number of local leaders aware of RDP's work	Surveys or semi-structured interviews	At least 50% of local leaders consulted are aware and supportive of RDP's work.	50 to 75% of local leaders consulted are aware and supportive of RDP's work.	More than 75% of local leaders consulted are aware and supportive of RDP's work.
OUTCOME 5	INDICATOR	MEANS OF VERIFICATION	EXPECT TO SEE	LIKE TO SEE	LOVE TO SEE
Scientific findings, knowledge, and lessons from RDP process shared and taken up by <b>Influencers</b> (media, social movements, NGOs, universities and international agencies)	Number of invitations and presentations done by Panel members and/or IUCN in academic and civil society events related to RDP's work	List of events that Panel members and/or IUCN participated and presented	Panel members and/or IUCN presented RDP's work in at least 5 events.	Panel members and/or IUCN presented RDP's work in at least 10 events.	Panel members and/or IUCN presented RDP's work in at least 15 events.
	Number of media reports mentioning the Panel's work	News clipping	At least 10 media articles or interviews released by Thematic Report and at least 5 by Issue Paper.	At least 15 media articles or interviews released by Thematic Report and at least 10 by Issue Paper.	More than 15 media articles or interviews released by Thematic Report and more than 10 by Issue Paper.
	Influencers replicate Panel's work and participate in activities promoted by RDP	Altmetric data; RDP events attendance list	At least 5 influencers replicated RDP's work (on social media) and engaged in activities promoted by RDP	At least 10 influencers replicated RDP's work (on social media) and engaged in activities promoted by RDP	At least 10 influencers replicated RDP's work and engage in activities promoted by RDP; Academic papers, reports and publications referenced RDP's reports and/or papers and/or recommendations
	Thematic reports and issue papers reach local, national and international audiences	Materials distribution control, Altmetric data, other monitoring and reporting tools for knowledge products to be decided	Thematic reports and issue papers are accessed by municipal and state level audience.	Thematic reports and issue papers are accessed by national level audience.	Thematic reports and issue papers are accessed by international level audience.



*Annex 5 - IUCN - Renova 2019 Rio Doce Panel Workplan*

Activities/Outputs	Lead	2019				Details	Achievement
		Q1	Q2	Q3	Q4		
<b>Governance of the IUCN-Renova relationship</b>							
Project Board management and meetings	IUCN/Renova			TBC		1st Project Board meeting confirmed to January 15th. The others to be confirmed.	Achieved as proposed
Risk assessment and management procedures for the relationship	IUCN					Monitoring and dealing with risks using risks register framework.	Achieved as proposed
<b>Project Management</b>							
Financial reporting	IUCN					Biannually within 30 days of the end of the second and fourth quarters	Achieved as proposed
Payment of biannual instalments	Renova					Upon receipt of financial reports	Achieved as proposed
Submission of 2020 Workplan and Budget to Renova	IUCN					Due in early November 2019	Achieved as proposed
<b>Panel Deliverables</b>							
List of themes and issues to be explored by the Panel	Panel					Topics from Issue Paper 9 and Thematic Report 3 onwards will be discussed during face-to-face meeting in March.	Achieved as proposed
Thematic reports published	Panel					Approximately 2x year. The Thematic Report 2 to be launched at April will be about "Climate Change building future scenarios for the Rio Doce watershed".	Not achieved
Issues papers published	Panel					Approximately 4 x year. 5 Issue Papers from 2018 are going to be launched during Q1. Other 4 papers are expected to be published and launched from Q2 to Q4.	Partially achieved
Panel virtual meetings	IUCN/ Panel					Virtual meetings of the Panel take place once per month.	Achieved as proposed
Panel visits and face-to-face meetings	IUCN/Renova					Panel visits will occur from March 23rd- 21st and from Sept 28th - Oct 6th.	Achieved as proposed
Panel representation at key events	Panel					Based on Communications plan.	Achieved as proposed
<b>Communications and Knowledge Management</b>							
RDP webpages	IUCN					Development of detailed structure (Q1) and regular updates (Q2-Q4)	Achieved as proposed
Communications protocol for RDP	IUCN					Development of protocol with input from Renova (Q1) and implementation (Q2-Q4)	Achieved in 2020 Q1
Communication and Knowledge Management workplan	IUCN					Elaborated in 2018 aligned to 2018-2022 RDP vision, strategy and theory of change. Implementation during the year. IUCN to lead with input from Renova and Panel.	Partially achieved
<b>Monitoring and Evaluation</b>							
M&E strategy for IUCN-Renova engagement	IUCN					Elaborated in 2018 aligned with Theory of Change. Implementation during the year. IUCN to lead with input from Renova and Panel.	Partially achieved
Online survey and semi-structured interviews with priority targeted audiences	IUCN					The objective is to better understand perceived utility of RDP knowledge products/recommendations	Not achieved
Mid-term evaluation	IUCN						Achieved in 2020 Q1

