



Enabling poor rural people  
to overcome poverty

## PROJECT EVALUATION



### Federative Republic of Brazil

### Sustainable Development Project for Agrarian Reform Settlements in the Semi-Arid North-East

*Dom Hélder Câmara Project*

Interim Evaluation

March 2011





**Document of the  
International Fund for Agricultural Development**

**Federative Republic of Brazil**

**Sustainable Development Project for Agrarian Reform Settlements  
in the Semi-Arid North-East**

*Dom Hélder Câmara Project*

**Interim Evaluation**

**March 2011  
Report No. 2321-BR**

Photos on cover page:

1. The project provided beneficiary farmers and their associations with dedicated capacity building and awareness actions to improve their livelihoods in a semi-arid environment. ©*Dom Hélder Câmara Project*
2. The "feira agroecológicas" (agroecological fairs) represented an important opportunity for beneficiary farmers to get exposed to market transactions hence contributing to their livelihoods and empowerment.

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Federative Republic of Brazil

Sustainable Development Project for Agrarian Reform Settlements  
in the Semi-Arid North-East (*Dom Hélder Câmara Project*)  
Loan No. 494-BR

Interim Evaluation

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2. Evaluation of the Social Features of the DHCP (in Portuguese)

\* Annexes are available on request from IFAD's Office of Evaluation ([evaluation@ifad.org](mailto:evaluation@ifad.org))

## Currency Equivalents (July 2010)

Monetary Unit = Real (R\$)  
US\$1.0 = R\$1.79

Monetary Unit = Switzerland Francs (CHF)  
US\$1.0 = CHF1.084

## Weights and Measures

1 kilometre (km) = 0.62 miles  
1 hectare (ha) = 10,000 m<sup>2</sup> (0.01 km<sup>2</sup>; 2.47 acres)  
1 metric ton (mt) = 1,000 kg

## Abbreviations and Acronyms

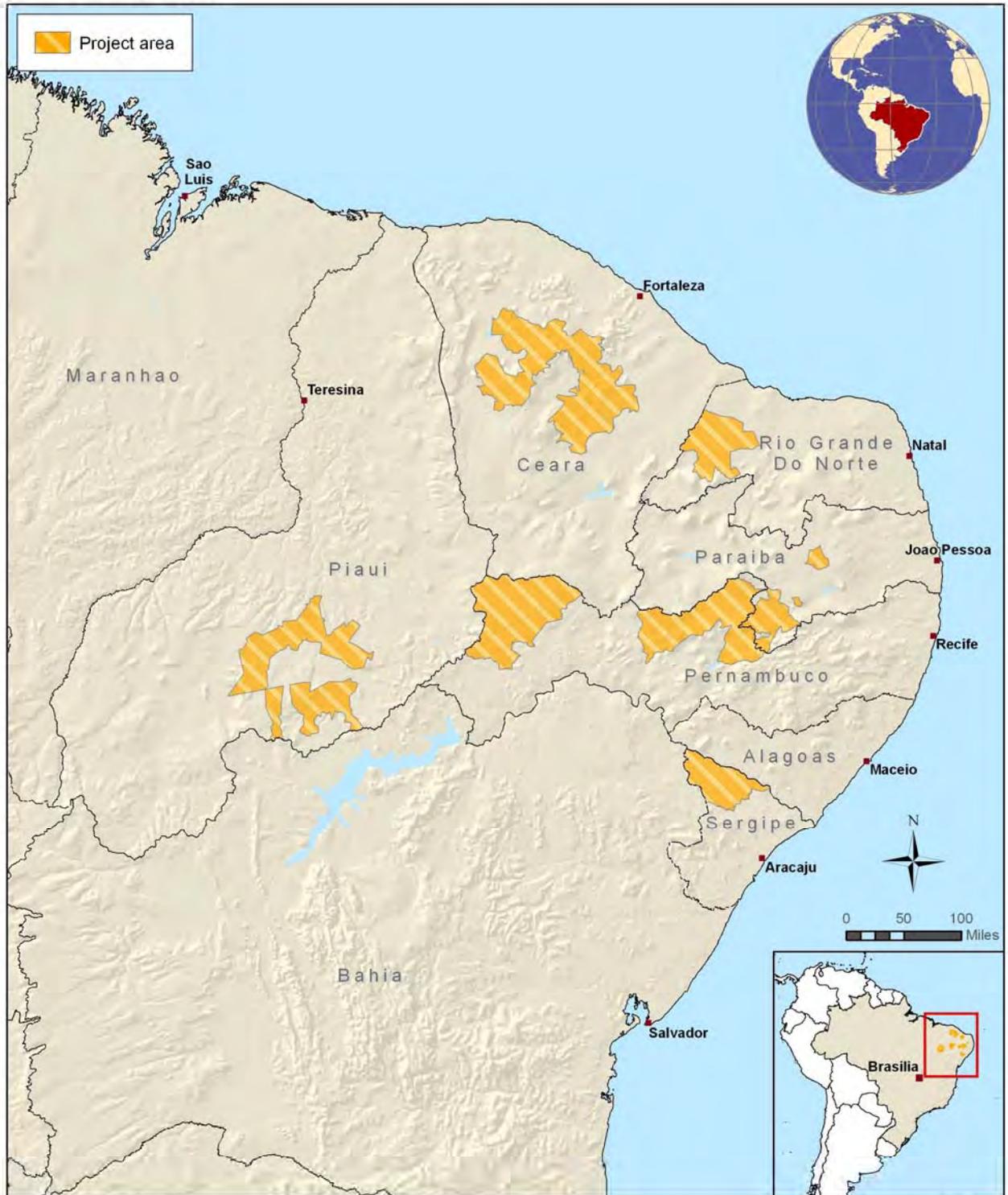
ACP	Agreement at Completion Point
ASA	<i>Articulação do Semi Arido Brasileiro</i>
BNB	<i>Banco do Nordeste</i>
CONAB	<i>Companhia Nacional de Abastecimento</i> (National Food Supply Company)
CONTAG	<i>Confederação Nacional dos Trabalhadores na Agricultura</i> (National Confederation of Agricultural Workers)
COSOP	Country Strategic Opportunities Paper
CPE	Country Programme Evaluation
CPM	Country Programme Manager
DHCP	Dom Hélder Câmara Project
ECOSOL	<i>Cooperativa de Crédito Rural e Economia Solidária do Pajeú</i>
FISP	<i>Fundo de Investimento para Projetos Sociais e Produtivos</i> (Investment Fund for Social and Productive Projects)
GDP	Gross Domestic Product
GEEMPA	<i>Grupo de Estudos Sobre Educação, Metodologia da Pesquisa e Ação</i>
GEF	Global Environmental Facility
IFAD	International Fund for Agricultural Development
INCRA	<i>Instituto Nacional de Colonização e Reforma Agrária</i> (National Institute for Colonization and Agrarian Reform)
IOE	IFAD Office of Evaluation
LAC	IFAD Latin America and the Caribbean Division
LSU	Local Supervision Unit
LUMIAR	<i>Projeto de Assessoria Técnica para Assentamentos de Reforma Agrária</i> (Technical Assistance Project for Agrarian Reform Settlement)
M&E	Monitoring and Evaluation
MDA	Ministerio do Desenvolvimento Agrário (Ministry of Agrarian Development)
MEEPF	Ministerio de Estado Extraordinario da Política Fundiaria (Special Ministry for Land Policies)
MST	<i>Movimento dos Trabalhadores Rurais Sem Terra</i> (Movement of Landless Farmers)
NGO	non-governmental organization
P1MC	<i>Programa um milhão de cisternas</i> (One Million Tanks Programme)
PAA	<i>Programa de Aquisição de Alimentos da Agricultura Familiar</i> (Food Acquisition Programme)
PCR	Project Completion Report
PMU	project management unit
PROCERA	<i>Programa para Reforma Agrária</i> (Special Credit Programme for Agrarian Reform)
PRONAF	<i>Programa Nacional de Fortalecimento da Agricultura Familiar</i> (National Programme for Strengthening Family Agriculture)
RB-COSOP	results-based country strategic opportunities programme

S&L	savings and loan
SDR	Special Drawing Rights (International Monetary Fund)
SDT	<i>Secretariado de Desenvolvimento Territorial</i> (Territorial Development Secretariat)
SEAIN	Secretariat of International Affairs (Ministry of Planning, Budget and Management)
UNOPS	United Nations Office for Project Services

# Federative Republic of Brazil

## Sustainable Development Project for Agrarian Reform Settlements in the Semi-Arid North-East

Interim evaluation



16-7-2010



The designations employed and the presentation of the material in this map do not imply the expression of any opinion whatsoever on the part of IFAD concerning the delimitation of the frontiers or boundaries, or the authorities thereof.

Map compiled by IFAD



## **Foreword**

*The overall objectives of the Sustainable Development Project for Agrarian Reform Settlements in the Semi-Arid North-East – the Dom Hélder Câmara Project (DHCP) – was to introduce sustainable improvements in income and living conditions for poor agrarian reform settlers and other smallholders. The initial project cost was US\$93.0 million, including an IFAD loan of US\$25.0 million and contributions from beneficiaries (US\$3 million) and the Government of Brazil (totalling US\$65 million). No co-financers were foreseen at project design, but the project management unit was able to mobilize additional funds from international and domestic partners (Global Environmental Fund, Syngenta Foundation, and Petrobras Oil Company). The project was supervised directly by IFAD, as part of the Direct Supervision Pilot Programme.*

*The IFAD Office of Evaluation undertook an interim evaluation of DHCP in 2010, which noted that project activities were implemented in a coherent manner with the aim of increasing beneficiaries' individual and collective capabilities with a view to creating the conditions needed for effective participation in local decision-making processes. An innovative feature of DHCP was that it was conceived as an instrument to facilitate access by its target groups to government development services and activities. The evaluation also acknowledged the highly satisfactory impact of the project on the empowerment of targeted beneficiaries: this was achieved by vesting responsibility in beneficiaries' associations for the management of financial resources and by providing them with opportunities for partnership building, capacity development, participation in markets and involvement in local decision-making processes. DHCP also enabled the expansion of women's domestic and social roles. The actions taken under DHCP for promoting leadership by young people in rural organizations are also noteworthy. DHCP had the merit of nurturing among family farmers the idea that the environment protection is critical for long-term economic and social development.*

*Various factors contributed to the success of DHCP. The project was implemented in country context characterised by economic growth and political commitment to rural poverty reduction that favoured the undertaking of effective rural development projects. Managing the loan at the federal level however caused implementation delays during the early years – but it resulted in freedom of action for the project management unit, whose performance was a major driver of the achievements of DHCP. Another important success factor was the correct sequencing of project activities: initially, these aimed at the immediate development of human capital and living standards among family farmers; subsequently, the succeeding work on production development aimed at increasing food security and participation into markets.*

*Concerning areas for improvement, the evaluation noted the long duration of DHCP and the consequent increase in expenditures on management and supervision. Operational costs also increased, as DHCP had a wide geographical coverage in order to test the proposed model in a variety of contexts. Project results are likely to be sustained in the medium and long term in the communities and groups targeted. For family farmers, a condition for continuing to enjoy these benefits is the further consolidation of their production capacities and enhancement of the quality of their produce.*

*This evaluation report includes the Agreement at Completion Point, which sets out the recommendations that were discussed and agreed by IFAD and the Government of Brazil and suggestions as to how and by whom the proposals should be implemented.*



Luciano Lavizzari  
Director, Office of Evaluation



## Acknowledgements

This evaluation was led by Luigi Cuna, Evaluation Officer, and prepared with contributions by a multi-disciplinary team of independent consultants: Markus Reichmuth (team leader), Carlos Guanziroli (economist) and Ariane Favareto (sociologist). Internal peer reviewers from the IFAD Office of Evaluation (IOE) – Fabrizio Felloni, Ashwani Muthoo, Frederik Teufel and Miguel Torralba – reviewed the approach paper and the draft main report. Linda Danielsson and Lucy Ariano, Evaluation Assistants, provided administrative support.

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Lead Evaluator, IOE: Luigi Cuna  
Consultants' Team Leader, IOE: Markus Reichmuth



## Data Summary

### THE PROJECT AT A GLANCE

DATES		FINANCIAL DATA	
<b>Board approval date</b>	December 1998	<b>IFAD loan</b>	SDR* 17.8 million
<b>Loan signing</b>	October 2000	<b>Contribution of the Government</b>	- US\$53.16 million - PRONAF credit US\$40 million
<b>Loan effectiveness</b>	December 2000	<b>Contribution of cofinanciers</b>	None foreseen at design
<b>Original completion date</b>	December 2006		During implementation
<b>Original closing date</b>	June 2007		<ul style="list-style-type: none"> <li>• CHF2 million from Syngenta Foundation</li> <li>• US\$6.2 million from GEF</li> <li>• R\$5.5 billion from Petrobras</li> </ul>
<b>Actual completion date</b>	December 2009	<b>Contribution of beneficiaries</b>	US\$3.0 million foreseen at design
<b>Actual loan closing date</b>	December 2010		
MANAGEMENT AND SUPERVISION			
<b>Project managers (entry dates)</b>	04/2000; 11/2002; 04/2003.		
<b>CPM responsible since approval</b>	(i) 2000–2006; (ii) 2006–2007; (iii) 2007– present		
<b>Supervision arrangements</b>	<ul style="list-style-type: none"> <li>- IFAD direct supervision</li> <li>- UNOPS responsible for fiduciary and administrative aspects until 2009</li> </ul>		

\* International Monetary Fund (IMF) Special Drawing Rights

### EVALUATION RATINGS

<b>Core performance criteria</b>	
Relevance	5
Effectiveness	5
Efficiency	4
<i>Project performance</i>	4.7
<b>Rural poverty impact</b>	
Household income and assets	5
Human, social capital and empowerment	6
Food security and agricultural productivity	5
Natural resources and the environment	5
Institutions and policies	5
<i>Overall rural poverty impact</i>	5
<b>Other performance criteria</b>	
Sustainability	4
Innovation, replication and scaling up	5
<i>Project achievement</i>	5
<b>Performance of partners</b>	
Performance of IFAD	5
Performance of Government	5
Performance of NGOs	5

### KEY ELEMENTS/LESSONS LEARNED

Favourable socio-economic and political context
Liberty of actions provided for a well-performing PMU with extraordinary partnership capacity
Conception of a development project as a vehicle for promoting access to public policies
Promotion of a production system suitable for local conditions, hence promoting a mutually reinforcing relationship between environmental and economic sustainability
Partnership with technical assistance providers dedicated to rural poverty reduction, who received training and support in their specializations
Effective use of social mobilizers in promoting empowerment of family farmers and their associations and in supervising activities in the field
Correct sequencing of project actions with initial small short-term investments, education and training for target group, followed by longer-term socio-economic advancement strategy



## Federative Republic of Brazil

### Sustainable Development Project for Agrarian Reform Settlements in the Semi-Arid North-East (*Dom Hélder Câmara Project*)

#### Interim Evaluation

#### Executive Summary

### I. INTRODUCTION

1. **Objectives.** In line with the decision of the Executive Board of the International Fund for Agricultural Development (IFAD) at its 98<sup>th</sup> session on 15 December 2009, the IFAD Office of Evaluation (IOE) undertook an interim evaluation of the IFAD-financed Sustainable Development Project for the Agrarian Reform Settlements in the Semi-Arid North-East – the Dom Hélder Câmara Project (DHCP) – in Brazil. The objectives of this evaluation were: (i) to assess the results and impact of the project; and (ii) to generate findings and recommendations that will inform a possible next phase of the project.

2. **Project background.** DHCP was conceived in answer to the lack of technical assistance and opportunities for social development and income generation for newly settled farmers and communities in the semi-arid North-East under the agrarian reform process. The initial project cost was US\$ 93.0 million, including an IFAD loan of US\$25.0 million. No cofinancers were included at project design, but the project management unit (PMU) was able to mobilize further funds from international and domestic partners. The objectives of the project were to develop a culture of co-existence with the semi-arid conditions of Brazil's North-East region and to ensure that families living in agrarian reform settlements and neighbouring rural communities could lead dignified lives and become models for sustainable human development. The target group consisted of 15,000 families in federal agrarian reform settlements and neighbouring communities in selected territories in the states of Ceará, Pernambuco, Paraíba, Rio Grande do Norte, Sergipe and Piauí.

3. DHCP distinguished itself by institutionalizing bottom-up participation in planning through its territorial committees, which consist of representatives of communities, trade unions, technical service providers, municipal councils and DHCP; they take decisions each year on proposals to be submitted for financing. In particular, DHCP established a self-regulating working relationship of three major actors: (i) beneficiaries and their organizations; (ii) social mobilizers – rural trade unions; and (iii) providers of technical assistance, mainly non-governmental organizations (NGOs). DHCP invented a compelling and easily communicable concept – *Conviver com o semi-árido* – to promote the idea that it is possible for family farmers to establish a sustainable relationship with the environment of the semi-arid North-East and at the same time develop their technical and entrepreneurial skills.

4. The loan to the Government for financing DHCP was approved by the IFAD Executive Board in December 1998. The project was under the direct supervision of IFAD. According to the original loan agreement, the project was expected to close in June 2007, but after approval of two extensions the actual loan closing date was December 2010.

### II. IMPLEMENTATION RESULTS

5. The introductory phase of DHCP was challenging. DHCP was required to establish partnerships with state authorities, NGOs and civil society organizations for implementation of the proposed approach. The innovative nature of the concept and resistance by some potential partners

affected the uptake of the strategy. The years 2003–2005 saw the conceptual maturation of the DHCP strategy in line with the commitment by the Government to support initiatives to reduce rural poverty and address the needs of family farmers. The years after 2005 saw the full application of DHCP strategy for the benefit of the target group: it introduced new activities in response to new demands from the Government and private actors, and devoted greater attention to the search for international partners interested in supporting and cofinancing activities in line with DHCP principles.

6. **Organization for social development.** DHCP supported 346 associations of beneficiaries. Social organizations trained by the project – mainly trade unions – had an important role in this component. The project trained a network of 113 social mobilizers, who became responsible for motivating community members to participate in project activities, providing information about opportunities available under government programmes, helping to organize initiatives for interest groups, promoting linkages with technical assistance providers and supervising activities to ensure correct use of DHCP financial resources.

