### Application to the NDC Partnership Support Facility - BRAZIL

#### 1. Activity information

Activity Title:	Support the development of the Brazilian NDC Implementation Strategy (NDCIS)	Link to Existing WBG Activity:	Yes
Related Activity ID:	Support to Brazil's NDC Implementation	Product Line:	ESW (Program- matic Approach)
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Sector:	Multiple ,	Region	Latin America and Caribbean
Scale:	National	Country	Brazil
GP:	MST: Environment, Energy and Extractives, Agriculture	Affiliated GP not listed:	CCSA
TF Implementation Appro	oach: Bank executed only	TTL WB TLAP 2 Accredited:	Yes

#### Summary:

For implementing and financing the actions and measures required to achieve Brazil's NDC targets, Brazil intends to elaborate an NDC Implementation Strategy (NDCIS). The elaboration of this NDCIS requires the promotion and coordination of multiple dialogues between different levels of government, public agencies and stakeholders. The NDCIS will be formulated considering development benefits, risks and financing models for each of the NDC focus thematic areas, including forests, energy, agriculture and transport. Brazil intends to complete this formulation process by the end of CY2018. Resources from the NDCPSF would support the NDCIS-related public consultations and provide targeted analytical support to the Ministry of Environment/Secretariat of Climate Change and Forests (MMA/SMCF) and the national Energy Planning Agency (EPE). Because of the severe macro-economic crisis that the country is facing, which severely constrains the public budget, external Bank-executed support is essential for conducting this process on time.

Expected deliverables of the NDCPSF supported activities are: (i) enhanced intergovernmental coordination and participation of stakeholders under the leadership of the Ministry of Envfrionment to arrive at a consolidated and workable implementation action plan and financing strategy, including a specific support the Energy Planning Agency on the energy sector; (ii) analytics and technical knowledge as an input for policy formulation on topics concerning forest recovery and reforestation; (iii) development of a national monitoring strategy for the Sustainable Development Mechanism (SDM) carbon credits and (iv) enhanced public sector institutional capacity for the implementation of NDC-related policies.

#### 2. Background and Context

#### Context

In 2015, the Brazilian government submitted its intended Nationally Determined Contribution to the UNFCCC under the Paris Agreement. The Nationally Determined Contribution (NDC) ceased to be "intended" after Brazil ratified the Paris Agreement in September 2016. The Paris Agreement came into force at international level on November 4, 2016.

Under its NDC, Brazil committed to implement actions and measures to reduce its greenhouse gas emissions by 37% below 2005 levels by 2025, with an indicative commitment to further reducing GHG emissions to 43% below 2005 levels by 2030. To achieve the overall 2030 mitigation target, Brazil intends to adopt measures that include, among others: (i) increasing the share of sustainable biofuels in its energy mix to around 18%; (ii) achieving 45% of renewables in the energy mix by 2030, including achieving 10% efficiency gains in the electricity sector and promote clean technology and energy efficiency in the industry and transport; (iii) restoring and reforesting 12 million hectares of forests; and (iv) restoring 15 million of hectares of degraded pasturelands and enhancing 5 million hectares of integrated cropland-livestock-forestry systems.

For implementing and financing these actions and measures, Brazil intends to elaborate an NDC Implementation Strategy (NDCIS). The elaboration of this NDCIS requires promoting and coordinating multiple dialogues between different levels of government, public agencies and stakeholders from the private sector and civil society. The NDCIS will be formulated considering the various development benefits, risks and financing models for each of the NDC actions and measures. The official NDCIS formulation process is to be completed by the end of CY2018.

To achieve the envisaged result, i.e. a broadly consulted, action oriented and implementable NDCIS, the MMA/SMCF faces the challenge of improving collaboration between the relevant institutions with the goal of mainstreaming climate change considerations into long-term development policy making for issues related to the NDC's targets.

Brazil is also an active participant to the negotiations on the regulation of the Article 6 of the Paris Agreement, which created the Sustainable Development Mechanism (SDM), a continuation of the Clean Development Mechanism of the Kyoto Protocol. While details of the regulation of the SDM are still being negotiated, it is expected that Certified Emission Reductions acquired from approved project activities could also be counted towards the accomplishment of Brazil's NDC targets or sold by project participants. Hence they could play a complementary role in the NDCIS, but the mode of operation still needs to be detailed, including under the regulation process at the UNFCCC – a process to which the NDCPSF would contribute.