*Annex 6. Examples of Renova's feedback, as well as a preliminary analysis on how to understand the impact of recommendations.*

CODE	RECOMMENDATION	TYPE	CAT	FEEDBACK	PRELIMINARY ANALYSIS
TR01R03	Identify threats to sustainability and resilience of mitigation outcomes and address them.	Planning and assessment	Category 1	Risk management is carried out for the different areas at Renova; the analysis of threats to resilience is a practice that has been adopted by many programs. The Sustainable Land Use Management, for example, has put together a robust agenda devoted to producer engagement and Technical Assistance and Rural Extension (ATER), as well as the implementation of Payment for Environmental Services, which today is of one of the stages of Restoration Programs. Another initiative by the Renova Foundation in this regard refers to the resources made available for basic sanitation works in the municipalities of the Doce River watershed, meant to reduce the volume of untreated sewage released daily into the river, which was compromising water quality even before the dam failed.	Renova is punctually implementing risk assessment and adaptive strategies to different programs, but <b>it is not clear if there is a systematic guideline cross-cutting all programs and if this registered</b> . It would be important to know more about that and also <b>if the threats identified were used to claim changes during the revision of TTAC programmes</b> . They said that the revision served to make small changes in the programmes, but not structural changes. This subject will be raised again after the launch of TR02.
TR01R04	Review regional climate change models and propose improvements in mitigation programmes to address risks to the achievement of outcomes.	Planning and assessment	Category 2	The Renova Foundation understands that not all programs will be impacted by climate change. Programs whose objectives and / or results may be impacted are beginning to determine which actions they will take to mitigate the impacts. Forest restoration programs, for example, are preparing to add specific actions to combat fires (brigades) to their missions and budgets.	Their response is that only the Land Use programmes are considering climate change in their operations, such as to combat fires, but there is <b>no mention to long-term threats to the programmes outcomes</b> ; and how other programmes actions and outcomes can be impacted and what could be mitigation actions. The Category 2 shows that they are not implementing this recommendation so far. This subject will be raised again after the launch of TR02.
TR01R06	Develop and implement a data and information-sharing plan.	Data management	Category 1	The Renova Foundation recognizes the importance of making all the knowledge produced about the disaster and repair actions in the Rio Doce watershed available to society. Different initiatives are being implemented to that effect.	The response is very general, but the internal feedback shows that they already share information in the website, through 3 CITs (technical information centers), etc. We also know that they are starting to develop an online repository with Fundação João Pinheiro. They are talking about <b>different actions but not a plan</b> , as the recommendation suggests. Nevertheless, the <b>recommendation might have impacted on the decision of such actions</b> - worth further investigation.
IP02R03	Communicate the results of the overall assessment on freshwater biodiversity and fish toxicity, and the results of the integrated analysis to affected communities, government authorities and the media.	Communication	Category 1	The Renova Foundation <b>communication team works closely with the programs to generate results and disseminate information for different audiences</b> - government, communities, the press, the governance system and other stakeholders. The communication of the results of general assessment of aquatic biodiversity and fish toxicity brings the perception of safety for consumption and greater basis for the definition of actions to resume fishing activity.	Although Renova says that it is already implementing this recommendation, the <b>feedback lacks evidence</b> , and <b>RDP could verify in the field many times that it is not enough and local population don't get the information they need</b> regarding water quality and fish quality. Renova focal points reported that in February 2020 Renova would start workshops of feedback to the communities to communicate about the state of the art of this issue. It will be useful to follow-up on this information. <b>Government bodies are not satisfied with Renova's actions in this matter either</b> . This paper has also influenced CIF and public prosecutors (described in the Influence log). There is a specific action (item 6 in axis 6) in the judicial action that is related to the information needed for government agencies to take a decision regarding food security and fish consumption.