7. **Development of production and commercialization.** The project contracted 65 NGOs to deliver technical assistance, extension and advisory services, and involved them in capacity-building initiatives in a range of technical areas. DHCP organized 372 demonstration units for agricultural capacity-building, and financed 511 production and social initiatives submitted by beneficiaries' associations under the *Fundo de Investimento para Projetos Sociais e Produtivos* (FISP). The proposals for demonstration units and FISP were formulated by beneficiaries' associations and reviewed by the territorial committees. If approved, the funds were transferred to beneficiaries' associations for the purchase of inputs and implementation of activities. DHCP helped family farms to create opportunities for access to markets through two main sales channels: (i) the institutional markets that constitute the Government's food-acquisition programme; and (ii) the creation or expansion of 36 agro-ecological markets.

8. **Financial services development.** By training professionals in NGOs and credit cooperatives, DHCP addressed a major bottleneck in the delivery system for PRONAF loans – lack of qualified personnel to help clients to formulate acceptable credit proposals. The *Banco do Nordeste* disbursed R\$43.0 million (US\$25.0 million) in 9,780 credit operations promoted by DHCP, but this was less than the US\$40.0 million allocated in project design. The main reason for this was indebtedness among DHCP target beneficiaries resulting from previous participation in credit programmes. The DHCP facilitated the provision of bottom-up financial services by supporting the enhancement of five *Cooperativa de Crédito Rural e Economia Solidária* (ECOSOL).

9. **Education and training.** DHCP included various initiatives for capacity-building for agricultural families aimed at enhancing understanding of the environment and improving living conditions. A range of context-related educational activities for children, young leaders and professionals, teachers, farmers and adults were undertaken. DHCP used an innovative method for adult literacy activities that featured results-based incentives to teachers. Context-specific training was also provided for *quilombola* communities. Under this component, DHCP financed the programme *Escola Família Agrícola*, which applied the *alternancia pedagógica* (half classroom, half applied learning) method. Technical training of young men and women was conducted with a view to facilitating their employment in social organizations.

10. **Gender, age and ethnicity.** DHCP mainstreamed gender, age and ethnicity issues as cross-cutting matters in all its components, including demonstration units, FISP and credit schemes. The main objectives were to promote the participation of men and women of different ages, increase the role of young people and promote the development of *quilombola* communities. With regard to gender an important action was the campaign for women's identity documents, which involved 14,257 women that was later scaled up across Brazil by the Ministry of Agrarian Development.

11. **The Sertão Project.** The Sustainable Land Management in the Semi-Arid Sertão Project is one of 32 projects financed by the Global Environment Facility (GEF) in Brazil. The project has a budget

of US\$15.5 million, of which US\$5.8 million is provided by GEF through a grant and US\$10.0 million through the Government of Brazil. The project builds on the strategy adopted by DHCP, to which it added a cross-cutting environmental dimension aimed at generating a model for tackling the causes and negative impacts of land degradation on the *caatinga* ecosystem through sustainable land use. The project finances a range of activities involving experimental learning, environmental incentives, the introduction of environmental education in schools, biological production methods and the monitoring of environmental effects in targeted territories.

12. **The Elo Project.** This project was financed by the Syngenta Foundation with the objective of creating employment opportunities in rural areas through access to appropriate production technologies, support for agro-processing, access to markets and certification of products. The project promoted the establishment of 19 processing facilities for a variety of market products such as honey and cashew nuts, helped to introduce eight product brands and facilitated the installation of ten agro-ecological market places.

### III. PROJECT PERFORMANCE

#### A. Relevance

13. DHCP was aligned with the IFAD country strategy, but it remains the only IFAD-financed project whose loan is administered at the federal level. This contrasts with the 2008 results-based country strategic opportunities programme (RB-COSOP), which favours state-based administration of IFAD loans. DHCP went beyond simple alignment with government policies in that it saw itself as a facilitator for a number of public policies focusing on poor farming families. DHCP succeeded in working with different segments of society in a differentiated manner. It adopted a pragmatic approach to the empowerment of rural women by identifying their needs and gathering them in interest groups focused on production or income-generating activities. The correct sequencing of activities contributed to the relevance of the project: DHCP initially targeted the immediate development of human capital and living standards; the succeeding work on developing production aimed to increase food security and gradually promote participation in markets. The water infrastructure financed by DHCP also addressed a major need among the rural poor.

14. Some of the difficulties faced during implementation can be related to specific features of project design: the inclusion of six states, although justifiable in view of project objectives, increased the complexity of implementation, supervision and monitoring. The administration of the DHCP loan at the federal level, however, largely freed DHCP from bureaucratic restrictions and allowed it to engage in a range of partnerships and to experiment with new mechanisms for supporting family farmers. The negative aspect was that the strategic orientation from the federal government level was not strong, and at times the implementation of DHCP activities was delayed by insufficient and delayed allocation of counterpart funds.

#### B. Effectiveness

15. The DHCP was characterized by satisfactory performance in terms of effectiveness. The project had positive effects on the capacity of family farmers to organize themselves into autonomous associations. Before the project, many beneficiaries' associations existed only on paper and were not perceived as an instrument for empowerment or access to the opportunities available under government development policies. DHCP invented a compelling and easily communicable concept – *Conviver com o semi-árido* – to promote the idea that it is possible for family farmers to establish a sustainable relationship with the environment of the semi-arid North-East and at the same time develop their business skills. Another great merit of DHCP was its contribution to easing one of the main constraints to agricultural development in the semi-arid North-East – access to water. In many communities, however, water continues to be scarce: the management of limited water resources should be improved.

16. The adult literacy campaigns produced good results as a consequence of an innovative learning method inspired by one of the NGO partners that provided incentives for teachers to deliver results. Although project actions for promoting education were effective at the individual level, they have not yet generated changes in official school curricula. Significant progress was made in terms of promoting the idea of contextualized education. Leadership training for young women and men led to employment opportunities and improved the management of associations and rural institutions. The project also attempted to promote market-oriented, bottom-up financial services suitable for the rural poor. Given the objectives of the project, however, a major knowledge-sharing initiative would be required to promote DHCP as a model for future development policies.

### **C. Efficiency**

17. DHCP experienced a 24-month delay in becoming effective and required extension by three and a half years to compensate for the late start and the initial disbursement delays. Such prolonged duration inevitably brought about an increase in IFAD and government expenditure on management and supervision. The operating cost of DHCP was primarily a result of the wide geographical coverage established in its design, but this was essential to achieve the objective of applying the proposed model in a range of contexts. The expansion of DHCP into other territories toward the end of the project did not contribute to efficiency.

18. The resources available were efficiently administered thanks to the effective application of a self-steering system in which social mobilizers, grassroots associations and technical assistance providers supervised each other to ensure optimal use of available resources. With regard to the cost of the technical assistance model piloted by DHCP, the average cost per family targeted was in line with national standards, but the services offered by DHCP were broader and more effective in generating results.

### **D. Impact on Rural Poverty**

19. The impact of the project on rural poverty was satisfactory. Most significantly, the project had a strong impact on empowerment and self-esteem among the target groups, including women and rural young people. This resulted from factors such as direct management of financial resources for development activities and increased participation in local markets and decision-making processes. With regard to women, DHCP enabled an extension of women's social functions by promoting their participation in productive and income-generating activities, in combination with activities to promote their education and citizenship rights. DHCP also targeted young people with a view to offering them prospects for building their future in the rural North-East.

20. The evaluation found evidence of increased agricultural productivity and diversification of farm production in the targeted territories. Improved access to water was a major driver of these results. DHCP promoted the participation of agrarian reform beneficiaries and family farmers in local markets with positive consequences on income and self-esteem. The partnership with Syngenta Foundation and the ELO project improved the market orientation of DHCP and favoured the establishment of agro-processing units and agro-ecological fairs. DHCP also partnered with the government food acquisition programme, which constituted a secure source of income for family farmers. Evaluation data show that after the project DHCP beneficiaries increased their incomes to four times the average real income before the project. DHCP contributed significantly to these results, because a major share of the increase derives from the income-generating activities that it supported. There is also evidence of increased household and productive assets.

21. Positive results were achieved in terms of promoting environmentally friendly technologies and inputs. The principle of *conviver com o semi-árido* was an essential element of DHCP human, social and economic development strategies. The project nurtured in family farmers a new way of thinking: considering the environment and natural resources as partners for long-term development that require care and comprehension. The partnership with GEF helped to increase the impact of DHCP on the use

of natural resources. In terms of impact on policy and institutional development, the project helped to enhance the capabilities of rural institutions such as NGOs and rural trade unions and participation by the poor in policy-making processes.

### **E. Sustainability**

22. The social and economic effects of DHCP at the family farm level have a good chance of being sustained. DHCP actions were oriented towards a production system adapted to the capabilities of family farmers and targeted products in high demand in local markets. At the same time, DHCP fostered a mutually reinforcing linkage between environmental and economic sustainability. The project also proved that family farmers have good business prospects if they are provided with the necessary skills, information and capabilities. Solidarity principles in local markets and subsidized purchases from state companies currently protect the competitiveness of family farmers and favour the gradual development of their production and marketing skills. A necessary condition for continuation of the benefits, however, would be further consolidation of the production capacities of family farmers, upgrading of the quality of farm produce and integration with other markets including small and medium-scale agribusinesses companies operating in targeted territories.

23. DHCP adopted a timeline for ensuring sustainable results that went beyond the planned lifetime of the project. In 2006 new areas and territories were included, even though in these areas sustainable changes could not be generated before the closing date. The lack of an explicit strategy of disengagement inevitably affected the assessment of project sustainability. Indeed, the strategy of DHCP was to create the conditions for a second phase of the project that would lead to sustainability. This was, however, a risky strategy because an unexpected political change could halt the process.

### **F. Innovation**

24. The design of the project was characterized by various innovations that were successfully applied: these included the adoption of a territorial development strategy and a multi-dimensional approach to poverty reduction, and involvement of a wider range of partners such as social organizations and rural trade unions. None of these constitutes an innovation in absolute terms, but the combination of innovations and their application to agrarian reform beneficiaries and communities in the North-East region clearly distinguishes DHCP as an innovative programme.

25. This evaluation identified two other important innovations: (i) the clear differentiation between the roles of social mobilizers and technical assistance providers, which fostered specialization and the capacity to reach the rural poor; and (ii) the concept of the project as an instrument to enable the rural poor to access opportunities available under government development policies. The evaluation also acknowledged various small-scale innovations applied at the local and community levels through the partnerships with NGOs. In this case, DHCP acted as an instrument for scaling up small-scale innovations.

26. With regard to replication and scaling up, DHCP became an example for other development project in the North-East and was used as a reference for the design of a territorial development policy in 2003. Evidence is available of initiatives implemented by DHCP (such as the campaign for providing women with identity documents) that have been scaled up and replicated in other parts of Brazil. DHCP approach can be replicated and scaled up in other poor semi-arid areas of Brazil or in other countries, but this requires further evaluation and adaptation to the new contexts. A strong social entrepreneurship function with sufficient means to combine different actors and public policies would be required, particularly in territories with weak institutional environments.

### **G. Performance of Partners**

27. All DHCP partners performed satisfactorily. The evaluation provides a positive assessment of IFAD's performance in direct supervision: IFAD was a responsive partner in terms of clarifying

aspects of project design and facilitating the adaptation of project approaches to the changing development context. Thanks to the partnership with IFAD, DHCP benefited from the status of international project, which gave it significant space for experimentation and innovation. IFAD also responded promptly when supervision requirements increased. The quality of technical assistance provided by IFAD had a modest impact on implementation performance.

28. The Government of Brazil played an important role by providing a favourable economic and policy context for rural poverty reduction. Government partners complied with major loan covenants, but allocation of counterpart funds delayed implementation early in the life of the project. The performance of the PMU contributed significantly to DHCP achievements: the evaluation recognized in particular the capacity of the PMU to mobilize domestic and international resources and to establish partnerships with a range of stakeholders. The PMU also ensured that financial management and accounting were sound.

#### IV. CONCLUSIONS

29. The evaluation provided a positive appreciation of DHCP performance and impact. The main reasons for positive performance were:

- The favourable political and economic context in which the project was implemented and the Government's commitment to reducing poverty and inequality;
- The organization of DHCP, which enabled a decentralized working modality that increased operational costs but freed the PMU from political and bureaucratic constraints;
- The considerable capacity of IFAD and the Government to adapt to new situations and their flexibility in modifying the initial preferences and strategies as required;
- The outstanding performance of the PMU, which was a major factor in the success of DHCP, especially its capacity to establish fruitful partnerships with a range of stakeholders and to mobilize additional financial resources at the domestic and international levels; and
- The correct sequencing of activities, whereby early actions aimed to address major constraints and enabled the project to gain credibility among beneficiaries and institutional partners.

#### DHCP Ratings

<b>Core performance criteria</b>	
Relevance	5
Effectiveness	5
Efficiency	4
<b>Project performance</b>	<b>4.7</b>
<b>Impact</b>	
Household income and assets	5
Human, social capital and empowerment	6
Food security, agricultural productivity	5
Natural resources and the environment	5
Institutions and policies	5
<b>Rural poverty impact</b>	<b>5</b>
<b>Other performance criteria</b>	
Sustainability	4
Innovation, replication and scaling up	5
<b>Overall project achievement</b>	<b>5</b>
<b>Performance of partners</b>	
IFAD	5
Government of Brazil	5
NGOs	5

#### V. RECOMMENDATIONS

30. In view of the positive achievements of DHCP, this evaluation recommends to IFAD and the Government of Brazil the financing of a second phase of the project. The evaluation recommends IFAD and the Government of Brazil to take note of the main lessons learned, especially with regard to geographical coverage, the strategy for sustainability and the emphasis on knowledge sharing.

31. **Institutional set-up.** The RB-COSOP prepared by IFAD in close consultation with the Government of Brazil in 2008 establishes that “the state governments will be the partners of preference to carry out investment projects” and that “new loans will be agreed between IFAD and the state governments with the guarantee of the Federal Government”. Considering the positive results of the DHCP and being this a multi-state project with IFAD loan managed at federal level, a second phase of the project would require IFAD and the Government of Brazil to reach a clear agreement on the institutional organization of DHCP-II and the level of administration of project loan. This would include a commitment from the Government of Brazil to carry out, jointly with IFAD, the project design and the procedures for negotiations and signature of the loan agreement. In the new project, opportunities to reduce administrative and management costs by making use of decentralized structures should be identified. Likewise, in line with the rationale of the RB-COSOP, opportunities for cooperation and involvement of state-level governments should be included in order to maximise the potential influence of the DHCP-II at state-level.

32. **Policy linkages.** Define the links between DHCP-II and public policies at the federal, state and municipal levels to clarify existing and possible further connections for more effective channelling of development policies to the family farming system.

33. **Knowledge generation and dissemination.** Incorporate in project design a strategy for knowledge generation with a view to increasing the knowledge captured from experience. This requires a results-oriented M&E system that will enable the project to measure the progress in implementing the proposed approach and the results achieved at various levels (gender, ethnicity, age, households and institutions). The new phase should incorporate instruments for extracting information about the DHCP experience with a view to disseminating knowledge in national and international fora. In this context, IFAD should increase and facilitate opportunities to transfer DHCP experience at the regional level and in forthcoming initiatives for South-South cooperation.

34. **Support for rural income generation.** The project should include strategies for income generation through agricultural and non-agricultural activities. With regard to agricultural activities, support should be provided for upgrading products with high value-added and facilitating linkages of family farmers with value chain and markets. These activities should be implemented in line with the principle of environmental conservation that was a distinguishing feature of DHCP. The project should also identify instruments and strategies for the expansion of non-farm employment opportunities, especially for young people. In both contexts, the project should continue its support to initiatives aimed at facilitating access of beneficiaries to bottom-up financial and non-financial business development services.

35. **Managing for sustainability.** Define at the outset the strategy for engagement with settlements and communities, and its duration. This includes the type and length of support and the indicators triggering the termination of project support – the exit strategy. The design should specify the institutional features and conditions expected at the time of project completion to ensure the continuation of benefits after the end of project financing.

36. **Maximize synergies with the IFAD country programme.** Where applicable, look for complementarities among DHCP actions and experience with IFAD programmes operating in the same states and territories.



## República Federativa do Brasil

### Projeto de Desenvolvimento Sustentável dos Assentamentos de Reforma Agrária do Semiárido Nordeste (*Projeto Dom Hélder Câmara*)

#### Resumo

#### I. INTRODUÇÃO

1. **Objectivos.** Em conformidade com a decisão aprovada pelo Conselho de Administração do Fundo Internacional de Desenvolvimento Agrícola (FIDA) na sua 98.<sup>a</sup> sessão, realizada em 15 de Dezembro de 2009, o Serviço de Avaliação do FIDA efectuou uma avaliação intercalar do Projeto de Desenvolvimento Sustentável dos Assentamentos de Reforma Agrária do Semi-Árido Nordeste (Projeto Dom Hélder Câmara - PDHC), no Brasil. Os objectivos desta avaliação eram os seguintes: (i) avaliar os resultados e o impacto do projeto; e (ii) extrair conclusões e recomendações que orientarão uma possível fase seguinte do projeto.

2. **Antecedentes do projeto.** O PDHC foi concebido para dar resposta às carências em termos de assistência técnica e de oportunidades de desenvolvimento social e geração de rendimentos com que se confrontavam os agricultores e as comunidades estabelecidas recentemente no Semi-Árido Nordeste, ao abrigo do processo de reforma agrária. O custo inicial do projeto ascendia a 93,0 milhões de USD, que incluíam um empréstimo do FIDA no montante de 25,0 milhões de USD. A concepção do projeto não previa co-financiadores, mas a Unidade de Gestão de Projeto (UGP) conseguiu mobilizar fundos suplementares, concedidos por parceiros nacionais e internacionais. Os objectivos do projeto eram os seguintes: desenvolver uma cultura de coexistência com as condições semi-áridas da região do Nordeste do Brasil e assegurar que as famílias que viviam nos assentamentos da reforma agrária e nas comunidades rurais vizinhas pudessem ter uma vida digna e constituir modelos de desenvolvimento humano sustentável. O grupo-alvo consistia em 15 000 famílias dos assentamentos da reforma agrária federal e de comunidades vizinhas dos estados do Ceará, Pernambuco, Paraíba, Rio Grande do Norte, Sergipe e Piauí.