#### Current situation

In the run-up to the COP-21, Brazil has assumed a global leadership role and committed to ambitious GHG reduction targets. However, in the last two years Brazil has experienced the deepest recession in a century which was aggravated by an unprecedented political crisis. More recently, the country is recovering. Yet, the crisis left its mark on the institutions that are responsible for taking the NDC implementation forward. Not surprisingly, severe budget cuts and turnover resulted in a deceleration of the decisive steps needed to implement Brazil's climate goals. As a result of this macro-economic and fiscal crisis, MMA would currently not have the budget resources required to enable the process of elaborating the NDCIS. In addition, it is essential that the support provided is Bank executed as this prevents the risk of

the use of the resources being frozen as the result of indiscriminate austerity measures on public budget execution. With a view to that the NDCPSF could play a decisive role to reinvigorate the national climate dialogue while also supporting key actions that would inform and accelerate relevant policy formulation.

The proposal presented here builds on an assistance request and a project concept which was developed and proposed by the Ministry of Environment's Secretariat of Climate Change in cooperation with national Energy Planning Agency. This final version of the financing request was discussed and agreed with the respective Government counterparts.

#### Complementarity to other WBG programs

The proposed NDCPSF supported activities would contribute significantly to the World Bank Group's new Country Partnership Strategy (CPF). Pillar Three of the CPF ("Inclusive and Sustainable Development") highlights as its first objective "Achieve Brazil's NDC in Land Use and Energy Efficiency". Hence the FY18-22 World Bank Group program will provide continued assistance to Brazil to help with the achievement of the NDC goals. For example, Bank performance will be assessed by CPF indicators such as "tons of GHG emissions avoided through conservation and enhancement of carbon stocks", or "number of sectors for which a specific NDC implementation plans were designed and adopted (with contributions attributable to the WBG)".

The NDCPSF support would be embedded in an already ongoing, robust Climate Change related portfolio which is financed by the Forest Investment Program (four operations under the Brazil Investment Plan that seek to promote sustainable land use and forest management improvements in the Cerrado Biome), the Global Environmental Facility (6 operations), Department for Environment, Food and Rural Affairs of the United Kingdom (DEFRA) as well as CMU and PROFOR financed programmatic analytical work. Most of the ten ongoing WBG supported rural development projects of the Brazil lending portfolio contain components that target low carbon agriculture, land restoration and the introduction of payment for environmental services (policy and project level).

Initiatives in the energy sector present further synergies with the proposed NDC implementation support. Here, the FinBRAZEEC project (Financing Brazil Energy Efficient Cities - P162455), which is under preparation and will implement an innovative financing model to leverage private capital markets funds to finance specific business models aimed at exploring GHG mitigation opportunities through energy efficiency projects. FinBRAZEEC, which is being submitted to the Green Climate Fund (GCF), is designed to scale-up the financing of such business models, starting with Public Private Partnerships (PPP) for LED-based street-lighting projects. Several cities have already expressed their willingness to implement LED-based street-lighting PPPs, and the envisioned pipeline of projects has the potential to make a significant contribution to the 10% energy efficiency improvement target of the Brazilian NDC. FinBRAZEEC could host the scaling-up of additional mitigation activities once corresponding business models are designed and approved (i.e. energy efficiency combined with solar rooftops in public buildings, energy efficiency in industry, etc.).

#### 3. Cross-Ministerial and Donor Coordination

#### Cross-Ministerial

Within the Brazilian government, the governance of the implementation of the NDC is led by the Secretary of Climate Change and Forests (SMCF) under the Ministry of the Environment (MMA), which is responsible for organizing the dialogue with the other government institutions that will have a key role to ensure the implementation and achievement of the NDC targets.