*Annex 7. List of external events attended by the RDP members and IUCN*

Date	Location	Activity	Target Audience	Participation
January 2019	gotomeeting	<b>Project Board Meeting</b>	Renova Foundation	meeting
February 2019	Switzerland	<b>Presentation to IUCN Headquarters</b> (only IUCN participated)	Influencers	presentation
March 2019	Switzerland	<b>Presentation at IUCN Council meeting</b>	Influencers	presentation
March 2019	Belo Horizonte	<b>Alignment meeting draft IP03</b>	Renova Foundation	meeting
March 2019	Belo Horizonte	<b>Alignment meeting draft IP07</b>	Renova Foundation	meeting
March 2019	Belo Horizonte	<b>Alignment meeting draft IP08</b>	Renova Foundation	meeting
March 2019	Belo Horizonte	<b>Launch of IP01</b>	Renova Foundation	presentation
March 2019	Belo Horizonte	<b>Meeting with MG State Secretary of Environment</b>	Government officials	meeting
March 2019	Belo Horizonte	<b>Meeting with Renova Board of Trustees</b>	Renova Foundation	meeting
March 2019	Vitória	<b>Meeting with SEAMA-ES and SEAG- ES</b>	Government officials	meeting
March 2019	Vitória	<b>Meeting with UFES researchers from Rede Rio Doce Mar (RRDM)</b>	Influencers	meeting
March 2019	Regência	<b>Meeting with Comboios indigenous leaders</b>	Do-ers	meeting
March 2019	Regência	<b>Meeting with President of Association of Entrepreneurs of Regência</b>	Do-ers	meeting
March 2019	Regência	<b>Meeting with Tamar Turtle Project</b>	Do-ers	meeting
March 2019	Aimorés	<b>Meeting with Instituto Terra</b>	Do-ers	meeting
March 2019	Aimorés	<b>Meeting with young leaders of Rio Doce Basin</b>	Do-ers	meeting
April 2019	gotomeeting	<b>Alignment meeting draft IP10</b>	Renova Foundation	meeting
April 2019	gotomeeting	<b>In-depth meeting of recommendations of IP01</b>	Renova Foundation	meeting
April 2019	Australia	<b>Presentation at IAIA Congress</b>	Influencers	presentation
April	Australia	<b>Presentation at BHP Headquarters</b> (only IUCN participated)	Influencers	presentation
May 2019	Vitória	<b>Participation at Rede Rio Doce Mar workshop - UFES</b>	Influencers	observer
May 2019	gotomeeting	<b>Alignment meeting draft IP05</b>	Renova Foundation	meeting
June 2019	Belo Horizonte	<b>Launch of IP02</b>	Renova Foundation	presentation
June 2019	Belo Horizonte	<b>In-depth meeting of recommendations of IP02</b>	Renova Foundation	meeting
June 2019	gotomeeting	<b>Presentation at Renova's Technical Committe meeting</b>	Renova Foundation	presentation
June 2019	gotomeeting	<b>Presentation at Renova's Advisory Board meeting</b>	Renova Foundation	presentation
June 2019	Brasília	<b>Presentation at Fundação Dam Science Meeting</b>	Influencers	presentation
July 2019	Brasília	<b>Presentation for IUCN Brazil members</b>	Influencers	presentation
May 2019	São Paulo	<b>Participation at PENSA Workshop (USP)</b>	Renova Foundation	observer
July 2019	Belo Horizonte	<b>Launch of IP03</b>	Renova Foundation	presentation
July 2019	Belo Horizonte	<b>In-depth meeting of recommendations of IP03</b>	Renova Foundation	meeting
July 2019	Brasília	<b>Meeting with ICMBio - President and directors</b> (only IUCN)	Government officials	meeting
July 2019	Brasília	<b>Meeting with CIF Executive Secretary</b> and representatives (only IUCN)	Government officials	meeting
July 2019	Brasília	<b>Meeting with Brazil IUCN members</b> (only IUCN)	Influencers	meeting
July 2019	Belo Horizonte	<b>Meeting with Institutional Relations, Comms and Dialogue team</b>	Renova Foundation	meeting
July 2019	Belo Horizonte	<b>Participation at CIF extraordinary meeting</b>	Government officials	observer
August 2019	gotomeeting	<b>Alignment meeting draft IP03 (second)</b>	Renova Foundation	meeting
August 2019	Belo Horizonte	<b>Presentation at CIF August meeting</b>	Government officials	presentation
August 2019	Florianópolis	<b>Presentation at Limnology Congress</b>	Influencers	presentation
August 2019	Paraguay	<b>Presentation at IUCN Regional Forum</b>	Influencers	presentation
September 2019	Campinas	<b>Presentation at ECOECO Congress</b>	Influencers	presentation
September 2019	Belo Horizonte	<b>Launch of RDP Issue Paper 4</b>	Renova Foundation	presentation
September 2019	Belo Horizonte	<b>In-depth meeting of TR01</b>	Renova Foundation	meeting
September 2019	Belo Horizonte	<b>Project Board Meeting</b>	Renova Foundation	meeting
	Belo Horizonte	<b>Meeting with Renova teams: Lessons learned and next steps</b>	Renova Foundation	meeting
October 2019	Barra Longa	<b>Meeting at Culture and Development Community Centre (CPCD) with community agents</b>	Do-ers	meeting
October 2019	Santa Cruz do Escalvado	<b>Meeting with representatives of Rio Doce and Santa Cruz do Escalvado affected people commissions</b>	Do-ers	meeting
October 2019	Rio Doce	<b>Meetings with Mayors Mariana, Barra Longa and Rio Doce</b>	Government officials	meeting
October 2019	Ponte Nova	<b>Meeting with researchers from Viçosa Federal University (UFV) and WRI</b>	Influencers	meeting
October 2019	Barra Longa	<b>Participation at ROAM workshop hosted by WRI and Renova</b>	Do-ers	observer
October 2019	Peru	<b>Presentation at IUCN Latin American Protected Areas Congress</b>	Influencers	presentation
November 2019	Governador Valadares	<b>Presentation at 4th Rio Doce Integrated Seminar at Univale</b>	Do-ers	presentation
December 2019	gotomeeting	<b>Alignment meeting draft IP07 (second)</b>	Renova Foundation	meeting