3. O PDHC distinguia-se por institucionalizar a participação das bases no planeamento, através de comités territoriais constituídos por representantes das comunidades, dos sindicatos, dos prestadores de assistência técnica, das assembleias municipais e do PDHC; esses comités aprovam anualmente decisões sobre as propostas de financiamento a apresentar. Nomeadamente, o PDHC estabeleceu uma relação de trabalho auto-regulada entre três grandes grupos de intervenientes: (i) os beneficiários e as suas organizações; (ii) os mobilizadores sociais – sindicatos rurais; e (iii) os prestadores de assistência técnica, geralmente organizações não governamentais (ONG). O PDHC inventou um conceito mobilizador e facilmente comunicável – *Conviver com o semi-árido* – para promover a ideia de que os agricultores familiares podem estabelecer uma relação sustentável com o ambiente do Semi-Árido Nordeste, desenvolvendo simultaneamente as suas competências profissionais e empresariais.

4. O empréstimo concedido ao Governo para o financiamento do PDHC foi aprovado pelo Conselho de Administração do FIDA em Dezembro de 1998. O projeto era supervisionado directamente pelo FIDA. Nos termos do acordo de empréstimo original, o projeto deveria terminar em Junho de 2007, mas após terem sido aprovadas duas prorrogações, a data de termo do empréstimo foi adiada para Dezembro de 2010.

#### II. RESULTADOS DA EXECUÇÃO

5. A fase introdutória do PDHC foi difícil. O PDHC tinha de estabelecer parcerias com as autoridades estatais, as ONG e as organizações da sociedade civil, com vista à aplicação da

abordagem proposta. O carácter inovador do conceito e a resistência de alguns parceiros potenciais afectaram a adopção da estratégia. Nos anos de 2003–2005 foi amadurecida a estratégia conceptual do PDHC, em combinação com o compromisso do Governo de apoiar iniciativas de redução da pobreza rural e de dar resposta às necessidades dos agricultores familiares. Nos anos posteriores a 2005, a estratégia do PDHC em benefício do grupo-alvo começou a ser plenamente aplicada: foram introduzidas novas actividades, em resposta a uma nova procura por parte do Governo e dos agentes do sector privado, e foi dada mais atenção à busca de parceiros internacionais interessados em apoiar e co-financiar actividades consentâneas com os princípios do PDHC.

6. **Organização do desenvolvimento social.** O PDHC apoiou 346 associações de beneficiários. As organizações sociais que receberam formação ao abrigo do projeto (principalmente os sindicatos) desempenharam um papel importante no âmbito desta componente. O projeto prestou formação a uma rede de 113 mobilizadores sociais, que passaram a ser responsáveis por motivar a participação dos membros da comunidade nas actividades do projeto, prestando informações sobre oportunidades disponíveis ao abrigo dos programas governamentais, ajudando a organizar iniciativas para grupos de interesses, promovendo ligações com os prestadores de assistência técnica e supervisionando as actividades, para garantir uma utilização correcta dos recursos financeiros do PDHC.

7. **Desenvolvimento da produção e da comercialização.** O projeto contratou 65 ONG para prestarem serviços de assistência técnica, extensão rural e aconselhamento, promovendo a participação dessas organizações em iniciativas de reforço da capacidade numa série de áreas técnicas. O PDHC organizou 372 unidades de demonstração para o reforço da capacidade agrícola e financiou 511 iniciativas sociais e de produção propostas por associações de beneficiários, no âmbito do Fundo de Investimento para Projetos Sociais e Produtivos (FISP). As propostas de unidades de demonstração e do âmbito do FISP foram formuladas por associações de beneficiários e revistas pelos comités territoriais. Após a aprovação, os fundos eram transferidos para as associações de beneficiários, para aquisição de factores de produção e execução de actividades. O PDHC ajudava as explorações familiares a criarem oportunidades de acesso aos mercados, através de dois canais de compras principais: (i) os mercados institucionais constituídos pelo Programa de Aquisição de Alimentos do Governo; e (ii) a criação ou expansão de 36 feiras agro-ecológicas.

8. **Desenvolvimento dos serviços financeiros.** Ao prestar formação a profissionais das ONG e das cooperativas de crédito, o PDHC procurava eliminar um dos principais estrangulamentos do sistema de concessão de empréstimos PRONAF – a falta de pessoal qualificado que ajudasse os clientes a elaborarem propostas de crédito aceitáveis. O Banco do Nordeste desembolsou 43,0 milhões de reais (25,0 milhões de USD) em 9 780 operações de crédito promovidas pelo PDHC, um montante inferior aos 40,0 milhões de USD afectados aquando da concepção do projeto. A principal razão dessa redução foi o endividamento dos beneficiários-alvo do PDHC, resultante da participação em programas de crédito anteriores. O PDHC facilitou a prestação de serviços financeiros a nível das bases, apoiando o reforço de cinco Cooperativas de Crédito Rural e Economia Solidária (ECOSOL).

9. **Ensino e formação.** O PDHC incluía várias iniciativas de reforço da capacidade das famílias de agricultores, destinadas a aumentar os conhecimentos em matéria de ambiente e a melhorar as condições de vida. Foi iniciada uma série de actividades educativas contextualizadas, dirigidas a crianças, jovens líderes e profissionais, professores, agricultores adultos. O PDHC utilizou nas actividades de alfabetização de adultos um método inovador que se caracterizava por proporcionar aos professores incentivos baseados nos resultados. Foi também prestada formação contextualizada específica às comunidades *quilombola*. No âmbito desta componente, o PDHC financiou o programa Escola Família Agrícola, que aplicava o método da *alternância pedagógica* (ensino em sala de aula, alternando com aprendizagem prática). Foi ministrada formação técnica a jovens dos dois sexos, com o objectivo de facilitar o emprego desses jovens em organizações sociais.

10. **Género, idade e etnicidade.** O PDHC integrou as questões de género, idade e etnicidade, enquanto questões transversais, em todas as suas componentes, incluindo as unidades de demonstração, o FISP e os programas de crédito. Os principais objectivos consistiam em promover a

participação de homens e mulheres de diferentes idades, reforçar o papel dos jovens e promover o desenvolvimento das comunidades *quilombola*. No que se refere ao género, uma acção importante foi a campanha de emissão de documentos de identidade para as mulheres, em que participaram 14 257 mulheres e que foi depois alargada a todo o Brasil pelo Ministério do Desenvolvimento Agrário.

11. **O projeto Sertão.** O Projeto Manejo Sustentável de Terras no Sertão é um dos 32 projetos financiados pelo Fundo Mundial para o Meio Ambiente (GEF) no Brasil. O projeto dispõe de um orçamento de 15,5 milhões de USD, dos quais 5,8 milhões de USD são disponibilizados pelo GEF, através de uma subvenção, e 10,0 milhões de USD pelo Governo do Brasil. O projeto baseia-se numa estratégia adoptada pelo PDHC a que foi acrescentada uma dimensão ambiental transversal, destinada a gerar um modelo de minimização das causas e dos impactos negativos da degradação dos solos no ecossistema da *caatinga*, através do uso sustentável da terra. O projeto financiou uma série de actividades que envolviam a aprendizagem experimental, incentivos ambientais, a introdução da educação ambiental nas escolas, métodos de produção biológica e a monitorização dos efeitos ambientais nos territórios-alvo.

12. **Projeto ELO.** Este projeto foi financiado pela Fundação Syngenta, com o objectivo de criar oportunidades de emprego nas zonas rurais, através do acesso a tecnologias de produção adequadas, do apoio à indústria agro-alimentar, do acesso aos mercados e da certificação dos produtos. O projeto promoveu a criação de 19 instalações de transformação de diferentes produtos de mercado, tais como mel e castanhas de caju, contribuiu para lançar oito novas marcas de produtos e facilitou a instalação de dez feiras agro-ecológicas.

### III. DESEMPENHO DO PROJETO

#### A. Relevância

13. O PDHC era coerente com a estratégia do FIDA para o país, mas continua a ser o único projeto financiado pelo FIDA em que o empréstimo é gerido a nível federal, ao contrário do que é preconizado no RB-COSOP 2008 (Programa de Oportunidades Estratégicas para o País – Baseado em Resultados), que é favorável a uma administração estadual dos empréstimos do FIDA. O PDHC foi além do simples alinhamento com as políticas governamentais, na medida em que foi concebido para facilitar a aplicação de várias políticas públicas centradas nas famílias de agricultores pobres. O PDHC conseguiu colaborar de forma diferenciada com diferentes segmentos da sociedade. Adoptou uma abordagem pragmática de capacitação das mulheres das zonas rurais, identificando as suas necessidades e incentivando a constituição de grupos de interesses de mulheres, centrados na produção e em actividades de geração de rendimentos. Uma sequenciação correcta das actividades contribuiu para conferir relevância ao projeto: o objectivo inicial do PDHC era o desenvolvimento imediato do capital humano e a melhoria do nível de vida; o trabalho efectuado posteriormente no domínio do desenvolvimento da produção destinava-se a aumentar a segurança alimentar e a promover gradualmente a participação nos mercados. As infra-estruturas no sector da água financiadas pelo PDHC davam também resposta a uma necessidade importante das famílias rurais pobres.

14. Algumas das dificuldades que surgiram no decurso da execução estão relacionadas com características específicas da concepção do projeto: a inclusão de seis estados, sendo embora justificada pelos objectivos do projeto, contribuiu para uma maior complexidade da respectiva execução, supervisão e acompanhamento. Porém, o facto de a gestão do empréstimo do PDHC ser efectuada a nível federal libertou em grande medida o projeto de restrições burocráticas e permitiu-lhe estabelecer uma série de parcerias e aplicar experimentalmente novos mecanismos de apoio à agricultura familiar. O aspecto negativo consistiu no facto de que a orientação estratégica a nível do governo federal não foi forte e de que a execução das actividades do PDHC foi por vezes atrasada por uma afectação insuficiente e tardia dos fundos de contrapartida.

## **B. Eficácia**

15. O PDHC caracterizou-se por um desempenho satisfatório em termos de eficácia. O projeto teve efeitos positivos para a capacidade de os agricultores familiares se organizarem em associações autónomas. Antes do projeto, muitas associações de beneficiários só existiam no papel e não eram consideradas como um instrumento de capacitação ou de acesso a oportunidades disponíveis ao abrigo das políticas de desenvolvimento governamentais. O PDHC inventou um conceito mobilizador e facilmente comunicável – *Conviver com o semi-árido* – para promover a ideia de que os agricultores familiares podem estabelecer uma relação sustentável com o ambiente do Semi-Árido Nordeste, desenvolvendo simultaneamente as suas competências profissionais e empresariais. Outro grande mérito do PDHC consistiu na sua contribuição para atenuar uma das principais restrições ao desenvolvimento agrícola do Semi-Árido Nordeste, o acesso à água. Porém, em muitas comunidades a água continua a ser escassa e a gestão de recursos hídricos limitados deve ser melhorada.

16. As campanhas de alfabetização de adultos produziram bons resultados, em consequência da utilização de um método de aprendizagem inovador, inspirado por uma das ONG parceiras, que proporcionava aos professores incentivos à produção de resultados. Porém, embora as acções de promoção da educação executadas no âmbito do projeto tenham sido eficazes a nível individual, não produziram efeitos do ponto de vista da modificação dos currículos escolares oficiais. Registaram-se progressos significativos em termos de promoção da ideia de um ensino contextualizado. A formação de jovens dos dois sexos para a liderança criou oportunidades de emprego e contribuiu para melhorar a gestão das associações e instituições rurais. O projeto procurou também promover a criação de serviços financeiros orientados para o mercado, dirigidos às bases e adaptados à população pobre das zonas rurais. Porém, atendendo aos objectivos do projeto, será necessária uma grande iniciativa de partilha de conhecimentos para promover o PDHC enquanto modelo de futuras políticas de desenvolvimento.

## **C. Eficiência**

17. A entrada em vigor do PDHC atrasou-se 24 meses e foi necessário prorrogar o projeto por mais três anos e meio para compensar esse arranque tardio e os atrasos nos primeiros pagamentos. Esta prorrogação da duração do projeto esteve inevitavelmente na origem de um aumento da despesa do FIDA e do Governo com a gestão e supervisão do mesmo. Os custos operacionais do PDHC resultaram principalmente da grande cobertura geográfica prevista na concepção do projeto, que era, contudo, essencial à realização do objectivo de aplicação do modelo proposto em vários contextos. O alargamento do PDHC a outros territórios verificado no final do projeto não contribuiu para aumentar a eficiência.

18. Os recursos disponíveis foram geridos eficientemente, graças à aplicação eficaz de um sistema auto-controlado em que os mobilizadores sociais, as associações das bases e os prestadores de assistência técnica se supervisionavam mutuamente, assegurando assim uma utilização óptima dos recursos disponíveis. No que se refere aos custos do modelo-piloto de assistência técnica aplicado pelo PDHC, os custos médios por família-alvo estavam alinhados com os custos médios nacionais, mas os serviços prestados pelo PDHC eram mais alargados e mais eficazes em termos de obtenção de resultados.

## **D. Impacto na pobreza rural**

19. O impacto do projeto na pobreza rural foi satisfatório. Principalmente, o projeto teve um impacto forte na capacitação e na auto-estima de grupos-alvo como os das mulheres e dos jovens. Este resultado foi consequência de factores como a gestão directa dos recursos financeiros dedicados às actividades de desenvolvimento e o reforço da participação nos mercados e nos processos de decisão a nível local. No que se refere às mulheres, o PDHC contribuiu para um alargamento das suas funções sociais, promovendo a participação das mulheres em actividades de produção e de geração de

rendimentos, em combinação com actividades de promoção da educação e dos direitos civis. Outro dos grupos-alvo do PDHC era o dos jovens, com o objectivo de lhes proporcionar perspectivas de construção de um futuro melhor no Nordeste rural.

20. A avaliação permitiu comprovar o aumento da produtividade agrícola e a diversificação da produção agrícola nos territórios-alvo. A melhoria do acesso à água foi um factor importante que contribuiu para obter esses resultados. O PDHC promoveu a participação dos beneficiários da reforma agrária e dos agricultores familiares nos mercados locais, com consequências positivas para os respectivos rendimentos e auto-estima. A parceria com a Fundação Syngenta e o projeto ELO contribuiu para melhorar a orientação do PDHC para o mercado e para promover a criação de unidades agro-industriais e feiras agro-ecológicas. O PDHC estabeleceu também uma parceria com o Programa de Aquisição de Alimentos do Governo, que passou a constituir uma fonte de rendimentos segura para os agricultores familiares. Os dados da avaliação demonstram que no fim do projeto os beneficiários do PDHC tinham aumentado os seus rendimentos para o quádruplo do seu rendimento médio em termos reais de antes do projeto. O PDHC contribuiu significativamente para estes resultados, pois uma percentagem importante desse aumento foi obtida através das actividades de geração de rendimentos apoiadas pelo projeto. Há também provas de crescimento dos activos familiares e dos activos utilizados na produção.

21. Estes resultados positivos foram alcançados promovendo tecnologias e factores de produção ecológicos. O princípio *Conviver com o semi-árido* foi um elemento essencial das estratégias de desenvolvimento económico, social e humano do PDHC. O projeto contribuiu para cultivar uma nova atitude por parte dos agricultores familiares: considerar o ambiente e os recursos naturais como parceiros do desenvolvimento a longo prazo, que exigem cuidados e compreensão. A parceria com o GEF permitiu aumentar o impacto do PDHC no domínio da utilização dos recursos naturais. Em termos de impacto político e no desenvolvimento institucional, o projeto contribuiu para reforçar a capacidade de instituições rurais como as ONG e os sindicatos rurais, bem como a participação dos pobres nos processos de decisão política.

## **E. Sustentabilidade**

22. Os efeitos económicos e sociais do PDHC a nível da exploração agrícola familiar têm boas probabilidades de ser sustentáveis. As acções do PDHC orientavam-se para um sistema de produção adaptado à capacidade dos agricultores familiares e centrado em produtos para os quais existia grande procura nos mercados locais. Por outro lado, o PDHC promovia a ligação entre a sustentabilidade económica e ambiental, que se reforçavam mutuamente. O projeto provou também que os agricultores familiares tinham boas perspectivas comerciais, se dispusessem das necessárias competências, informações e capacidades. Os princípios da solidariedade nos mercados locais e as compras subsidiadas efectuadas pelas empresas estatais protegem actualmente a competitividade dos agricultores familiares e favorecem o desenvolvimento gradual da sua produção e das suas competências de comercialização. Porém, a consolidação da capacidade de produção dos agricultores familiares, a melhoria da qualidade dos produtos agrícolas e a integração com outros mercados, tais como o das pequenas e médias empresas agro-industriais que operam nos territórios-alvo, são condições necessárias para manter essas vantagens.

23. O PDHC aprovou um calendário de obtenção de resultados sustentáveis que ia além da vida útil prevista para o projeto. Em 2006 foram incluídas novas zonas e novos territórios, apesar de não ser possível promover aí mudanças sustentáveis antes da data de encerramento do projeto. A inexistência de uma estratégia explícita de finalização da intervenção afectou inevitavelmente a avaliação da sustentabilidade do projeto. Efectivamente, a estratégia do PDHC consistia em criar as condições para uma segunda fase do projeto que deveria conduzir à sustentabilidade. Contudo, esta estratégia era arriscada, pois uma evolução política inesperada poderia interromper esse processo.

## **F. Inovação**

24. A concepção do projeto caracterizava-se por várias inovações, que foram postas em prática com êxito, mas que, na realidade, não constituíam inovações em termos absolutos: adopção de uma estratégia de desenvolvimento territorial, abordagem pluridimensional de redução da pobreza e participação de um amplo leque de parceiros, tais como as organizações sociais e os sindicatos rurais. Contudo, a combinação entre estas inovações e a aplicação das mesmas aos beneficiários da reforma agrária e às comunidades da região do Nordeste conferem claramente ao PDHC o carácter de um programa inovador.