Regarding the broader stakeholder consultation process, a Brazilian Forum on Climate Change (FBMC) was established under a Presidential Decree in June 2000 to promote the dialogue and the coordination between the Federal Government, states and municipalities, influential sectors of economy and society, representative institutions, non-governmental organizations, social movements and other stakeholders. The FBMC supports the government to incorporate climate change issues to many stages of public development policies and contributed to the development of five sectoral plans for climate change mitigation regarding voluntary NAMAs under Copenhagen Accord (pre-2020):

- Action Plan for the Prevention and Control of Deforestation in the Legal Amazon
- Action Plan for the Prevention and Control of Deforestation in the Cerrado
- Action Plan for the Energy Sector
- Action Plan for the Ferrous Metallurgy Sector
- Action Plan for Agriculture

The Forum will be responsible for the consolidation of the broad consultative process with civil society and make recommendations to the Government which will contribute to the elaboration of the NDCIS.

The proposed NDCPSF project would support this national dialogue and its main outcome, the elaboration and adoption of the NDCIS.

MMA's Secretary of Climate Change and Forests has already initiated the dialogue process with other parts of the government, public agencies and the private sector and environmental organizations. As a basis for initial discussions, it uses a document which contains a first indicative and preliminary series of proposals which were produced as a result of a TA project with the Inter-American Development Bank (IDB). A draft of this document<sup>1</sup> was recently published. It is currently undergoing a consultative process that will close soon.

#### Multilateral Financing Institutions (MFI) and Donor Coordination

The NDCPSF initiative would also interact in a synergetic manner with other activities supported by the World Bank under the Partnership for Market Readiness (PMR), led by the Ministry of Finance. While the Brazil PMR (P146371) is focusing on the design of domestic carbon pricing instruments, the present proposal would focus, inter alia, on further developing the Sustainable Development Mechanism defined in the Article 6 of the Paris Agreement.

Finally, the NDCPSF supported work would complement the Brazil CMU's ongoing programmatic approach (PA) in support of Brazil's NDC implementation (P157893), which incorporates several thematic modules (land use, restoration and reforestation, green bonds for forest-finance and

<sup>&</sup>lt;sup>1</sup> "Documento base para subsidiar os diálogos estruturados sobre a elaboração de uma estratégia de implementação e financiamento da Contribuição Nacionalmente Determinada do Brasil ao Acordo de Paris"

climate change preparedness for Brazilian cities). This PA provides an umbrella for broader, long term ASA support to MMA, and seeks to position the Bank for future lending operations in sustainable development priority areas. Over the last three years, the Brazil CMU contributed US\$700.000 WPA resources to this ESW program, complemented by funds from other TFs such as PROFOR and DEFRA.

For the successful development of the National Strategy for the Implementation of the Brazil's NDC, the Ministry of the Environment has also been establishing partnerships with other agencies. In particular, the Brazilian government is also developing a system of transparency for action and support related to the implementation of the Brazilian NDC and has the support from an International Climate Initiative (IKI) Project, through the program 'Policies on Climate Change'. A partnership was established with GIZ, focusing on the definition of a methodology for monitoring actions and subsequent emissions, taking into account the transparency criteria established in Article 14 of the Paris Agreement on MRV (Measurement, Report and Verification). There is a partnership established with the IDB, which assisted the MMA in developing a base document to guide initial discussions on the development of the national strategy. This partnership is still underway to support the development of a sectoral study on the sugar and bioethanol industry. There is also an ongoing negotiation with UNDP regarding technical support to the governing bodies that should carry out the actions defined in the Strategy.

Among development partners, there are several other important programs such as the International Climate Initiative of the German Ministry of Environment, Nature Conservation, Nuclear Safety and Buildings (BMUB), Renewable Energy Programs by the German Federal Ministry of Economic Cooperation and Development and its implementing agencies, notably the German Agency for International Cooperation (GIZ). The actors are in periodic contact and, in partnership with MMA, seek to coordinate their activities to avoid overlap and duplication.

Other initiatives, for instance Brazil's partnership with the IDB, will also complement the NDCPSF supported project.

#### 4. Project Scope

The elaboration of the NDCIS document requires technical and financial support, in particular to (i) support the organization and logistics of the dialogue with the different parts of the government and civil society, and (ii) specific technical studies necessary to implement selected measures proposed throughout the NDCIS consultation process. These technical studies will primarily focus on the identification of sustainable business and financial models to implement selected proposed measures, considering the specifics of the Brazilian market and institutional environment.