Annex 8. Quantitative questions made to Panel members and their answers.

Rio Doce Panel internal survey - 2019

Q1. The intervals at which Panel meetings are held and their duration are adequate

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 14,29%	1 85,71%	6 0,00%	7	3,88
	Answer						7
	Skipped						0

Q2. Panel meetings are objective and focused on strategic issues

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 0,00%	0 100%	7 0,00%	7	4
	Answer						7
	Skipped						0

Q3. The minutes of the Panel meetings are reliable, clear and objective and are managed appropriately

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 0,00%	0 100%	7 0,00%	7	4
	Answer						7
	Skipped						0

Q4. Adequate material to support Panel meetings is provided with enough lead time

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 57,14%	4 42,86%	3 0,00%	7	3,43
	Answer						7
	Skipped						0

Q5. Panel members have adequate knowledge of the Panel's Terms of Reference

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 14,29%	1 85,71%	6 0,00%	7	3,88
	Answer						7
	Skipped						0

Q6. The roles and responsibilities of the Panel are clearly defined

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 14,29%	1 85,71%	6 0,00%	7	3,88
	Answer						7
	Skipped						0

Q7. Panel members receive adequate orientation and training

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 14,29%	1 85,71%	6 0,00%	7	3,88
	Answer						7
	Skipped						0

Q8. The Panel understands the risks and opportunities important to the future of Rio Doce

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 42,86%	3 57,14%	4 0,00%	7	3,57
	Answer						7
	Skipped						0

Q9. There is adequate monitoring of results achieved by the Panel

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 85,71%	6 14,29%	1 0,00%	7	3,14
	Answer						7
	Skipped						0

Q10. Panel members maintain the confidentiality of information related to Panel operations

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 0,00%	0 85,71%	6 14,29%	7	4
	Answer						7
	Skipped						0

Q12. Panel members are fully engaged in Panel meetings

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 14,29%	1 85,71%	6 0,00%	7	3,88
	Answer						7

Q13. Teamwork and interactions between Panel members is effective

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 42,86%	3 57,14%	4 0,00%	7	3,57
	Answer						7
	Skipped						0