25. Na presente avaliação foram identificadas outras duas inovações importantes: (i) uma diferenciação clara entre as funções dos mobilizadores sociais e dos prestadores de assistência técnica, que promovia a especialização e a capacidade para beneficiar as populações pobres das zonas rurais; e (ii) o conceito do projeto como instrumento que proporcionava às populações pobres das zonas rurais o acesso a oportunidades disponibilizadas no âmbito das políticas de desenvolvimento do Governo. Reconheceu-se também na avaliação que foram aplicadas a nível local e das comunidades várias inovações de pequena escala, através de parcerias com as ONG. Neste caso, o PDHC actuou como um instrumento de ampliação de inovações de pequena escala.

26. No que se refere à replicação e ampliação, o PDHC constituiu um exemplo para outros projetos de desenvolvimento da região do Nordeste, tendo sido utilizado como referência na concepção da política de desenvolvimento do território, em 2003. Há provas de que iniciativas executadas pelo PDHC (tais como a campanha destinada a dotar as mulheres de documentos de identificação) foram replicadas e alargadas a outras regiões do Brasil. A abordagem do PDHC pode ser replicada e alargada a outras zonas semi-áridas do Brasil ou de outros países, o que exigirá, no entanto, uma nova avaliação e a adaptação a outros contextos. Para tal será necessário um elevado potencial de empreendedorismo social, com meios suficientes para combinar diferentes agentes e políticas públicas, nomeadamente em territórios onde a capacidade institucional seja fraca.

## **G. Desempenho dos parceiros**

27. Todos os parceiros do PDHC tiveram um desempenho satisfatório. É efectuada na avaliação uma apreciação positiva do desempenho do FIDA em matéria de supervisão directa: o FIDA foi um parceiro eficiente, clarificando aspectos da concepção do projeto e facilitando a adaptação das abordagens do projeto à evolução do contexto de desenvolvimento. Graças à parceria com o FIDA, o PDHC beneficiou do estatuto de projeto internacional, que lhe conferiu possibilidades significativas de experimentação e inovação. O FIDA deu também uma resposta rápida quando as exigências em termos de supervisão aumentaram. A qualidade da assistência técnica prestada pelo FIDA teve um impacto modesto na execução.

28. O Governo do Brasil desempenhou um papel importante, criando um contexto político e económico favorável à redução da pobreza rural. Os parceiros do Governo cumpriram as condições dos principais acordos de empréstimo, mas a afectação dos fundos de contrapartida atrasou a execução do projeto, na sua fase inicial. O desempenho da Unidade de Gestão de Projeto (UGP) contribuiu significativamente para o êxito do PDHC: a avaliação reconheceu, nomeadamente, a capacidade da UGP para mobilizar recursos nacionais e internacionais e para estabelecer parcerias com diferentes intervenientes. A UGP garantiu também a boa gestão financeira e contabilística do projeto.

## IV. CONCLUSÕES

29. Foi efectuada na avaliação uma apreciação positiva do desempenho e do impacto do PDHC. As principais razões que contribuíram para esse desempenho positivo foram as seguintes:

- O contexto político e económico favorável em que o projeto foi executado e o compromisso de redução da pobreza e da desigualdade assumido pelo Governo;
- A organização do PDHC, que permitiu uma modalidade de funcionamento descentralizada que aumentou os custos operacionais, mas libertou a UGP de restrições políticas e burocráticas;
- A capacidade considerável de adaptação a novas situações do FIDA e do Governo e a flexibilidade demonstrada em matéria de alteração das preferências e estratégias iniciais, quando necessário;
- O desempenho excepcional da UGP, que foi um dos principais factores de êxito do PDHC, nomeadamente a sua capacidade para estabelecer parcerias frutuosas com diferentes intervenientes e mobilizar recursos financeiros suplementares, a nível nacional e internacional;
- A sequenciação correcta das actividades, em que as primeiras acções, que se destinavam a superar dificuldades importantes, permitiram que o projeto conquistasse credibilidade junto dos beneficiários e dos parceiros institucionais.

### Classificação do PDHC

<b>Principais critérios de desempenho</b>	
Relevância	5
Eficácia	5
Eficiência	4
<b>Desempenho do projeto</b>	<b>4,7</b>
<b>Impacto</b>	
Rendimentos e activos das famílias	5
Capital humano e social e capacitação	6
Segurança alimentar, produtividade agrícola	5
Recursos naturais e ambiente	5
Instituições e políticas	5
<b>Impacto na pobreza rural</b>	<b>5</b>
<b>Outros critérios de desempenho</b>	
Sustentabilidade	4
Inovação, replicação e ampliação	5
<b>Êxito global do projeto</b>	<b>5</b>
<b>Desempenho dos parceiros</b>	
FIDA	5
Governo do Brasil	5
ONG	5

## V. RECOMENDAÇÕES

30. Tendo em conta as realizações positivas do PDHC, recomenda-se na presente avaliação ao FIDA e ao Governo do Brasil que seja financiada uma segunda fase do projeto. Recomenda-se ao FIDA e ao Governo do Brasil que tomem nota dos principais ensinamentos retirados da avaliação, nomeadamente no que se refere à cobertura geográfica, à estratégia de sustentabilidade e à importância a atribuir à partilha de conhecimentos.

31. **Organização institucional.** O RB-COSOP, preparado em 2008 pelo FIDA em estreita consulta com o Governo do Brasil, estabelece que "os governos estaduais serão os parceiros de preferências para a realização de projetos de investimento" e que "novos empréstimos serão acordados entre o FIDA e os governos estaduais com a garantia do Governo Federal." Considerando os resultados positivos do DHCP e sendo este mesmo um projeto multi-estados, o que exige que o empréstimo do FIDA seja gerido a nível federal, a segunda fase do projeto requer que o FIDA e o Governo do Brasil cheguem a um acordo claro em matéria de organização institucional do PDHC-II e do nível de gestão do empréstimo concedido ao projeto. Isto deveria incluir um compromisso do Governo do Brasil para realizar, em parceria com o FIDA, o desenho do projeto e os procedimentos para as negociações e a assinatura do contrato de empréstimo. No novo projeto, devem ser identificadas as oportunidades de redução dos custos administrativos e de gestão, através da utilização de estruturas descentralizadas. Da mesma forma, e em conformidade com a lógica do RB-COSOP, devem ser tidas em conta as

oportunidades de cooperação e participação a nível dos governos estaduais, a fim de otimizar a influência potencial do PDHC-II a nível estadual.

32. **Ligações políticas.** Definir as ligações entre o PDHC-II e as políticas públicas, a nível federal, estadual e municipal, a fim de clarificar as ligações existentes e as novas ligações possíveis que permitam canalizar mais eficazmente as políticas de desenvolvimento para o sistema de agricultura familiar.

33. **Produção e divulgação de conhecimentos.** Integrar na concepção do projeto uma estratégia de produção de conhecimentos, com vista a aumentar os conhecimentos extraídos da experiência. Para tal será necessário um sistema de acompanhamento e avaliação orientado para os resultados, que permita medir os progressos do projeto em termos de execução da abordagem proposta, bem como os resultados alcançados a vários níveis (género, etnicidade, idade, famílias e instituições). A nova fase deverá integrar instrumentos que permitam extrair informações da experiência do PDHC, a fim de divulgar esses conhecimentos em fóruns nacionais e internacionais. Neste contexto, o FIDA deve promover e multiplicar as oportunidades de transferência da experiência do PDHC a nível regional, bem como no âmbito de iniciativas futuras de cooperação Sul-Sul.

34. **Apoio à geração de rendimentos nas zonas rurais.** O projeto deverá incluir estratégias de geração de rendimentos, através de actividades agrícolas e não agrícolas. No que se refere às actividades agrícolas, deverá ser prestado apoio ao melhoramento de produtos de elevado valor acrescentado e promover as ligações dos agricultores familiares à cadeia de valor e aos mercados. Estas actividades deverão ser executadas de forma coerente com o princípio da preservação do ambiente, que foi uma das características distintivas do PDHC. Deverão ser também identificados no âmbito do projeto instrumentos e estratégias de expansão das oportunidades de emprego noutros sectores além da agricultura, especialmente para os jovens. Nestes dois contextos, o projeto deverá continuar a apoiar iniciativas destinadas a facilitar o acesso dos beneficiários a serviços financeiros e não financeiros de desenvolvimento da capacidade profissional e empresarial, dirigidos às bases.

35. **Gerir para a sustentabilidade.** Definir à partida a estratégia de intervenção junto dos assentamentos e das comunidades e a respectiva duração. Será assim necessário definir o tipo e a duração do apoio e os indicadores que desencadearão a finalização do apoio ao projeto – a estratégia de saída. Deverão ser especificadas na concepção do projeto as características e condições que se deverão verificar à data de conclusão do projeto, a fim de assegurar que os benefícios do projeto se mantenham após o fim do financiamento do mesmo.

36. **Maximizar as sinergias com o programa do FIDA para o país.** Quando aplicável, procurar complementaridades entre as acções do PDHC e a experiência de programas do FIDA executados nos mesmos estados e territórios.

## República Federativa do Brasil

### Projeto de Desenvolvimento Sustentável dos Assentamentos de Reforma Agrária do Semiárido Nordeste (*Projeto Dom Hélder Câmara*)

#### Acordo de Conclusão

##### A. Consórcio Central de Aprendizagem e utilizadores da avaliação.

1. O Serviço de Avaliação do FIDA (IOE) efetuou uma avaliação intercalar do Projeto de Desenvolvimento Sustentável dos Assentamentos de Reforma Agrária do Semiárido Nordeste – Projeto Dom Hélder Câmara (PDHC), financiado pelo FIDA no Brasil. Os objetivos desta avaliação eram os seguintes: (i) avaliar os resultados e os impactos do projeto; e (ii) extrair conclusões e recomendações que orientarão uma possível fase seguinte do projeto.

2. Em conformidade com a política de avaliação do FIDA, foi constituído um Consórcio Central de Aprendizagem (CCA), a fim de garantir ao longo de todo o processo a participação dos intervenientes em uma colaboração produtiva para facilitar o debate e a adoção das recomendações da avaliação. O CCA incluiu: (i) representantes do Ministério do Desenvolvimento Agrário e da Secretaria de Desenvolvimento Territorial; (ii) representantes do Ministério do Planejamento, Orçamento e Gestão; (iii) o coordenador e equipe técnica chave da Unidade Gerencial do Projeto (UGP) do PDHC; (iv) representantes dos governos estaduais; (v) membros do comitê territorial, composto por representantes das famílias beneficiárias, das igrejas, dos sindicatos, das organizações não governamentais (ONG) e das unidades locais de supervisão; e (vi) Divisão da América Latina e Caribe (ALC) do FIDA.

3. Entre 22 e 23 de Novembro de 2010, os membros do CCA e outras partes interessadas reuniram-se no Recife, onde está sediada a UGP do PDHC, para o *workshop* final de aprendizagem sobre a avaliação. No presente Acordo são sintetizadas as conclusões e recomendações do relatório de avaliação, bem como os debates sobre as principais questões abordadas no *workshop* de aprendizagem.

4. O Acordo de Conclusão foi estabelecido entre a Direção do FIDA (representado pelo Departamento de Gestão de Programas) e o Governo do Brasil (representado pelo Ministério do Planejamento, Orçamento e Gestão, bem como pelo Ministério do Desenvolvimento Agrário). O texto do acordo reflete a interpretação pelas Partes das principais conclusões da avaliação (ver seção B), bem como o seu compromisso de adoção e execução das recomendações enumeradas na seção C do APC, nos prazos especificados.

##### B. Principais constatações da avaliação

5. O PDHC representou uma resposta às carências em termos de assistência técnica e de oportunidades de desenvolvimento social e de geração de renda vividas pelas famílias e comunidades de agricultores estabelecidas na região, ao abrigo do processo de reforma agrária do Brasil. A estratégia do PDHC se baseou no reforço à capacidade individual e coletiva dos beneficiários, com vista a promover o exercício pleno da cidadania, melhorar a qualidade de vida e criar as condições necessárias para o desenvolvimento de organizações autônomas, que teriam acesso aos serviços de assistência técnica e às políticas de desenvolvimento do Governo. No âmbito do PDHC, foi estabelecida uma cooperação autorregulada entre (i) os beneficiários e as suas organizações; (ii) os movimentos social e sindical rurais; e (iii) as organizações de assessoria técnica. Por outro lado, o projeto apoiou a diferenciação entre as funções desempenhadas pelos movimentos rurais e as ONG, a fim de promover a especialização e de apoiar o desenvolvimento das competências técnicas.

6. O PDHC conseguiu colaborar de forma diferenciada com diferentes segmentos da sociedade. Adotou uma abordagem pragmática de capacitação das mulheres das zonas rurais, identificando as suas necessidades e incentivando a constituição de grupos de interesses de mulheres, centrados na produção e em atividades de geração de renda. O PDHC foi além do simples alinhamento com as políticas

governamentais, na medida em que foi concebido para articular e facilitar a aplicação das políticas públicas centradas nas famílias de agricultores pobres. Apesar da sua relevância positiva de forma geral, o PDHC confrontou-se com algumas dificuldades no curso da sua execução, que estavam relacionadas com as características específicas da concepção do projeto: a inclusão de seis estados. Embora esta amplitude seja justificada pelos objetivos do projeto, ela contribuiu para uma maior complexidade da respectiva execução, supervisão e acompanhamento, na medida em que exigiu esforços suplementares de planeamento e de negociação com os Governos Estaduais e os parceiros da sociedade civil. Porém, o fato da gestão do empréstimo do PDHC ser efetuada no nível federal reduziu as restrições burocráticas e permitiu estabelecer uma série de parcerias e aplicar experimentalmente novos mecanismos de apoio à agricultura familiar. O aspecto negativo consistiu no fato de que a orientação estratégica no nível do governo federal não foi forte e de que a execução das atividades do PDHC foi, por vezes, atrasada por um aporte insuficiente e tardio dos fundos de contrapartida.

7. O PDHC caracterizou-se por um desempenho satisfatório, em termos de eficácia. A avaliação demonstrou que o projeto teve efeitos positivos em termos da capacidade dos agricultores familiares para se organizarem em associações autônomas. O PDHC adotou um conceito mobilizador e facilmente comunicável – *Conviver com o semiárido* – para promover a ideia de que os agricultores familiares podem estabelecer uma relação sustentável com o ambiente do Semiárido Nordeste, desenvolvendo simultaneamente as suas competências profissionais e empreendedoras. Outro grande mérito do PDHC consistiu na sua contribuição para atenuar uma das principais restrições ao desenvolvimento agrícola do Semiárido Nordeste, o acesso à água. As campanhas de alfabetização de adultos produziram bons resultados, em consequência da utilização de um método de aprendizagem inovador, desenvolvido por uma das ONG parceiras, que proporcionou aos professores incentivos eficazes à produção de resultados. A formação de jovens dos dois gêneros para a liderança criou oportunidades de emprego e contribuiu para melhorar a gestão das associações e instituições rurais. O projeto procurou também promover a criação de serviços financeiros orientados para o acesso das famílias ao mercado, dirigidos às organizações de base e adaptados à população carente das zonas rurais. Porém, atendendo aos objetivos do projeto, será necessária uma grande iniciativa de socialização de conhecimentos para promover o PDHC como referência para futuras políticas de desenvolvimento.

8. No que se refere à eficiência, a entrada em vigor do PDHC atrasou-se 24 meses e foi necessário prorrogar o projeto por mais três anos e meio para compensar esse arranque tardio e os atrasos nos primeiros desembolsos. Esta prorrogação da duração do projeto esteve inevitavelmente na origem de um aumento da despesa do FIDA e do Governo com a gestão e supervisão do mesmo que reduziu a eficiência. Os custos operacionais do PDHC resultaram principalmente da grande cobertura geográfica prevista na concepção do projeto, que era, contudo, essencial à realização do objetivo de aplicação do modelo proposto em vários contextos. Os recursos disponíveis foram geridos eficientemente. No que se refere aos custos do modelo-piloto de assistência técnica aplicado pelo PDHC, os custos médios por família beneficiada estavam alinhados com os custos médios nacionais, mas a oferta de serviços era mais ampla.

9. O impacto do projeto na pobreza rural foi satisfatório. Principalmente, o projeto teve um impacto forte na capacitação e na autoestima de grupos de mulheres e jovens. Este resultado foi consequência de fatores como a gestão direta dos recursos financeiros dedicados às atividades de desenvolvimento e o reforço da participação nos mercados e nos processos de decisão no nível local. No que se refere às mulheres, o PDHC contribuiu para a ampliação das suas funções sociais, promovendo a participação das mulheres em atividades de produção e de geração de rendimentos, em combinação com atividades de promoção da educação e dos direitos civis. A avaliação permitiu comprovar o aumento da produtividade agrícola e a diversificação da produção agrícola nos territórios de atuação. O estabelecimento de novas parcerias para captação de recursos (PETROBRAS/Fome Zero - Molhar a Terra e a Fundação Syngenta para o Desenvolvimento Sustentável/FSDS - Projeto ELO) reforçou a orientação já existente no PDHC para o acesso ao mercado e para promover a criação de unidades agroindustriais e feiras agroecológicas. Foram alcançados resultados positivos em termos de promoção de tecnologias e fatores de produção ecológicos. O princípio de *Conviver com o semiárido* foi um elemento essencial das estratégias de desenvolvimento econômico, social e humano do PDHC. O projeto contribuiu para cultivar uma nova atitude por parte dos agricultores familiares: considerar o cuidado com o ambiente e os recursos naturais como fator de sustentabilidade para o desenvolvimento em longo prazo.. A parceria com o Fundo Global para o Meio Ambiente (Global Environment Facility – GEF) permitiu aumentar o impacto do PDHC no

domínio da utilização dos recursos naturais. Em termos de impacto político e no desenvolvimento institucional, o projeto contribuiu para reforçar a capacidade de instituições rurais como as ONG e as entidades representativas da agricultura familiar, bem como a sua participação nos processos de decisão política no nível local, territorial e nacional.