Drawing on the resources of the proposed NDCPSF program, MMA's Secretariat for Climate Change and Forests would coordinate the technical consultancies and activities to support the stakeholder dialogue. The Bank's role would be to assist with the (i) convening of stakeholders, (ii) ensure the flow of information, (iii) align efforts of different government agencies, (iv) support procurement and contribute to the preparation of ToR, (v) assess technical proposals as well as (vi) contribute to the quality control process of products contracted; (v) facilitate South-South exchange of information among participating countries whenever considered useful.

The Ministry of Environment has committed to provide the necessary infrastructure (office space, equipment etc.) to integrate the support from consultants into the national process of the NDCIS elaboration and who will need to work in close connection with the government team.

The funding request encompasses five components:

# 4.1 *Component 1:* Support Government and the Brazilian Forum on Climate Change in conducting the broad dialogue to build the National Strategy for the Brazilian NDC implementation

In the context of the NDC Partnership, this component proposes to provide technical support to the process of the dialogue (i) within the government, (ii) with stakeholders, including climate change experts, as well as (iii) to manage the information obtained throughout the process to support the development of a draft strategy for implementation of Brazil's NDC. It will include the support of consultants in strategic areas of the Brazilian NDC. It would also provide targeted support to articulate the government strategy, including organization of workshops focusing on business and financial models with stakeholders from different areas of the economy.

For the Brazilian Forum on Climate Change to promote the involvement of private sector and the civil society in NDC implementation, the Forum will require capacity building and technical assistance. Thus, this activity seeks to support the Brazilian Forum in the consolidation of the final recommendation to the Government in order to contribute to the GoB elaboration of the NDC Implementation Strategy (NDCIS). This process will also involve capacity building activities for the private sector, with the goal of engaging and preparing these actors to attain their respective NDC contributions as part of the country's overall commitment.

The proposal envisions that the main discussions with the public and private sectors will be concluded by the end of 2017, at which time all information gathered during the consultations will start to be systematized. To promote the discussions, different approaches will be adopted, such as bilateral meetings and workshops. During the first semester of 2018, a draft document should be consolidated and ready for public consultation. The elaboration of the NDCIS is expected to be complete and will be presented to the public, to then be implemented and monitored.

# 4.2 *Component 2:* Technical assistance to contribute to the regulation and national implementation and monitoring of the Sustainable Development Mechanism under Article 6 of the Paris Agreement

The proposed activity envisions technical assistance to support the contribution of the Brazilian government to the elaboration of the regulation of Article 6 of the Paris Agreement, which is expected to play a significant role in the NDCIS. This step is strategically important as it is expected that the regulations established under Article 6 will allow carbon credits from approved project activities to be counted towards the achievement of NDC targets. Building Government capacity with the technical support under this activity will be necessary, in order to strengthen the government's knowledge to evaluate and approve project activities as well as to monitor the achievements with the potential of being integrated into the NDC results.

## 4.3 *Component 3:* Support the development of public policies strategies to boost energy efficiency and distributed energy resources deployment in Brazil

An objective of Brazil's Energy Research Agency (EPE) is to offer the technical inputs to the Ministry of Mines and Energy (MME) and thus help it with the identification and implementation

of specific measures concerning energy sector related to Brazilian National Determined Contribution (NDC). Although the Brazilian GHG reduction targets are established in an economy wide basis, the energy sector contribution to this effort by 2030 includes measures as 10% of electrical efficiency as well as increasing the share or renewables such as wind, solar, hydro and biomass, most of them coming from distributed energy resources (DER).

In this sense, the proposed activities build upon the engagement of the World Bank in supporting the development of public policies to boost energy efficiency and distributed renewable energy resources (DER) deployment in Brazil. As evidenced by a recent study of the World Bank<sup>2</sup>, climate change is reducing the availability of hydropower in several regions of Brazil, thus requiring the dispatch of carbon intensive thermal plants; energy efficiency and DER measures are therefore essential alternative zero-emissions adaptation measures.

Similar to the NDCIS consultation chronogram, it is envisaged to conduct the main discussion phase with the public and private sector in the second half of CY2017. This would occur through direct interactions, bilateral meetings and workshops that strengthen the coordination among stakeholders and specialists.

Among others, the work supported by NDCPSF funding would entail consultations with the public and private sectors as well as coordination among the stakeholders and specialists (e.g. workshops) with a focus on the definition of implementation strategies for energy efficiency, Distributed Energy Sources (DER) and other relevant topics as needed.