Q14. There is adequate time and style to allow questioning and discussion before decision making

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 42,86%	3 57,14%	4 0,00%	7	3,57
	Answer						7
	Skipped						0

Q15. The Panel's composition is fit for purpose

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 14,29%	1 28,57%	2 57,14%	4 0,00%	7	3,43
	Answer						7
	Skipped						0

Q16. You feel that your skills, interests and expertise are well utilized

	Strongly disagree	Moderately disagree	Moderately agree	Strongly agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 14,29%	1 71,43%	5 14,29%	7	3,83
	Answer						7
	Skipped						0

Q19. The Panel Chair is effective in performing her role

	Strongly disagree	Moderately disagree	Moderately agree	Strongly Agree	N/A	Total	Avg
1	0,00%	0 0,00%	0 0,00%	0 85,71%	6 14,29%	7	4
	Answer						7
	Skipped						0



*Annex 9. A comparison of results from 2019 RDP internal survey with those from 2018.  
 The percentages mean the variation of the specific answer category in comparison with 2018 results.*

Increase in each response category (comparing to 2018)						
	The intervals at which Panel meetings are held and their duration are adequate	Panel meetings are objective and focused on strategic issues	The minutes of the Panel meetings are reliable, clear and objective and are managed appropriately	Adequate material to support Panel meetings is provided with enough lead time	Panel members have adequate knowledge of the Panel's Terms of Reference	The roles and responsibilities of the Panel are clearly defined
Strongly agree	0%	14%	14%	-29%	0%	0%
Moderately agree	0%	-14%	-14%	43%	0%	0%
Moderately disagree	0%	0%	0%	-14%	0%	0%
Strongly disagree	0%	0%	0%	0%	0%	0%
N/A or not responded	0%	0%	0%	0%	0%	0%
<b>Evolution of results</b>	Results are similar	Results improved	Results improved	Results worsened	Results are similar	Results are similar

	Panel members receive adequate orientation and training	The Panel understands the risks and opportunities important to the future of Rio Doce	There is adequate monitoring of results achieved by the Panel	Panel members maintain the confidentiality of information related to Panel operations	Panel members are fully engaged in Panel meetings	Teamwork and interactions between Panel members is effective
Strongly agree	29%	-14%	14%	-14%	-14%	14%
Moderately agree	-14%	29%	29%	0%	14%	0%
Moderately disagree	0%	0%	-29%	0%	0%	-14%
Strongly disagree	-14%	0%	0%	0%	0%	0%
N/A or not responded	0%	-14%	-14%	14%	0%	0%
<b>Evolution of results</b>	Results improved	Results worsened	Results improved	Results worsened	Results worsened	Results improved

	There is adequate time and style to allow questioning and discussion before decision making	The Panel's composition is fit for purpose	You feel that your skills, interests and expertise are well utilized	The Panel Chair is effective in performing her role
Strongly agree	0%	0%	14%	14%
Moderately agree	0%	-14%	-14%	-14%
Moderately disagree	0%	14%	0%	0%
Strongly disagree	0%	0%	0%	0%
N/A or not responded	0%	0%	0%	0%
<b>Evolution of results</b>	Results are similar	Results worsened	Results improved	Results improved