10. No critério de sustentabilidade, os resultados obtidos pelo PDHC foram considerados “moderadamente satisfatórios”. Os efeitos econômicos e sociais do PDHC no nível da exploração agrícola familiar têm boas probabilidades de serem sustentáveis. Os programas públicos de compras antecipadas e aquisição de alimentos e a proteção proporcionada pelos princípios da solidariedade nos mercados agrícolas são atualmente ações afirmativas que garantem a competitividade dos agricultores familiares, favorecendo o desenvolvimento gradual da sua capacidade de produção. Porém, a consolidação da capacidade de produção dos agricultores familiares e a melhoria da qualidade dos produtos agrícolas são condições necessárias para manter essas vantagens no futuro. O PDHC aprovou um calendário de obtenção de resultados sustentáveis que ia além da vida útil prevista para o projeto. Em 2006 foram incluídos novos municípios e novos territórios, apesar de não ser possível promover aí mudanças sustentáveis antes da data de encerramento do projeto. A inexistência de uma estratégia explícita de finalização da intervenção nos territórios de atuação influenciou na avaliação da sustentabilidade do projeto. Efetivamente, a estratégia do PDHC consistia em criar as condições para uma segunda fase do projeto que deveria conduzir à sustentabilidade. Contudo, esta estratégia era arriscada, pois uma alteração política inesperada poderia interromper esse processo.

11. A concepção do projeto caracterizava-se por várias inovações, que foram postas em prática com êxito: adoção de uma estratégia de desenvolvimento territorial, abordagem multidimensional de redução da pobreza e participação de um amplo leque de parceiros, tais como as organizações sociais e de representação dos agricultores. Na presente avaliação foram identificadas outras duas inovações importantes: (i) uma diferenciação clara entre as funções dos mobilizadores sociais e dos prestadores de assistência técnica, que promovia a especialização e a capacidade para beneficiar as populações menos favorecidas das zonas rurais; e (ii) o conceito do projeto como instrumento que proporcionava às populações menos favorecidas das zonas rurais o acesso às oportunidades disponibilizadas no âmbito das políticas de desenvolvimento do Governo. Reconheceu-se também na avaliação que foram aplicadas no nível local e das comunidades várias inovações de pequena escala, através de parcerias com as ONG. No que se refere à replicação e ampliação, o PDHC constituiu um exemplo para outros projetos de desenvolvimento da região do Nordeste, tendo sido utilizado como referência na concepção da política de desenvolvimento do território, em 2003. A abordagem do PDHC pode ser replicada e ampliada para outras zonas semiáridas do Brasil ou de outros países, o que exigirá, no entanto, uma adaptação a novos contextos. Para tal será necessário um elevado potencial de empreendedorismo social, com meios suficientes para combinar diferentes agentes e políticas públicas, nomeadamente em territórios onde a capacidade institucional seja fraca.

12. Todos os parceiros do PDHC tiveram um desempenho satisfatório. O projeto foi executado sob supervisão direta do FIDA. O FIDA foi um parceiro eficiente, clarificando aspectos da concepção do projeto e facilitando a adaptação das abordagens do projeto à evolução do contexto de desenvolvimento. Deu também uma resposta rápida quando as exigências em termos de supervisão aumentaram. O Governo do Brasil desempenhou um papel importante, criando um contexto político e econômico favorável à redução da pobreza rural. O desempenho excepcional da Unidade Gerencial do Projeto (UGP) contribuiu significativamente para o êxito do PDHC: a avaliação reconheceu, nomeadamente, a capacidade da UGP para mobilizar recursos nacionais e internacionais e para estabelecer parcerias com diferentes intervenientes. A UGP garantiu também a boa gestão financeira e contábil do projeto.

### **C. Recomendações aprovadas por todos os parceiros**

13. Tendo em conta as realizações positivas do PDHC, recomenda-se na presente avaliação ao FIDA e ao Governo do Brasil que seja financiada uma segunda fase do projeto. Recomenda-se ao FIDA e ao Governo do Brasil que tomem nota dos principais ensinamentos retirados da presente avaliação, nomeadamente no que se refere à cobertura geográfica, à estratégia de sustentabilidade e à importância de socializar os conhecimentos.

## Recomendação 1

14. O RB-COSOP, preparado em 2008 pelo FIDA em estreita consulta com o Governo do Brasil, estabelece que "os governos estaduais serão os parceiros de preferência para a realização de projetos de investimento" e que "novos empréstimos serão acordados entre o FIDA e os governos estaduais com a garantia do Governo Federal." Considerando os resultados positivos do PDHC e sendo este mesmo um projeto que atua em vários Estados, o que exige que o empréstimo do FIDA seja gerido no nível federal, a segunda fase do projeto requer entendimentos entre o FIDA e o Governo do Brasil sobre a institucionalidade e gestão do PDHC-II. Isto deveria incluir um acordo do Governo do Brasil para realizar, em parceria com o FIDA, o desenho do projeto e os procedimentos para as negociações e a assinatura do contrato de empréstimo. No novo projeto, deve-se assegurar estruturas administrativas e financeiras descentralizadas como forma de garantir os baixos custos de operação e gestão. Da mesma forma, e em conformidade com a lógica do RB-COSOP, devem ser consideradas as oportunidades de cooperação e participação com governos estaduais, a fim de otimizar a influência potencial do PDHC-II no nível estadual.

- Responsabilidade: FIDA e Governo do Brasil.
- Instrumentos: diálogo político entre os parceiros, concepção do projeto.
- Calendário: imediato, idealmente após a posse do novo Governo.

## Recomendação 2

15. **Relações com políticas públicas.** Definir as relações entre o PDHC-II e as políticas públicas federais, estaduais e municipais voltadas para o desenvolvimento rural, de tal modo a otimizar os recursos públicos destinados à agricultura familiar e combate à pobreza rural.

- Responsabilidade: FIDA e Governo do Brasil.
- Instrumento: análise e diálogo no decurso da concepção do PDHC-II; supervisão.
- Calendário: período de concepção do PDHC-II e posteriormente.

## Recomendação 3

16. **Produção e divulgação de conhecimentos.** Integrar na concepção do projeto uma estratégia de produção e divulgação de conhecimentos gerados pela experiência. Para tal será necessário um sistema de acompanhamento e avaliação orientado para os resultados, que permita medir os progressos do projeto em termos de execução da abordagem proposta, bem como os resultados alcançados em vários aspectos (gênero, geração, etnia, famílias e suas instituições, empoderamento, cidadania, sustentabilidade ambiental, etc ). A nova fase deverá integrar instrumentos que permitam extrair informações da experiência do PDHC, a fim de divulgar esses conhecimentos em fóruns nacionais e internacionais. Neste contexto, o FIDA deve promover e multiplicar as oportunidades para que a experiência do PDHC no nível regional se torne uma referência para iniciativas futuras de cooperação Sul-Sul.

- Responsabilidade: FIDA e Unidade Gerencial do Projeto.
- Instrumento: reuniões de concepção do PDHC-II, supervisão e gestão dos conhecimentos.
- Calendário: período de concepção do PDHC-II e posteriormente.

## Recomendação 4

17. **Apoio à geração de renda nas zonas rurais.** O projeto deverá incluir estratégias de geração de renda, através de atividades agrícolas e não agrícolas. No que se refere às atividades agrícolas, deverá ser prestado apoio ao melhoramento de produtos de elevado valor agregado e promover o acesso dos agricultores familiares a cadeias produtivas e de valor e mercados. Estas atividades deverão ser executadas de forma coerente com o princípio da preservação do ambiente, que foi uma das características distintivas do PDHC. Deverão ser também identificados no âmbito do projeto instrumentos e estratégias de expansão das oportunidades de emprego em outros setores além da agricultura, especialmente para os jovens. Nestes dois contextos, o projeto deverá continuar a apoiar

iniciativas destinadas a facilitar o acesso dos beneficiários a serviços financeiros e não-financeiros de desenvolvimento da capacidade profissional empreendedora, dirigidos às organizações de base.

- Responsabilidade: FIDA, Governo do Brasil e Unidade Gerencial do Projeto.
- Instrumento: concepção do PDHC-II.
- Calendário: período de concepção do PDHC-II.

### Recomendação 5

18. **Gerir para a sustentabilidade dos resultados.** Definir desde o início a estratégia e a respectiva duração de intervenção junto aos assentamentos e às comunidades. Será assim necessário definir o tipo e a duração do apoio e os indicadores que desencadearão a finalização do projeto – a estratégia de saída. Deverão ser especificadas na concepção do projeto as características e condições que deverão ser verificadas na data de conclusão do projeto, a fim de assegurar que os benefícios do projeto se mantenham após o fim do seu financiamento.

- Responsabilidade: FIDA, Governo do Brasil e Unidade Gerencial do Projeto.
- Instrumento: concepção do PDHC-II.
- Calendário: período de concepção do PDHC-II.

### Recomendação 6

19. **Maximizar as sinergias com o programa do FIDA para o país.** Quando aplicável, procurar complementaridades entre as ações do PDHC e a experiência de programas do FIDA executados nos mesmos estados e territórios.

- Responsabilidade: FIDA.
- Instrumento: reuniões de concepção do PDHC-II, concepção e supervisão de outros projetos e partilha de conhecimentos.
- Calendário: contínuo.

Assinado por:

Carlos Augusto Vidotto  
Secretario  
Secretaria do Assuntos Internacionais  
Ministério do Planejamento, Orçamento e Gestão  
Governo do Brasil



Data: 24.02.2011

Josefina Stubbs  
Diretora  
Divisão da América Latina e Caraíbas  
Departamento de Gestão de Programas,  
FIDA



Data: 17.02.2011



Humberto Oliveira  
Secretário Nacional de Desenvolvimento  
Territorial  
Secretaria de Desenvolvimento Territorial  
Governo do Brasil

Data: 24.02.2011



## **Federative Republic of Brazil**

### **Sustainable Development Project for Agrarian Reform Settlements in the Semi-Arid North-East (*Dom Hélder Câmara Project*)**

#### **Agreement at Completion Point**

##### **A. Core Learning Partnership and Users of the Evaluation**

1. The IFAD Office of Evaluation (IOE) undertook an interim evaluation of the IFAD-financed Sustainable Development Project for the Agrarian Reform Settlements in the Semi-Arid North East – the Dom Hélder Câmara Project (DHCP) – in Brazil. The objectives of this evaluation were: (i) to assess the results and impact of the project; and (ii) to generate findings and recommendations that will inform a possible next phase of the project.

2. In line with the IFAD evaluation policy, a core learning partnership (CLP) was formed to ensure the engagement of stakeholders in a fruitful collaboration throughout the process and to facilitate discussion and adoption of the recommendations of the evaluation. The CLP included: (i) representatives of the Ministry of Agrarian Development and of the Territorial Development Secretariat; (ii) representatives of the Ministry of Planning, Budget and Management; (iii) the DHCP project management unit (PMU) coordinator and relevant staff; (iv) representatives of state governments; (v) members of the territorial committee composed of representatives of beneficiary families, churches, trade unions, non-governmental organizations (NGOs) and local supervision units; and (vi) the IFAD Latin America and the Caribbean (LAC) division.

3. On 22 and 23 November 2010, CLP members and other stakeholders convened in Recife, where the DHCP PMU is based, for the final learning workshop on the evaluation. This Agreement at Completion Point summarizes the findings and recommendations in the evaluation report and reflects the discussions of the main issues at the learning workshop.

4. The ACP has been reached between IFAD Management (represented by the Programme Management Department) and the Government of Brazil (represented by the Ministry of Planning Budget and Management, as well as the Ministry of Agrarian Development). It reflects their understanding of the main findings from the evaluation (see Section B) as well as their commitment to adopt and implement the recommendations contained in Section C of the ACP, within the specified timeframes.

##### **B. Main Evaluation Findings**

5. DHCP was one of the answers to the lack of technical assistance and opportunities for social development and income generation for newly settled farmer families and communities under the agrarian reform process in Brazil. The underlying strategy of DHCP was to enhance beneficiaries' individual and collective capabilities with a view to promoting the full exercise of citizenship, improving the quality of life, and creating the conditions needed to develop autonomous organizations for accessing technical assistance services and government development policies. DHCP established a self-regulating cooperation among: (i) beneficiaries and their organizations; (ii) rural trade unions; and (iii) technical assistance providers. At the same time, the project supported differentiation among the functions carried out by rural trade unions and NGOs with a view to promoting specialization and supporting the growth of technical skills.

6. With regard to relevance, DHCP succeeded in working with different segments of society in a differentiated manner. It adopted a pragmatic approach to the empowerment of rural women by identifying their needs and capacities and gathering them in interest groups focused on production or

income-generating activities. DHCP went beyond a simple alignment with government policies in that it saw itself as an articulator and facilitator of public policies focusing on poor farming families. Notwithstanding the positive overall relevance of DHCP, some of the difficulties faced during implementation can be related to specific features of project design: the inclusion of six states, although justifiable in view of project objectives, increased the complexity of implementation, supervision and monitoring in that it required additional planning and negotiation with state governments and civil society partners. The administration of the DHCP loan at the federal level, however, largely freed DHCP from bureaucratic restrictions and allowed it to engage in a range of partnerships and to experiment with new mechanisms for supporting family farmers. The negative aspect was that the strategic orientation from the federal government level was not strong, and at times the implementation of DHCP activities was negatively affected by the insufficient and delayed allocation of counterpart funds.

7. The DHCP was characterized by satisfactory performance in terms of effectiveness. The evaluation showed the positive effects in terms of the capacity of family farmers to organize themselves into autonomous associations. DHCP invented a compelling and easily communicable concept – *Conviver com o semi-árido* – to promote the idea that it is possible for family farmers to establish a sustainable relationship with the environment of the semi-arid North-East and at the same time develop their technical and entrepreneurial skills. Another great merit of DHCP was its contribution to easing one of the main constraints to agricultural development in the semi-arid North-East – access to water. The adult literacy campaigns produced good results as a result of an innovative learning method inspired by one of the NGO partners that gave effective incentives for teachers to deliver results. Leadership training for young women and men led to employment opportunities and improved the management of associations and rural institutions. The project also attempted to promote market-oriented, bottom-up financial services suitable for the rural poor. Given the objectives of the project, however, a major knowledge-sharing initiative would be required to promote DHCP as a model for future development policies.

8. With regard to efficiency, DHCP was characterized by a 24-month delay in becoming effective, and required extension by three and a half years to compensate for the late start and the initial disbursement delays. Such prolonged duration inevitably brought about an increase in IFAD and government expenditure on management and supervision, which reduced efficiency. The operating cost of DHCP was primarily a result of the wide geographical coverage established in its design, but this was essential to achieve the objective of applying the proposed model in a range of contexts. The resources available were efficiently administered. With regard to the cost of the technical assistance model piloted by DHCP, the average cost per family targeted was in line with national standards but the approach offered a wider set of services.

9. The impact of the project on rural poverty was satisfactory. Most significantly, the project had a strong impact on empowerment and self-esteem among the target groups, including women and rural young people. This resulted from factors such as the direct management of financial resources for development activities by grassroots associations, the increased participation in local markets and in decision-making processes. With regard to women, DHCP enabled an extension of women's functions by promoting their participation in productive and income-generating activities, in combination with activities to promote their education and citizenship rights. The evaluation found evidence of increased income, agricultural productivity and diversification of farm production in the targeted territories. The partnership established with Petrobras Fome Zero – Molhar a Terra, Syngenta Foundation and the ELO project improved already existing market orientation of DHCP and favoured the establishment of agro-processing units and agro-ecological fairs. Positive results were achieved in terms of promoting environmentally friendly technologies and inputs. The principle of *Conviver com o semi-árido* was an essential element of DHCP human, social and economic development strategies. The project nurtured in family farmers a new way of thinking: considering the environment and natural resources as partners for long-term development that require care and comprehension. The partnership with the Global Environment Facility (GEF) contributed to strengthen DHCP impact on natural resources. In terms of impact on policy and institutional development, DHCP helped to

enhance the capabilities of rural private-sector institutions such as NGOs and rural trade unions and participation by the poor in local policy-making processes.

10. With regard to sustainability, the performance of DHCP was rated “moderately satisfactory”. The social and economic effects of DHCP at the family farm level have a good chance of being sustained. The subsidized purchases by state companies and the protection provided by the solidarity principles in agricultural fairs currently can be considered affirmative actions undertaken for protecting the competitiveness of family farmers and favour the gradual development of their production capacity. In future, a necessary condition for continuation of the benefits would be further consolidation of the production capacities of family farmers and upgrading of the quality of farm produce. DHCP adopted a timeline for ensuring sustainable results that went beyond the planned lifetime of the project. In 2006, new areas and territories were included, even though sustainable changes could not be generated before the closing date. The lack of an explicit strategy of disengagement from targeted territories inevitably affected the assessment of project sustainability. Indeed, the strategy of DHCP was to create the conditions for a second phase of the project that would lead to sustainability. This is, however, a risky strategy because an unexpected political change could halt the process.

11. The design of the project was characterized by various innovations that were successfully applied: these included the adoption of a territorial development strategy and a multi-dimensional approach to poverty reduction, and involvement of a wider range of partners such as social organizations and rural trade unions. This evaluation identified two additional important innovations: (i) the clear differentiation between the roles of social mobilizers and technical assistance providers, which fostered specialization and the capacity to reach the rural poor; and (ii) the concept of the project as an instrument to enable the rural poor to access opportunities available under government development policies. The evaluation also acknowledges various small-scale innovations applied at the local and community levels through the partnerships with NGOs. With regard to replication and scaling up, DHCP was used as a reference for the design of a territorial development policy in 2003. The DHCP approach can be replicated and scaled up in the North-East and other poor semi-arid areas of Brazil, but this would require adaptation to the new contexts. A strong social entrepreneurship function with sufficient means to combine different actors and public policies would be required, particularly in territories with weak institutional environments.

12. All DHCP partners performed satisfactorily. The project was under IFAD direct supervision. IFAD was a responsive partner in terms of clarifying aspects of project design and facilitating the adaptation of project approaches to the changing development context. IFAD also responded promptly when supervision requirements increased. The Government of Brazil played an important role in providing a favourable economic and public policy framework for rural poverty reduction. The outstanding performance of the PMU contributed significantly to DHCP achievements: the evaluation recognized in particular the capacity of the PMU to mobilize domestic and international resources and to establish partnerships with a range of stakeholders. The PMU also ensured that financial management and accounting were sound.

### **C. Recommendations Agreed by all Partners**

13. In view of the positive achievements of DHCP, this evaluation recommends to IFAD and the Government of Brazil the financing of a second phase of the project. The evaluation recommends IFAD and the Government of Brazil to take note of the main lessons learned of this evaluation, especially with regard to the project geographical coverage, the strategy for sustainability and the emphasis on knowledge sharing.