## 4.4 *Component 4:* Support for the development of policy tools to promote the recovery of forests ecosystem and sustainable forest management at the scale

Achieving Brazil's NDC will require large-scale investment flows, as well as technology development, deployment, diffusion and transfer. The implementation of the ambitious activities included under the forest thematic area of the NDC will require the active participation of the private sector.

The public sector will play a key role in fostering the private sector engagement, through the promotion of the dialogue with key partners and the development of studies and tools.

The implementation strategy for the forests component of Brazil's NDC needs to be developed based on two outcomes:

- (i) Tapping into the economic potential of sustainable forest management in the Brazilian Amazon: assesses the market demand for timber products from tropical forests; evaluate the current credit lines for private sector investments in sustainable forest management; explore potential mechanisms for traceability of the wood supply chain.
- (ii) Identification of priority federal conservation units for forest recovery action: to fulfill the large commitments that Brazil has in this area, targeted areas need to be identified through a diagnosis of degradation in federal Conservation Units and its aptitude for the implementation of low-cost forest recovery strategies. The work supported by the revised NDCPSF support will concentrate on this outcome only.

<sup>&</sup>lt;sup>2</sup> "Low Hydrology Scenario for the Brazilian Power Sector 2016-2030 : Impact of Climate on Greenhouse Gas Emissions", the World Bank, 2017.

#### 5. Results and outcomes

The proposal builds upon the engagement of the World Bank in supporting the sustainable development of developing countries, including Brazil, in the post-Paris Agreement context. It complements other initiatives undertaken by the Brazilian government, some of which are supported by the World Bank. The main objective here is to offer the technical inputs to the Brazilian Government and stakeholders so that they may elaborate the Brazilian NDC Implementation Strategy (NDCIS) through a broad, structured national dialogue, including the identification of sustainable business models (e.g. for sustainable land use and forests) that can support the implementation of NDC activities.

It is envisaged that most the discussions and consultations with public and private sectors will be concluded by the end of CY2017 (i.e. direct interactions, bilateral meetings and workshops that engage stakeholders with specialists). The results of these processes together with the intragovernmental process would then be systematized by the MMA in a first draft of the NDCIS document (component 1).

During the first semester of CY2018, the draft NDCIS will be consolidated and be made available for public consultation. By the end of CY2018, the NDCIS should be finalized and ready to be presented to the public, allowing GoB to then move to the execution and monitoring stages.

The process of developing the draft NDCIS including a wide participation of civil society and both the public and private sectors, will eventually contribute to greater coherence and achievability of the final NDCIS, ensuring consistency with the NDC commitments and their consequent impact on reducing GHG emissions.

Regarding the activities related to Article 6 (component 2), the project activities related to support the Brazilian side to better participate in its regulatory framework and the preliminary ideas on the national SDM strategy. As the regulation of Article 6 will be occurring in parallel to the project, the project can only elaborate a general strategy of the national framework and arrangements after the end of CY2018.

Expected impacts of the EPE supported activities (component 3) are: (i) enhanced intergovernmental coordination and participation of stakeholders on policies relating to energy efficiency and distributed energy resources; (ii) increased availability of analytics and technical knowledge as an input for policy formulation on topics concerning energy efficiency and distributed energy resources; and (iii) enhanced public sector institutional capacity for the implementation of energy efficiency policies (DER).

The expected impacts of the support to the MMA for the forest thematic area (component 4) are: (i) enhanced intergovernmental coordination and stakeholder participation on the development of the NDC strategy; and (ii) information and data about territorial focus for the formulation of the NDC strategy.