*Annex 10. Results of progress markers against indicators.*

Goal and Outcomes	Progress Markers for each Indicator				
<b>OUTCOME 1</b>		<b>Results</b>	<b>EXPECT TO SEE</b>	<b>LIKE TO SEE</b>	<b>LOVE TO SEE</b>
Rio Doce ISTAP established and working with independence, transparency, responsibility and commitment, supported by IUCN Secretariat		3 products covered 10 criteria, 1 covered 8 criteria	Topic selected cover at least 6 priority criteria	Topic selected cover at least 8 priority criteria	Topic selected cover at least 10 priority criteria
			All Panel members have signed Conflict of interest statement and are independent		
	Expectations not achieved	RDP delivered 36% of the foreseen products	80% of products foreseen at annual work plan are delivered	100% of products foreseen at annual work plan are delivered in time	Products delivered outpass the number foreseen at annual workplan
		There was improvement in 44% of the results	There is improvement in the results of 30% of the questions in the survey compared to the year before	There is improvement in the results of 50% of the questions in the survey compared to the year before	There is improvement in the results of 80% of the questions in the survey compared to the year before
<b>OUTCOME 2</b>			<b>EXPECT TO SEE</b>	<b>LIKE TO SEE</b>	<b>LOVE TO SEE</b>
Recommendations and knowledge generated by RDP adopted in <b>Renova Foundation</b> programmes	Results based on Renova declaration in official feedbacks. Concrete changes in operational decision will be assessed in 2020.		At least 50% of recommendations are adopted and/or reflected in RF operational decision	50 to 75% of recommendations are adopted and/or reflected in RF operational decision	More than 75% of recommendations are adopted and/or reflected in RF operational decision
<b>OUTCOME 3</b>			<b>EXPECT TO SEE</b>	<b>LIKE TO SEE</b>	<b>LOVE TO SEE</b>
Recommendations and knowledge generated by RDP reflected in <b>government policies and regulatory frameworks</b>	Not assessed		At least 50% of decision makers consulted are aware and supportive of RDP's work.	50 to 75% of decision makers consulted are aware and supportive of RDP's work.	More than 75% of decision makers consulted are aware and supportive of RDP's work.
		RDP made a presentation in a CIF meeting.	RDP members meet CIF executive secretary and other CIF members at least once a year	RDP recommendations are taken to CIFs comissions and general meetings	CIF meetings minutes and/or statements with supportive mention to RDP's recommendations.
	Expectations not achieved	No mentions of the Panel recommendations were made by the public sector	From 1- 3 reports and/or statements from the public sector actors positively mentioning the work of RDP and recommendations.	More than 3 reports and/or statements from the public sector actors positively mentioning the work of RDP and recommendations.	Existing laws for waterbasin conservation enforced, and new programs to support their implementation established related to RDP recommendations.
<b>OUTCOME 4</b>			<b>EXPECT TO SEE</b>	<b>LIKE TO SEE</b>	<b>LOVE TO SEE</b>
Communication and information about the work of RDP disseminated among <b>Do-ers</b> (affected population, farm cooperatives, fishers association, traditional communities, steel and mining companies, traders and tourism)	A Portuguese version of the website was launched and contains all translated materials		All reports, meeting summaries, communications materials and <u>main</u> website pages translated to Portuguese.	All reports, meeting summaries, communications materials and <u>all</u> website pages translated to Portuguese.	All reports, meeting summaries, communications materials translated to Portuguese and Portuguese version of RDP website.
	Not assessed		At least 50% of local leaders consulted are aware and supportive of RDP's work.	50 to 75% of local leaders consulted are aware and supportive of RDP's work.	More than 75% of local leaders consulted are aware and supportive of RDP's work.
<b>OUTCOME 5</b>			<b>EXPECT TO SEE</b>	<b>LIKE TO SEE</b>	<b>LOVE TO SEE</b>
Scientific findings, knowledge, and lessons from RDP process shared and taken up by <b>Influencers</b> (media, social movements, NGOs, universities and international agencies)		Panel members and/or IUCN presented RDP's work in 18 events	Panel members and/or IUCN presented RDP's work in at least 5 events.	Panel members and/or IUCN presented RDP's work in at least 10 events.	Panel members and/or IUCN presented RDP's work in at least 15 events.
	Expectations not achieved	2 spontaneous and 3 branded articles were released about RDP. 2 interviews with RDP Chair (Renova and Ecoamericas)	At least 10 media articles or interviews released by Thematic Report and at least 5 by Issue Paper.	At least 15 media articles or interviews released by Thematic Report and at least 10 by Issue Paper.	More than 15 media articles or interviews released by Thematic Report and more than 10 by Issue Paper.
	Expectations not achieved	No influencer replicated RDP work.	At least 5 influencers replicated RDP's work (on social media) and engaged in activities promoted by RDP	At least 10 influencers replicated RDP's work (on social media) and engaged in activities promoted by RDP	At least 10 influencers replicated RDP's work and engage in activities promoted by RDP; Academic papers, reports and publications referenced RDP's reports and/or papers and/or recommendations
		Downloads' metrics show products are consumed internationally	Thematic reports and issue papers are accessed by municipal and state level audience.	Thematic reports and issue papers are accessed by national level audience.	Thematic reports and issue papers are accessed by international level audience.