## **Recommendation 1**

14. **Institutional set up.** The RB-COSOP prepared by IFAD in close consultation with the Government of Brazil in 2008 establishes that “the state governments will be the partners of preference to carry out investment projects” and that “new loans will be agreed between IFAD and the state governments with the guarantee of the Federal Government”. Considering the positive results of the DHCP and being this a multi-state project with IFAD loan managed at federal level, a second phase of the project would require IFAD and the Government of Brazil to reach a clear agreement on the institutional organization of DHCP-II and the level of administration of project loan. This would include an agreement with the Government of Brazil to carry out, jointly with IFAD, the project design and the procedures for negotiations and signature of the loan agreement. In the new project, opportunities to reduce administrative and management costs by making use of decentralized structures should be identified. Likewise, in line with the rationale of the RB-COSOP, opportunities for cooperation and involvement of state-level governments should be included in order to maximise the potential influence of the DHCP-II at state-level.

- Responsibility for follow-up: IFAD and the Government of Brazil.
- Instrument for follow-up: policy dialogue among partners, project design.
- Timing for follow-up: immediate, ideally after the appointment of the new government.

## **Recommendation 2**

15. **Policy linkages.** Define the links between DHCP-II and public policies for rural development at the federal, state and municipal levels for a more effective channelling of resources to family farming and poverty reduction.

- Responsibility for follow-up: IFAD and the Government of Brazil.
- Instrument for follow-up: analysis and dialogue during DHCP-II design; supervision.
- Timing for follow-up: DHCP-II design period, and thereafter.

## **Recommendation 3**

16. **Knowledge generation and dissemination.** Incorporate in project design a strategy for knowledge generation and dissemination. This requires a results-oriented M&E system that will enable the project to measure the progress in implementing the proposed approach and the results achieved at various levels (gender, ethnicity, age, households and institutions, empowerment, citizenship, environmental sustainability). The new phase should incorporate instruments for extracting information about the DHCP experience with a view to disseminating knowledge in national and international fora. In this context, IFAD should increase and facilitate opportunities to transfer DHCP experience at the regional level and in forthcoming initiatives for South-South cooperation.

- Responsibility for follow-up: IFAD and the programme management unit.
- Instrument for follow-up: DHCP-II design, supervision and knowledge-management events.
- Timing for follow-up: DHCP-II design period, and thereafter.

## **Recommendation 4**

17. **Support for rural income generation.** The project should include strategies for income generation through agricultural and non-agricultural activities. With regard to agricultural activities, support should be provided for upgrading products with high value-added and facilitating linkages of family farmers with value chain and markets. These activities should be implemented in line with the principle of environmental conservation that was a distinguishing feature of DHCP. The project should also identify instruments and strategies for the expansion of non-farm employment opportunities, especially for young people. In both contexts, the project should continue its support to

initiatives aimed at facilitating access of beneficiaries to bottom-up financial and non-financial business development services oriented to grassroots associations.

- Responsibility for follow-up: IFAD, the Government of Brazil and the programme management unit.
- Instrument for follow-up: DHCP-II design.
- Timing for follow-up: DHCP-II design period.

### **Recommendation 5**

18. **Managing for sustainability.** Define at the outset the strategy for engagement with settlements and communities, and its duration. This includes the type and length of support and the indicators triggering the termination of project support – the exit strategy. The design should specify the institutional features and conditions expected at the time of project completion to ensure the continuation of benefits after the end of project financing.

- Responsibility for follow-up: IFAD, the Government of Brazil and the programme management unit.
- Instrument for follow-up: DHCP-II design.
- Timing for follow-up: DHCP-II design period.

### **Recommendation 6**

19. **Maximize synergies with the IFAD country programme.** Where applicable, look for complementarities among DHCP actions and experience with IFAD programmes operating in the same states and territories.

- Responsibility for follow-up: IFAD
- Instrument for follow-up: DHCP-II design, design and supervision of other projects, and knowledge-management events.
- Timing for follow-up: Continuous.

Signed by:

Carlos Augusto Vidotto  
Secretary  
Secretariat of International Affairs  
Ministry of Planning, Budget and Management  
Government of Brazil

Date: 24 February 2011

Humberto Oliveira  
National Secretary for Territorial Development  
Territorial Development Secretariat  
Government of Brazil

Date: 24 February 2011

Josefina Stubbs  
Director  
Latin America and the Caribbean Division  
Programme Management Department  
IFAD

Date: 17 February 2011



## Federative Republic of Brazil

### The Sustainable Development Project for Agrarian Reform Settlements in the Semi-Arid North-East

#### Interim Evaluation

#### Main Report

## I. EVALUATION OBJECTIVES, METHODOLOGY AND PROCESSES

1. In line with the decision of the Executive Board of the International Fund for Agricultural Development (IFAD) at its 98th session on 15 December 2009, the IFAD Office of Evaluation (IOE) undertook an interim evaluation of the IFAD-financed Sustainable Development Project for the Agrarian Reform Settlements in the Semi-Arid North-East – the Dom Hélder Câmara Project (DHCP) – in Brazil. The objectives of this evaluation were to (i) assess the results and impact of the project and (ii) generate findings and recommendations that will inform a possible next phase of the project.<sup>1</sup>

2. The evaluation was conducted in line with the IFAD Evaluation Policy<sup>2</sup> using the processes and methods outlined in the IOE Evaluation Manual.<sup>3</sup>

3. **Evaluation design.** An Approach Paper was prepared by the lead evaluator at the outset and shared with partners for comments. It contained the main objectives and the evaluation questions, timeline and methods.<sup>4</sup> The preparatory mission from 22 to 26 February 2010 included meetings in Brasilia and Recife: its objectives were to brief country partners about the evaluation principles and methods, gather feedback on the draft Approach Paper, fine-tune the evaluation methods, plan the evaluation mission, review information available in the project management unit (PMU) and identify national consultants to complete the evaluation team.

4. The design phase also included preparation by the lead evaluator of a Desk Review Note summarizing documented findings on project performance and identifying issues and hypotheses requiring further inquiry during the field-work phase. The Desk Review Note was shared for comments with the IFAD Latin America and the Caribbean Division (LAC) and thereafter with Brazilian counterparts on April 22.<sup>5</sup>

5. **Evaluation mission.** A multi-disciplinary team of consultants was appointed by IOE for the main evaluation mission from 26 April to 17 May 2010. At the end of the mission, an *aide mémoire* was prepared to present the preliminary findings of the field visits; it was presented on 17 May for feedback at a wrap-up workshop organized by the Secretariat of International Affairs (SEAIN) of the Ministry of Planning, Budget and Management. The workshop was attended by representatives of the Government of Brazil, the PMU and stakeholders such as IFAD's country programme manager

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<sup>1</sup> According to the IFAD Evaluation Policy, interim evaluations are mandatory at the end of a project before a further phase of the same project is started.

<sup>2</sup> The 2003 IFAD Evaluation Policy can be accessed at <http://www.ifad.org/pub/policy/oe.pdf>.

<sup>3</sup> The manual is available at [http://www.ifad.org/evaluation/process\\_methodology/index.htm](http://www.ifad.org/evaluation/process_methodology/index.htm).

<sup>4</sup> The Evaluation Framework prepared for this evaluation is in appendix 4. The full version of the Approach Paper is available on request.

<sup>5</sup> The Desk Review Note is available on request.

(CPM). Where applicable, the comments conveyed during the wrap-up meeting were taken into account in this report.

6. **Responses to the evaluation and completion.** This report was shared with LAC and the Government of Brazil for comment before finalization. The final learning workshop was held in Recife on 22 and 23 November 2010 to discuss findings and recommendations. The workshop was organized by the PMU and attended representatives from partner organizations, civil society and beneficiaries. The final step of the evaluation process was the drafting of the Agreement at Completion Point (ACP) between IFAD and the Government of Brazil. The ACP is an action-oriented document that sets out the evaluation findings and recommendations and the commitment of IFAD and the Government of Brazil to adopting and implementing them in specific timeframes.<sup>6</sup>

7. **Quality assurance.** In line with standard IOE practice, the evaluation was subject to an internal quality-assurance process. Four IOE staff members were appointed to comment on the Approach Paper, the Desk Review Note and the draft Evaluation Report.

8. **Methods.** At the outset of the evaluation process, a review of all DHCP documents was undertaken. In 2005, IOE visited DHCP in the context of the corporate-level evaluation on the IFAD Direct Supervision Programme.<sup>7</sup> In 2007, IOE conducted a country programme evaluation (CPE) in Brazil (see box 1 on page 7), which included an assessment of DHCP in terms of the criteria in the IOE Evaluation Manual. A case study of DHCP was also prepared for the corporate-level evaluation as background on IFAD's capacity to promote innovation and its scaling up. Two self-assessments were prepared by IFAD, one in 2007 as a contribution to the CPE and one in 2009 as a background document for the Project Completion Report (PCR).<sup>8</sup> The DHCP Annual Report 2009, which was made available to the evaluation, provides a detailed account of all activities implemented.

9. An important methodological challenge of this evaluation was the identification of development effects attributable to DHCP. The project was implemented in a period of economic stability and growth in Brazil, which had a positive effect on local markets and the demand for agricultural goods produced by DHCP beneficiaries. The Government of Brazil and donors implemented large programmes for rural poverty reduction that directly and positively affected DHCP beneficiaries. The evaluation would have been able to determine attributable results only if a rigorous with-and-without method had been applied in the monitoring and evaluation (M&E) plan. But the baseline survey – which was of good quality – was only conducted in 2004, very late in the life of the project. In 2009 an impact survey was conducted by the PMU in partnership with a team of consultants,<sup>9</sup> but it did not use the same sample or the with-and-without method adopted in the baseline survey. Although this survey highlighted the changes that occurred in various dimensions of beneficiaries' livelihoods, it is not possible to establish whether the changes are attributable to DHCP or to the combined effects of the various policies and development initiatives implemented during that period.

10. The resources available to this evaluation were insufficient for a survey large enough to estimate attributable impacts, so the evaluation used data from the impact survey and the field visits to identify the changes that occurred during project life in dimensions such as income, empowerment,

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<sup>6</sup> The objectives of the ACP also include: (i) clarify understanding of recommendations, document those that are acceptable and feasible and those that are not, and outline a stakeholders' action plan with responsibilities and deadlines; and (ii) flag evaluation insights and lessons for future discussion. The ACP will make explicit reference to major users of evaluation results such as IFAD operational units and project and borrower country authorities.

<sup>7</sup> See [http://www.ifad.org/evaluation/public\\_html/eksyst/doc/country/pl/brazil/bra\\_cpe.pdf](http://www.ifad.org/evaluation/public_html/eksyst/doc/country/pl/brazil/bra_cpe.pdf).

<sup>8</sup> In June 2010, when the evaluation report was prepared, the PCR was still in draft; it is normally finalized within six months of the completion date, as stated in the IFAD Loan and Grant Administration Manual.

<sup>9</sup> The survey, which was administered to 400 project beneficiaries, examined a range of production and livelihood dimensions such as income, dietary habits and agricultural practices.

food security and institutional development. In doing this, the evaluation attempted to recognize all factors that influenced these changes, including those external to DHCP. The evaluation then tried to discern, though not necessarily in quantitative terms, the value-added and the contribution of DHCP by studying the quality of the goods and services delivered and observing how they are linked to development results. A common interview guide was designed on the basis of the evaluation framework in the Approach Paper; quantitative information was gathered to triangulate and verify the findings.

11. The wide territorial coverage of DHCP affected the methods and organization of the evaluation. The distances between territories targeted by the DHCP required significant travel time and resources, so the team split into four groups to capture the diversity of contexts in which the project was implemented. The evaluation team visited seven of the eight territories targeted by DHCP – Apodi, Cariri, Pajeú, Sao João do Piauí, Sertão Sergipano, Araripe and Inhamuns. The selection of beneficiaries was decided on-site on the basis of information available through local supervision units. The mission interviewed government partners at the state, federal and municipal levels, PMU staff and the former project coordinator, local supervision staff, representatives of beneficiaries' associations, technical service providers and community mobilizers (see appendix 2).

12. The criteria applied in this evaluation are described in appendix 3. A six-point rating system is applied to each performance criterion: 6 corresponds to the highest rating (highly satisfactory) and 1 to the lowest rating (highly unsatisfactory).

## II. COUNTRY AND SECTOR BACKGROUND

13. Brazil is a federative republic with a three-tier government structure: federal, state and municipal. The federation includes 26 states, one federal district in which the national capital – Brasilia – is located, and 5,564 municipalities. Brazil, which is the fifth largest country in the world and by far the largest country in Latin America, has an estimated population of 190 million.<sup>10</sup> The North-East, where DHCP is implemented, is the second largest macro-region of the country, covering an area comparable to France, Italy, Germany and Spain combined with a population of 51 million, of whom 16 million – 31 per cent – live in rural areas.

14. **Economy.** In 2008, the gross national income per capita was US\$7,350, which places Brazil in the upper-middle-income category of the World Bank classification. In 2008 gross national income per capita terms, Brazil ranks 82<sup>nd</sup> in the world. The 2007 Human Development Index of 0.813 ranked Brazil 75<sup>th</sup> of 182 countries and classifies it as a country with high human development.

15. At the time of DHCP approval in 1998, Brazil was moving out of a period of economic turbulence characterized by a stagnant gross domestic product (GDP) – average growth per capita in 1985–1992 was -0.54 per cent – and high inflation. In the early 1990s, the country started a process of trade liberalization and structural reform, with emphasis on administrative reform, poverty alleviation, social security restructuring, privatization of state companies and utilities, and tax reforms. When Luiz Inácio Lula was elected President in late 2002, the objectives of economic growth and stability were combined with an expansion of national development programmes for social development and poverty reduction. President Lula attached highest importance to rural development in terms of provision of infrastructure and social services and improvements in income and employment, especially in small-scale agriculture.

16. Between 1998 and 2008, average annual economic growth in Brazil was 3.3 per cent, GDP per capita grew at an average of 2 per cent per annum, agricultural output grew by 4.4 per cent and exports increased by 9.1 per cent. Inflation is under control, despite the increase in recent years and

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<sup>10</sup> Instituto Brasileiro de Geografia e Estatística, 2008.

the budget deficit and negative current account balances.<sup>11</sup> Brazil was relatively unharmed by the recent international financial crisis. The incomes of the poor grew at 8 per cent per annum between 2000 and 2007, and social indicators improved faster than in most other countries with similar income levels. Brazil is now close to achieving universal basic education. In addition to an expansion in basic school enrolment from 80 per cent in 1980 to 98 per cent in 2008, infant mortality fell from 49/1,000 live births to 20/1,000.

17. **Inequality.** This is one of the most important development challenges facing the country. First, Brazil is characterized by large regional disparities: in 2000, the South-East region accounted for 58 per cent of GDP compared with 5 per cent in Northern region and 13 per cent in North-East. Second, the history of Brazil is characterized by high levels of inequality in the distribution of household income: at the end of the 1980s, Brazil was the second most unequal country of the world; after this peak, the Gini index for Brazil stabilized at about 0.6 between 1993 and 1997<sup>12</sup> and fell steadily thereafter; between 2001 and 2005, inequality fell by 1.2 per cent per year. Nonetheless, Brazil remains one of the most unequal countries in the world: the richest 1 per cent account for 13 per cent of all household income, a percentage similar to that for the poorest 50 per cent.<sup>13</sup> Brazil is also characterized by high levels of concentration in land possession: in rural areas, a few large landowners coexist with millions of small landowners, landless workers and rural workers living in precarious conditions.<sup>14</sup>

18. **Poverty.** According to the most recent National Household Survey in 2002, the extreme poverty rate measured at US\$1 per day was 8.5 per cent; poverty measured at US\$2 per day was 21.2 per cent. In rural areas, the figure for extreme poverty was above 20 per cent; the figure for poverty at US\$2 per day was 66 per cent. Most poor people are concentrated in North-East region, where the percentage of extremely poor people in rural areas is 30 per cent; the figure reaches 76 per cent if the upper poverty line is taken into account. Most of the rural poor are family agriculture households living in remote and low-productivity areas for whom farming and agricultural labour account for 70 per cent of household incomes. More recent estimates of poverty are available through the *Instituto de Pesquisa Econômica Aplicada*,<sup>15</sup> which show that 31 per cent of individuals live in households with a per capita income of less than half the minimum wage; the per centage is 52 per cent in North-East region. On the basis of these data, rural poverty declined from 56 per cent to 46 per cent between 1998 and 2005.

19. **Agriculture.** Agriculture is a key component of the Brazilian economy. Production agriculture accounted for 6.7 per cent of GDP in 2008, but if the associated supply chain is taken into account, the agro-food sector – production agriculture, processing and distribution – accounts for 28 per cent of GDP and 27 per cent of total exports; it employs 18 million people, 37 per cent of the labour force. During the last decade Brazil has been consolidating its position as a major agro-food producer and supplier of international markets; it is currently the world's largest exporter of sugar, ethanol, beef, poultry meat, coffee, orange juice and tobacco.

20. Despite the concentration of land ownership, the backbone of the agriculture sector consists of 4.4 million family farms<sup>16</sup> that account for 84.4 per cent of the farming sector: they produce over 50

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<sup>11</sup> World Bank: [http://devdata.worldbank.org/AAG/bra\\_aag.pdf](http://devdata.worldbank.org/AAG/bra_aag.pdf).

<sup>12</sup> Herrán, 2005.

<sup>13</sup> Oxfam, 2008.

<sup>14</sup> The Gini index for land ownership rose from 0.827 in 1960 to 0.856 in 2010. This is calculated from the 2006 census of agriculture by the Brazilian Institute of Geography and Statistics profiling the country's 5.2 million farms on the basis of sample data.

<sup>15</sup> See <http://www.ipea.gov.br>.

<sup>16</sup> The term “family farming” refers to a model of production with distinctive economic and social features that differs from other models in terms of elements such as the organization of its production system and the use

per cent of Brazil's food supplies<sup>17</sup> and employ 75 per cent of the rural labour force. Although family farms occupy less than a quarter of the total farmland, they are responsible for 38 per cent of national revenue from the agricultural sector. Conditions on family farms vary, but there is a prevalence of small poor farms with incomes below the opportunity cost of labour that lack market exposure and specialization.