Outcomes	Indicators	Targets	
Outcome 1 (C1a): Engagement of the Government and other stakeholders in the elaboration of the NDC Implementation Strategy (NDCIS)	Number of bilateral meetings (MMA and Ministry of Mines and Energy, MMA and Ministry of Agriculture, MMA and EPE, and other meetings)	At least 2 bilateral meetings- year 1	
implementation strategy (NDCIS)	Number of workshops	2 workshops – year 1	
	Report with government position on the NDCIS	Report with government position on the NDCISs implementation is submitted to the Brazilian Forum - year 1	
Outcome 2 (C1b): Stakeholders are engaged in the development of the tools, funds, policies, government programs and business models that exist or	Number of stakeholders that have enhanced their awareness of tools, funds, policies, programs and business models necessary to accomplish the targets of the Brazilian NDC	200 stakeholders' representatives have participated to capacity building events by the end of year 2	
will be put into place to accomplish the targets of the Brazilian NDC	Reports, studies and information material on tools, funds, policies, programs and business models	Consolidated documentation will be available by the end of CY2018	
Outcome 3 (C1c): The NDCIS is consolidated	Number of contributions submitted during public consultation	At least 40 contributions to public consultation are submitted - year 2	
	Final document of the NDCIS	Final document of the NDCIS is published - year 2	
	Seminar presenting the NDCIS	1 seminar is concluded (at least 100 participants) - year 2	
Outcome 4 (C2): Brazil's contribution to the Regulation and national implementation/monitoring of the Sustainable Development Mechanism under Article 6 of the Paris Agreement.	Submissions made by Brazil during the regulation process of Article 6 under the UNFCCC	At least 1 submission will describe the perspective of Brazilian Government regarding the regulation of Article 6 and will contribute to better design of the mechanism under the UNFCCC	
Outcome 5 (C3): Support to studies on energy efficiency and distributed energy resources studies under the responsibility of the Energy Research Agency (EPE)	Enhanced intergovernmental coordination and participation of stakeholders on policies relating to energy efficiency and distributed energy resources Enhanced public sector institutional capacity for the implementation of	03 (nine) bilateral meetings in Brazil with EPE; 03 (eight) workshops– four in 2 <sup>nd</sup> Half 2017 and four in 2018	
	energy efficiency policies.	02 (six) training courses – 2017/2018	
Outcome 6 (C4): Support to studies that support	Enhanced intergovernmental coordination and participation of stakeholders	01 (one) workshop with stakeholders on	
the development of policy tools to promote the recovery of forests ecosystem and sustainable forest management at the scale	Identification of priority federal conservation units for forest recovery action through a diagnosis of degradation in federal Conservation Units and its aptitude for the implementation of low-cost forest recovery strategies.	forest recovery 01 (one) consolidated research report –in2nd half 2017.	

### 6. Activity Grant Details

	<b>CY 17</b> (US\$)	<b>CY 18</b> (US\$)	Total (US\$)
NDC Programmatic Support	\$187,500	\$192,500	\$380,000
Technical coordination support to the consultation process for climate, energy, agriculture and forest policies	\$80,000	\$65,000	\$145,000
Workshops, seminars and training (organization and participation, including local travel)	\$30,000	\$25,000	\$55,000
Consolidation of INDCS strategy document and preparation of dissemination materials	\$10,000	\$15,000	\$25,000
MMA support for sustainable forest management and forest restoration	\$35,000	\$45,000	\$80,000
International travel (WB staff and South-South)	\$7,500	\$7,500	\$15,000
WB staff time	\$25,000	\$35,000	\$60,000
BB Bank Funding (tbc)	\$25,000	\$25,000	\$50,000
Other Trust Funds: PMR (tbc)	\$25,000	\$25,000	\$50,000
Other in kind	\$94,000	\$94,000	\$188,000
Team of 5 MMA staff part time during 18 months	\$94,000	\$94,000	\$188,000
Total Financing / Costs	\$331,500	\$336,500	\$668,000

#### 7. Implementation Schedule

Implementation Schedule	Tasks/Activities
Start: Jun/2017 End: Dec/2018	Communication with stakeholders and specialists
Start: Jun/2017 End: Dec/2017	Bilateral meetings
Start: Jun/2017 End: Dec/2017	Workshop - Targets LULUCF and Forests and Restoration Workshop - Target Workshop - Target Agriculture, Energy and Transversal Activities
Start: Jan/2018 End: Jun/2018	Systematization of obtained information
Start: Jan/2018 End: Jun/2018	Consolidation of draft NDCIS document
Start: Jul/2017 End: Dec/2018	Bilateral meetings in Brazil (national and international) Research reports on tools, policies and mechanisms in order to provide framework to implement NEEAP and DER Workshops Research reports Training courses
Start: Jul/2017 End: Jul/2018	Analytical work on priority forest and land use themes Workshop
Start: Oct/2018 End: Dec/2018	Final NDCIS document finalized
Start: Dec/2018 End: Dec/2018	Seminar presenting final NDCIS

#### **Team Members**

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