21. **Agrarian reform.** In 1995, the Cardoso government began the National Agrarian Reform Programme with a commitment to giving 280,000 rural landless families access to agricultural land by the end of 1998. The programme was carried out by federal institutions; political responsibility was vested in the *Ministerio de Estado Extraordinario da Politica Fundiaria* (MEEPF; Special State Ministry for Land Policies); the implementing branch was the *Instituto Nacional de Colonização e Reforma Agrária* (INCRA; National Institute for Colonization and Agrarian Reform), which was the first technical counterpart of DHCP. Organizations such as the *Movimento dos Trabalhadores Rurais Sem Terra* (MST; Movement of Landless Farmers) and the *Confederação Nacional de Trabalhadores na Agricultura* (CONTAG; National Confederation of Agricultural Workers) participated in agrarian reform committees at the federal and state levels.

22. In 1998, at the time of DHCP design, 200,441 families benefiting from the agrarian reform process were located in 1,524 settlements in an area of 8.8 million ha. In North-East at that time the agrarian reform programme had benefited 78,000 families in an area of 2.3 million ha. The *Programa para Reforma Agrária* (PROCERA; Special Credit Programme for Agrarian Reform) was initially created to provide new settlements with financial resources.<sup>18</sup> INCRA established the *Projeto de Assessoria Técnica para Assentamentos de Reforma Agrária* (LUMIAR; Technical Assistance for the Agrarian Reform Settlement Project). Evaluation of the programmes, however, showed low effectiveness and insufficient coverage.<sup>19</sup> The combination of illiteracy, low educational levels, limited experience in agriculture and limited micro-entrepreneurial skills among beneficiaries resulted in a fragile context for the development of family agriculture. In these circumstances, the challenge for the Government was to find instruments to transform agrarian reform beneficiaries into small-scale agricultural entrepreneurs with links to markets and access to credit and assistance services.

23. **Rural development policy.** Rural development policy in Brazil is distributed among various federal ministries and state and municipal governments. The following federal programmes target rural poverty reduction directly:

- the *Fome Zero* programme, launched in January 2003, originally intended to focus on food needs and the eradication of hunger, later evolving into an umbrella programme for fighting poverty through 30 programmes such as the large conditional cash transfer programme *Bolsa Família*,<sup>20</sup>

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of natural resources and production-related factors such as labour employed, capitalization levels and market access. The criteria used in Brazil to determine eligibility of family farmers for the National Registry are (i) a maximum of two non-family labourers hired, (ii) the farm holder is responsible for farm organization, (iii) the family live on-farm or nearby and (iv) 70 per cent or more of income is derived from on-farm activities, with a cap value of income equivalent of US\$62,000 per year. Marquez *et al.*, 2010.

<sup>17</sup> The 2006 census of agriculture shows that family farmers produced 87 per cent of cassava, 70 per cent of beans, 46 per cent of corn, 38 per cent of coffee, 34 per cent of rice, 58 per cent of milk, 59 per cent of pigs, 50 per cent of poultry, 30 per cent of animal protein from cattle, 21 per cent of wheat and 16 per cent of soybeans.

<sup>18</sup> This programme was then transformed into the *Programa Nacional de Fortalecimento da Agricultura Familiar* (PRONAF; National Programme for Strengthening Family Agriculture).

<sup>19</sup> Of 123,000 target families, PROCERA/LUMIAR covered only 29,000 (24 per cent).

<sup>20</sup> Twelve million families were participating in the *Bolsa Família* programme in June 2010. Data from the 2006 *Pesquisa Nacional por Amostra de Domicílios* show that 41 per cent of rural households are enrolled in

- the *Programa Nacional de Fortalecimento da Agricultura Familiar* (PRONAF; National Programme for Strengthening Family Agriculture), created in 1996, a large subsidized farm credit programme;
- the *Programa de Aquisição de Alimentos da Agricultura Familiar* (PAA; Food Acquisition Programme), a government food procurement programme using small family farmers through the national *Companhía Nacional de Abastecimento* (CONAB; National Food Supply Company);
- the three elements of the Brazil land-access programme: (i) expropriation of abandoned or inefficient farms through the *Assentamentos Sustentáveis para Trabalhadores Rurais* programme; (ii) subsidized loans for land purchase through the *Credito Fundiario* programme; and (iii) support for agrarian reform settlements through the *Desenvolvimento Sustentável na Reforma Agraria* programme;
- initiatives for rural infrastructure such as the *Saneamento Rural*, *Proagua Infraestrutura*, *PRONAF Infraestrutura*, *Conviver*, *Agricultura Irrigada*, *Probacias*, *Proteção de Terras Indígenas*; and
- initiatives such as the programme for the documentation of women agricultural workers and for agricultural price insurance.

24. **Territorial development.** In 2003, discontent with the traditional sector-based approaches to rural development led to the development of a new integrated territorial approach by the Lula government. This was endorsed by the new Ministry of National Integration, which launched the National Policy of Regional Development,<sup>21</sup> the Ministry of Social Development, which initiated the *Fome Zero* programme linked to a territorial approach, and the *Ministerio do Desenvolvimento Agrário* (MDA; Ministry of Agrarian Development), which started the *Territórios da Cidadania* programme<sup>22</sup> that included 120 territories, of which 77 were in North-East region, through its *Secretariado de Desenvolvimento Territorial* (SDT; Secretariat of Territorial Development), which became the technical counterpart of the IFAD project.

25. **IFAD's operations in Brazil started in 1980.** IFAD had approved loans for eight projects, of which two have not yet been declared effective. Approved financing for IFAD-funded projects is US\$186.7 million; total approved financing is US\$508.4 million, including US\$215.7 million counterpart funding by the national and local governments.

26. **The 1997 country strategic opportunities paper (COSOP).** At the time of DHCP approval, IFAD's strategy in Brazil was based on the 1997 COSOP, which included four "major thrusts": (i) policy dialogue; (ii) access to land; (iii) support for the Government's sector policy for family farmers; and (iv) prioritization of geographical areas for intervention, with North-East the highest priority. The COSOP included: (i) strategic partnership with the Federal Government, which entailed designing and implementing projects under the leadership of federal agencies; (ii) enhancing the development of human resources to facilitate the entry of the rural poor into the labour market; (iii) building new approaches for delivering support services to the poorest rural people; and (iv) support for off-farm activities and development of micro-enterprises.

27. **The 2008 results-based country strategic opportunities programme (RB-COSOP).** The first RB-COSOP for Brazil was developed on the basis of the recommendations of the Brazil CPE

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social programme for income transfer such as *Bolsa Família*, *Benefício de Assistência Continuada* and *Programa de Erradicação Trabalho Infantil*.

<sup>21</sup> It defined 164 rural territories consisting of 2,500 of Brazil's 5,564 rural municipalities, amounting to two thirds of the 725 rural low-income municipalities. The programme covers a rural population of 16 million living in 645,000 of Brazil's 880,000 families hosting 340 of the 612 *Terras Indígenas* and includes 70 per cent of the 1,467 Quilombolas communities.

<sup>22</sup> This builds on an earlier Government initiative called *Territórios de Identidade*.

(see box 1) considered by the Executive Board in September 2008. The RB-COSOP established four objectives for IFAD operations in Brazil: (i) increase commercial agricultural production by small farmers; (ii) improve access by the rural poor to off-farm employment and business activities; (iii) improve capacities among the rural poor and institutions in the semi-arid North-East through knowledge generation and dissemination; and (iv) increase discussion of rural poverty reduction and family farming policies at the national and international levels.

28. The RB-COSOP identified three thrusts for future IFAD operations in Brazil. First, investment projects financed by IFAD would focus on the state level, and new loans would be agreed between IFAD and state governments with the guarantee of the Federal Government; this means that projects will be implemented by state governments rather than the Federal Government as in the 1997 COSOP. Second, new projects proposed in the RB-COSOP will be expected to focus on North-East region because of its high concentration of rural poor, exposure to desertification and climate change, and IFAD's comparative advantage in the region. The RB-COSOP does not, however, exclude the possibility for IFAD to expand its projects in the north in line with the recommendations of the CPE. Third, the RB-COSOP identified knowledge management and policy dialogue as priorities: the former is expected to focus on technologies and innovations in the semi-arid North-East; with regard to the latter, the RB-COSOP established that IFAD would collaborate with the Federal Government in analysing policy related to rural poverty by making use, where applicable, of IFAD grants.

#### **Box 1. Highlights from the Brazil CPE**

- IFAD operations in Brazil have achieved important results in promoting water and food security, agricultural development and natural resource management.
- Positive results have been achieved in building the capacity of grassroots institutions and in promoting the involvement of non-governmental organizations (NGOs) in project interventions. But there has been insufficient emphasis on supporting the participation of family farmers in competitive value-chains.
- Although IFAD-financed operations have contributed to innovation, limited attention has been devoted to replication and scaling up.
- A more systematic approach to knowledge management is required, with resources allocated to policy dialogue and partnership building.

### **III. PROJECT BACKGROUND**

29. **Origin of the project.** At the time of DHCP design, MEEPF was scouting for innovative and more effective ways to transform land-reform settlements into small agricultural enterprises (see paragraphs 21 and 22). In particular, the DHCP was an attempt to establish a system of technical assistance in the semi-arid North-East that could help new settlers to integrate and start to produce competitively.

30. **Project strategy.** The DHCP strategy was based on an approach to the development of rural production at four levels. At the base level, the priority was the enhancement of beneficiary families' awareness of their context, opportunities and participatory skills to enable them to identify, prioritize and channel social and productive demands. The second level aimed to improve income levels and consolidate sustainable development of beneficiaries of agrarian reform settlements and neighbouring family farmers. The third level promoted integrated social and economic development of municipal territories in cooperation with municipal governments. The fourth level aimed to generate policies and proposals for sustainable development of the semi-arid North-East.<sup>23</sup> The design of the project was based on (i) systematic education and training of beneficiaries, (ii) privatization of support services through competitive selection, (iii) systematic training and quality control of contracted service organizations, (iv) demand-led preparation of sustainable agricultural and micro-enterprise productive projects by beneficiaries; (v) financing of beneficiaries' initiatives through existing credit

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<sup>23</sup> IFAD, 1999; para. 50.

programmes; (vi) coordination with municipal rural development councils and (vii) implementation of an evaluation system based in the MEEPF Studies and Evaluation Nucleus.<sup>24</sup>

### Box 2. Archbishop Dom Hélder Câmara

The Steering Committee of the Sustainable Development Project for Agrarian Reform Settlements in the Semi-Arid North-East adopted the name **Dom Hélder Câmara Project** in appreciation of the unflinching and outspoken advocate of social and human development in Brazil, Archbishop Dom Hélder Câmara, just after his death in 1999. Dom Hélder Câmara was a charismatic Catholic Church leader born in 1909 in Fortaleza, in the state of Ceará. As Archbishop of Olinda and Recife from 1964 to 1985, he dedicated his energies to the poor, stood up for non-violent civil resistance against injustice and called for education, dialogue and peaceful cooperation. During the 1970s, Dom Hélder was a vociferous critic of Brazil's conservative Roman Catholic establishment. His outspoken criticism of the military regime's human rights violations won him international renown. He died in 1999 in Recife.



31. **Project area.** The original project area encompassed 60 municipalities characterized by high concentrations of agrarian reform settlements and rural poverty grouped in 16 clusters in the states of Ceará (6 clusters), Pernambuco (4), Paraíba (2), Rio Grande do Norte (2) and Sertão Sergipano (2). In response to a request from the Government in June 2003, the semi-arid territory of São João in the state of Piauí was included.<sup>25</sup> With this extension, DHCP intended to generate impacts in a third of the 900,000 km<sup>2</sup> of the semi-arid North-East, an area subject to cyclical severe droughts at intervals of seven to ten years; incidence varies in states and municipalities because of the many different microclimates, river courses and topographical variations. Annual rain distribution makes for a six-month to seven-month dry season. A large portion of the area comprises low-quality soils and the region is vulnerable to climate shocks.

32. **Target population.** The project's expected direct beneficiaries were 15,000 families in federal agrarian reform settlements, including neighbouring state agrarian beneficiaries and *agricultores familiares* (family farmers). The extension of the project area to the territory of Piauí did not affect overall coverage. The proposal for inclusion of the São João territory was to substitute beneficiaries from the original five states with the same number of beneficiaries from Piauí. The expected distribution of direct beneficiaries was 10,500 federal (70 per cent) and 2,250 state (15 per cent) agrarian reform beneficiaries, and 2,250 farmers (15 per cent) in neighbouring settlements. Of the 15,000 planned beneficiary families, 2,700 (18 per cent) were expected to be headed by women. The project was planned to benefit directly another 2,200 women running agricultural and small enterprises.

33. **Project objective.** In the DHCP Appraisal Report, the goal was sustainable improvement of social and economic conditions among poor agrarian reform beneficiaries and neighbouring family farmers in North-East region. The general objective was to improve the capabilities and increase beneficiary families' involvement in local markets to enable them to manage agriculture, marketing, micro-enterprises and small-scale agro-industry and production more efficiently and sustainably, enabling them to use standard financial services. DHCP had three components, with an additional component for project management:

- **Capacity and organization.** This focused on the training and organization of beneficiaries in aspects such as gender, complemented by a non-reimbursable social investment fund. This component was allocated 10 per cent of the project base cost;

<sup>24</sup> Ibid, para. 52. When MEEPF was dissolved, the Studies and Evaluation Nucleus became a research centre with limited involvement in evaluation.

<sup>25</sup> This was reflected in an amendment to the Loan Agreement following a proposal submitted to the IFAD President on 28 November 2003.

- **Production and commercialization.** This supported production and marketing development among beneficiaries, complemented by a non-refundable production investment fund. This component was allocated 32 per cent of the project base cost;
- **Financial services.** This financed activities with a view to promoting access to and efficient use of *Banco do Nordeste* (BNB) credit lines and the launch of savings-and-loan cooperatives. This component was allocated 45 per cent of the total project base cost (see paragraph 38); and
- **Project management.** This component was allocated 13 per cent of total project base cost.

34. **Changes during design.** In 2003, DHCP established a more refined implementation concept based on a multi-dimensional approach to poverty reduction that included human, social and political dimensions to replace the initial production and marketing orientation; the strategy and rationale of the original design were maintained. The essential features of the new concept were (i) enhancement of active and informed democratic participation and bottom-up decision-making, (ii) promotion of cooperation among NGOs and trade unions working with the rural poor and (iii) promotion of harmonious relationship between people and the environment of the semi-arid North-East. The hierarchy of DHCP objectives was reformulated in the 2005–2010 logical framework as follows:

- Goal: consolidation of a cohabitation culture with semi-arid conditions, assuring a dignified life for rural people with the support of converging public policies; and
- Objective: families in rural settlements and communities attended by the project to improve their economic and social conditions with consideration for gender equity, age and ethnic minorities, converting themselves into models for sustainable human development.

35. The goal and objective were combined with six specific objectives that captured the complementary dimensions of poverty targeted by DHCP:

- Families in targeted settlements and communities are empowered; they are linked to other agents and organized into autonomous collective organizations, with continued technical assistance from strengthened local institutions and service providers;
- Families in targeted settlements and communities improve production systems in their economic, social, ecological and cultural dimensions, with continued technical assistance from strengthened local institutions and service providers;
- Families in targeted settlements and communities harvest and manage water efficiently, with continued technical assistance from strengthened local institutions and service providers;
- Adults, young people and children in project communities improve their education in accordance with the cultural, environmental and social conditions of the region;
- Organized groups of project communities improve their access to credit and financial management and count on the services of improved technical institutions; and
- DHCP systematizes and disseminates knowledge gained in the different learning processes.

36. This reformulation of objectives and refinement of the implementation strategy did not change the characteristics or scope of the loan agreement approved by the IFAD Executive Board. The strategy and instruments of the project, its characteristics and the numbers of people targeted remained unchanged, and so the modifications never resulted in formal amendments to the loan agreement and did not require approval by the IFAD Executive Board.

37. **Project financing.** IFAD provided a loan of SDR 17.8 million (US\$25.0 million at the time of approval) at ordinary lending terms. The contribution of the Government amounted to US\$25.5 million.<sup>26</sup> If beneficiaries' contributions are included, the total project budget is US\$53.0 million.

38. The Government placed a credit line of US\$40.0 million from BNB at the disposal of the project. The intention was that the project would facilitate the channelling of funds up to this amount, but the figure was not an objective to be reached. IFAD classified DHCP as a credit project, but this did not reflect its true nature.

39. No cofinancers were included at project approval, but the PMU managed to mobilize further funds during implementation. CHF2.0 million (US\$1.78 million) was received from the Syngenta Foundation, and US\$6.2 million from the Global Environment Facility (GEF). The project established a partnership with the Petrobras oil company to implement its social responsibility programme for R\$5.5 billion.<sup>27</sup>

40. **Project implementation modalities.** In the early phases, the government counterpart for DHCP was INCRA at the MDA. After 2003, the DHCP counterpart became the newly established SDT. The PMU, based in Recife, included the project coordinator, three component coordinators and those responsible for administration, planning and M&E. At the state level, local supervision units (LSUs) were formed.

41. **Key implementation dates.** The loan to the Government for financing DHCP was approved by the Executive Board in December 1998. According to the original loan agreement, the project was expected to close in June 2007, but after approval of two extensions the actual loan closing date is December 2010. A summary of DHCP implementation dates is given at the beginning of this report in the Project at a Glance table.

42. **Project supervision.** A steering committee of representatives of the MDA, IFAD and the other stakeholders was responsible for regular financial and operational supervision. In DHCP, IFAD adopted the pilot modality of direct supervision. The United Nations Office for Project Services (UNOPS) was, however, contracted until 2009 to supervise compliance with administrative and fiduciary aspects of the loan contract.

43. **Project planning, monitoring and evaluation.** DHCP distinguished itself by institutionalizing bottom-up participation in planning through its territorial committees, which consist of representatives of communities, trade unions, technical service providers, municipal councils and DHCP; they take decisions each year on proposals to be submitted for financing. This modality institutionalized the responsibility of all parties for planning and implementation. The M&E function was included in the tasks of social mobilizers, territorial committees and the PMU; the latter had a staff member for planning and M&E.

#### IV. IMPLEMENTATION RESULTS

44. **Project evolution.** There have been three phases in the implementation of DHCP: (i) introductory: 2000–2002; (ii) initiation: 2003–2005; and (iii) full implementation: 2005–2010.

45. The introductory phase was characterized by challenges in transforming the proposed strategy into actions. DHCP was required to establish partnerships with state authorities, NGOs and civil society organizations such as social movements and trade unions. Political and civil movements in the

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<sup>26</sup> See table 1 in appendix 5.

<sup>27</sup> For example in Sombras Grandes, Petrobras offered to refurbish oil wells and donated the basic infrastructure to enable communities to build and maintain their own water systems.

North-East have historically opposed cooperation with states and municipalities because of the problematic and often conflicting implementation of the agrarian reform process. Some of these movements, for example MST, did not welcome the opportunity offered by DHCP to cooperate with a development initiative financed by the state or allow resources to be managed by grassroots organizations.

46. The years from 2003 to 2005 saw the conceptual maturation of the DHCP strategy and the start of activities. The period was characterized by the extension from the original target group of agricultural reform settlements to neighbouring poor rural communities, inclusion of the state of Piauí in the target area and development of synergies between DHCP and the increasing number of public policies directed to the rural poor. Brazil's political and socio-economic policies increased support for family farmers. The highly polarized political relationships of the 1990s slowly began to give way to less confrontational and more pragmatic attitudes. The election of President Lula in late 2002 and his re-election in late 2006 reinforced and refined the DHCP approach in an environment characterized by steady economic growth and increased support for rural poverty reduction.

47. The years after 2005 saw DHCP clarify its strategy and increase its influence over its implementing partners. In this period the project directed its efforts to full application of its strategy for the benefit of the target group. In early 2005, DHCP reformulated the hierarchy of objectives in the logframe (see paragraphs 34 and 35) to reflect more accurately the project strategy and multi-dimensional approach to poverty reduction, and expanded its target area beyond agrarian reform settlements to neighbouring communities and territories. It introduced new activities in response to new demands from the Government and private actors and devoted greater attention to the search for international partners interested in supporting and cofinancing activities in line with DHCP principles.

**Table 1. Number of DHCP Beneficiary Families Per Year**

State	Territory	Years							
		2002	2003	2004	2005	2006	2007	2008	2009
Ceará	Central	1,102	1,087	1,145	1,692	1,692	1,692	1,677	1,677
	Inhamuns	-	-	-	-	879	879	1,325	1,376
Paraíba	Cariri	1,200	1,166	1,084	1,797	1,797	1,797	1,803	1,843
Pernambuco	Araripe	-	-	-	-	1,101	1,342	1,442	1,496
	Pajeú	907	1,361	1,365	1,986	1,986	1,986	1,852	1,875
Piauí	São João	-	-	722	840	840	840	945	947
Rio Grande	Apodi	731	1,194	1,221	1,844	1,871	1,972	2,042	2,050
Sergipe	Sertão Sergipano	286	653	636	903	935	935	1,087	1,083
Other families*									2,703
<b>TOTAL</b>		<b>4,226</b>	<b>5,461</b>	<b>6,173</b>	<b>9,062</b>	<b>11,101</b>	<b>11,443</b>	<b>12,173</b>	<b>15,050</b>

\* Families participating in family agriculture fairs organized by DHCP.

Source: DHCP.

48. On the whole, the substantial investment in development and maturation of the DHCP approach bore fruit during full-scale implementation in 2005–2010, as reflected in the changes in beneficiary numbers and project outlays per year. According to PMU data, DHCP reached 15,000 families (see table 1), 100 per cent of design target; it worked with 346 associations in 336 rural reform settlements and communities in 77 municipalities of eight territories in six States.

49. **Financial implementation.** The original loan agreement was modified in 2006 (see appendix 6, table 1): three budget lines – investment, equipment and technical assistance – were reduced in favour of training and basic education, field support services and project operating costs. At the end of 2009, 97 per cent of the SDR17.8 million IFAD loan had been utilized (see table 2).

**Table 2. IFAD Loan Use up to End of 2009**

Category	Allocated	Disbursed	
	SDR	SDR	%
I. Investment programmes	1,260,000	1,219,815	96.8
II. Machinery, vehicles and equipment	190,000	168,556	88.7
III. Training and basic education	1,410,000	1,343,603	95.3
IV. Field-support services	11,524,000	11,602,473	100.7
V. Technical assistance studies/audit	1,011,000	882,408	87.3
VI. Operating costs	2,105,000	2,115,784	100.5
Not allocated	300,000	0.0	0.0
<b>Total</b>	<b>17,800,000</b>	<b>17,332,639</b>	<b>97.37</b>

Sources: DHCP, 2010; *Relatório Físico-Financeiro, Ações Desenvolvidas*, 2009.

50. DHCP mobilized additional resources of R\$70 million, 62.5 per cent of MDA/IFAD financing (see paragraph 39). With regard to DHCP leverage capacity, in 2005–2008 it mobilized additional resources corresponding to 83 per cent of the amount invested with its own funds; these funds were administered by the contributors, not DHCP, which shared responsibility for implementation of the activities financed. DHCP included the combined contributions of beneficiaries to their projects, valued at the end of 2009 at R\$2.8 million (US\$1.65 million), which corresponds to an average of US\$4,765 per association.

51. The evolution of DHCP financial expenditures (see table 3) reflects the expansion of activities from 2003, which coincided with the results of social mobilization activities at the grassroots level, expansion of the drinking water tank programme financed by the Government with *Articulacao do Semi Arido Brasileiro* (ASA) as the main implementing partner, and the results of training and education. It was the result of the large initial investment in social organization and capacity-building, increased support for productive activities through the Investment Fund for Social and Productive Projects (FISP) and, from 2004, the demonstration units.

**Table 3. Financial Expenditures by Component, 2001–2008 (R\$)**

Component	Years								
	2001	2002	2003	2004	2005	2006	2007	2008	Total
I. Capacity and organization	290	1,500	4,155	4,618	4,705	2,920	4,714	4,242	27,145
II. Production and commercialization	192	463	1,656	4,796	5,446	5,209	6,307	6,631	30,719
III. Financial services*	49	120	207	305	212	216	341	337	1,786
<b>Total</b>	<b>531</b>	<b>2,083</b>	<b>6,018</b>	<b>9,718</b>	<b>10,383</b>	<b>8,345</b>	<b>11,362</b>	<b>11,210</b>	<b>59,651</b>

\* Technical assistance delivered by DHCP, excluding credit provided by BNB to beneficiaries.

Source: DHCP.

52. **Components.** DHCP continued to use the three components listed in paragraph 33 for financial accounting purposes. After the reorganization of project objectives in the 2005 logframe, most documents such as the self-assessment and supervision reports used a classification of project activities based on five inter-related components: (i) organization for social development; (ii) production and commercialization; (iii) financial services; (iv) education and training; and (v) gender, age and ethnicity. The Sertão project financed by GEF and the Elo project financed by Syngenta are usually analysed separately. As anticipated in the Approach Paper, this evaluation uses the new classification to analyse project implementation results.

### A. Organization for Social Development

53. The activities under this component aimed to: (i) enhance the role of beneficiaries in project implementation and improve their knowledge, understanding and monitoring of DHCP activities; (ii) create opportunities for reflection, discussion and social control of DHCP activities; (iii) support

formal and informal organizations of beneficiaries, and promote their participation in the project and the formulation of public policies; and (iv) improve the leadership functions and capabilities of social mobilizers in the coordination of social development processes.

54. DHCP social mobilization was implemented according to contracts with civil society organizations: these were mainly trade unions, which were responsible for selecting and training teams of social mobilizers, supported by DHCP. In 2009–2010, when DHCP was being implemented at full capacity, the project worked through a network of 113 social mobilizers, of whom 97 lived and operated in the communities reached by DHCP.

55. Social mobilizers were responsible for: (i) motivating community members to participate and envisage their own development; (ii) providing information about opportunities offered by government programmes; (iii) helping to organize initiatives for interest groups such as families combining to implement individual or collective activities; (iv) promoting partnerships among grassroots and other organizations such as technical assistance providers; and (v) supervising activities and monitoring correct use of DHCP financial resources. Social mobilizers supported 346 grassroots associations; on average, each social mobilizer worked with 3.5 communities.

56. Besides actions at the community level, this component included actions to create and develop the Territorial Committees in each DHCP territory, which included representatives of beneficiaries, DHCP and partners. The committees were a forum for discussion of development plans and participatory evaluation of progress and activities being implemented.

## **B. Development of Production and Commercialization**

57. DHCP promoted a holistic agro-ecological production concept promoting a harmonious relationship between producers and the environment. It adopted the slogan “*Conviver com o semi-árido*” to indicate that it is possible to coexist with the scarce water and limited agricultural potential of the semi-arid North-East and to protect the *caatinga*<sup>28</sup> while using the potentials for agricultural development and income generation. The following activities were implemented under the development of production and commercialization component: (i) technical assistance for beneficiaries; (ii) setting up of demonstration units; (iii) financing of small-scale production or social investments; and (iv) support for commercialization of farm produce. An additional instrument to foster production systems in family farms was the facilitation of access to credit (see paragraphs 66 to 69).

58. **Technical assistance.** This was crucial for implementation of the DHCP strategy and absorbed a large share of the financial resources. Technical assistance was provided by various NGOs and organizations such as religious movements, trade unions and universities contracted by DHCP. Over its lifetime, the project contracted 65 NGOs for delivery of technical assistance, extension and advisory services and involved them in capacity-building initiatives in a range of technical areas such as horticulture and preparation of investment proposals, and in social issues such as gender balance, age and ethnicity. If technical specialists – for example in irrigation or livestock rearing – were not available in a given NGO, DHCP recruited them to work in cooperation with the NGO technicians, which enabled technical partners to focus on activities in which they were confident and ensured that good-quality services were provided.

59. At the start of implementation, technical assistance providers in some territories were replaced because of under-performance. The initial years of DHCP were also characterized by lack of financial resources as a result of delayed transfers from the MDA, which affected the capacity of the project to contract technical assistance providers. This situation improved significantly after 2005, and from

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<sup>28</sup> *Caatinga*, the predominant vegetation of the semi-arid region in North-East, consists of varied tropical thorn scrub ranging from tall scrub forests to savannas.

2006 all contracts between DHCP and NGOs were annually renewable, which ensured continuity in the implementation of activities and had positive implications for the performance of contracted service providers.

60. The distinguishing element of DHCP technical assistance was its structured cooperation with grassroots organizations and social mobilizers. The model of technical assistance promoted by DHCP combined traditional objectives such as enhancement of technical and marketing capacity with broader objectives such as promoting access to public services and development of producers' organizations. Technical assistance focused on the following objectives: (i) promote the diversification of production, productivity and food consumption among beneficiary families through demonstration units or exchanges; (ii) increase farmers' participation in markets, mainly by creating and enhancing municipal fairs; (iii) assist farmers in the use of water sources and installation of water infrastructure; (iv) help communities to identify possible demonstration units and projects to be funded by FISP, develop technical proposals and provide technical assistance for implementation; and (v) prepare investment projects to be presented to BNB for funding through PRONAF, and assist beneficiaries in implementation after loan approval.

61. **Demonstration units.** These were conceived by DHCP as the instrument for capacity-building and dissemination of new production practices and technologies. The subjects of demonstrations were identified through consultation with communities, beneficiary groups and technical assistance partners. The proposals of demonstration units were reviewed by the Territorial Committee and – once approved – the funds were transferred to beneficiaries' associations for the purchase of inputs and implementation. Most of the demonstrations focused on food security and agricultural income generation (see table 4); the projects financed included production of honey, goat and sheep cheese, fodder, irrigation, chicken, vegetables, fruit and fruit pulp, fish, sweets, grain and pigs.

**Table 4. Demonstration Units (2004–2009)**

Description	Number	Families Involved	Total Cost (R\$)	Cost per Family
Water security (underground dams)	5	22	17,026	773.9
Food security and agricultural income generation	348	3,463	2,120,228	612.2
Non-agricultural income generation	11	108	42,773	396.0
Environment	8	60	40,556	675.9
Total	372	3,653	2,220,585	607.9

62. **Investment Fund for Social and Productive Project.** The objective of FISP was to cofinance production and social initiatives submitted by beneficiaries' organizations, with the support of technical assistance partners. The DHCP design proposed the establishment of two funds, one for financing social projects and the other for production-oriented projects. In 2003, the two funds were merged to give equal importance to the productive and the social development dimension. The investment proposals were evaluated by the Territorial Committee to verify their feasibility and compliance with the requirements, including the counterpart contribution from beneficiaries.<sup>29</sup> In 2005, a line with special conditions for women's groups was created in the "production" category; 58 projects were financed in response to requests from women's groups. Overall, DHCP financed 511 projects under FISP, over 50 per cent of which were productive in nature. Of the total amount invested under FISP, 20.6 per cent came from beneficiaries' contributions, mainly in kind, and 18.4 per cent from third parties such as municipalities.

63. The FISP social activities mainly financed water tanks in individual houses; productive activities included wells and underground dams for water harvesting and conservation for productive uses and beekeeping, animal husbandry and vegetable production. The composition of FISP investments changed over time: initially, social investments predominated, but productive investments

<sup>29</sup> Other requirements included the maximum cost per family of each investment – US\$450 for productive investments and US\$200 for social projects.

became prevalent during the later phases of the project. Overall, 61 per cent of FISP investments were allocated to food security and income generation, 27.5 per cent to water supply and 9.5 per cent to community crèches, schools and social centres.

**Table 5. Projects Financed Under FISP, 2002–2009**

Type	Number of Projects	Total Cost (R\$)	Beneficiary Families
Social	191	5,001,393	5,761
Productive/women	58	1,348,781	996
Productive	262	7,524,879	4,970
<b>Total</b>	<b>511</b>	<b>13,875,057</b>	<b>11,727</b>

Source: DHCP.

64. **Exchanges of experience.** DHCP organized 180 exchange initiatives involving 3,800 family farmers from different communities. The exchanges focused on a variety of topics such as beekeeping, raising chickens, forage conservation and goat husbandry and were universally regarded as an effective instrument for learning and cross-fertilization of experiences. The “see and copy” approach was complemented with learning materials produced by DHCP such as brochures and videos. Exchanges also served to disseminate knowledge to third parties such as municipalities and NGOs.

65. **Support for commercialization.** In parallel with helping farm families to expand and diversify production, DHCP assisted family farms in creating opportunities for access to markets. Two sales channels were created or facilitated by DHCP: (i) the “institutional” markets created under PAA implemented by CONAB, which consisted in buying up to 30 per cent of the food acquired from family farms for school snacks; and (ii) the creation of agro-ecological markets in nearby towns, usually held on the same day as regular weekly markets. Between 2002 and 2010, 24 fairs were established and 12 existing agricultural fairs were expanded with an area dedicated to products from family farms. According to DHCP data, daily turnover at these fairs averaged R\$1,300.

### C. Financial Services Development

66. **Access to PRONAF credit.** In the DHCP design and loan agreement the Government pledged credit of up to US\$40 million for provision of PRONAF credit to DHCP target groups, on condition that the project mobilized beneficiaries and viable investment proposals. In the seven years to October 2009, BNB disbursed R\$43 million (US\$25 million) in 9,780 credit operations promoted by DHCP, compared with the original estimate of 17,000. The project did not, therefore, succeed in reaching the design target: the main reason for this was indebtedness among DHCP target groups, which particularly affected the agricultural reform settlers who participated in the *Crédito Fundiario* land access programme and those who accessed PRONAF loans before DHCP.

67. By training professionals in NGOs and credit cooperatives, DHCP addressed a major bottleneck in the delivery system for PRONAF loans – lack of qualified personnel to help clients to formulate acceptable credit proposals. The grassroots structures established with the help of DHCP enabled its members to access PRONAF credit and thus consolidate initial investments made through FISP and demonstration units; DHCP also established institutional partnerships to foster the channelling of PRONAF loans to family agriculture in the North-East.

68. **Support for bottom-up rural financial intermediation.** DHCP facilitated the provision of bottom-up financial services by supporting the strengthening of the *Cooperativa de Crédito Rural e Economia Solidária do Pajeú* (ECOSOL), a savings-and-loan (S&L) cooperative with financial resources, and with specialized technical advice for setting up the system and technical training for credit officials; another S&L cooperative was established in 2003, and a further four after 2007. The project channelled rotating funds to clients of the cooperatives. The system generated encouraging results, as shown by the fact that BNB qualified the cooperative to channel PRONAF loans to its

clients: R\$2 million was spent on this component, which had given 1,407 members access to credit by the end of 2009.

69. **Policy dialogue.** The project also promoted PRONAF credit lines targeting women and young people by creating working groups on credit, gender and generation in each supported territory. DHCP also influenced the establishment of such new credit lines by BNB.

#### D. Education and Training

70. **Context-specific approach.** DHCP was conceived as a project for capacity-building and technical assistance at the grassroots level to enable rural families to understand their environment and improve their living conditions. Context-related educational activities for children, schools, young leaders and professionals, teachers, farmers and adults were undertaken with 19 private institutions; many were undertaken in partnership with municipalities and state institutions:

- Support for contextualizing teaching in schools. In 2004 and 2005, the “Learn to live in the semi-arid zone” project taught 2,164 teachers in 861 schools with 63,632 children how to apply the official Operational Guidelines for Rural Education. In Piauí, DHCP supported the production and distribution of 35,000 textbooks and 500 videos contextualized for the cultural and environmental characteristics of the semi-arid zone. Another project of contextual education for children was initiated in 2009;
- Adult literacy. DHCP applied the method employed by the *Grupo de Estudos Sobre Educação, Metodologia da Pesquisa e Ação* (GEEMPA) in a literacy campaign for young and adult farmers (see also the section on innovation). The programmes taught participants to read and write in three months; in 2004–2008 it reached 4,968 participants. It is estimated that the learning objectives were fully achieved by 4,380 participants; 392 teachers were trained in this method, which incorporates incentives for teachers to achieve the objectives. Strict participation requirements restrained enrolment, and the drop-out rate was close to zero; the cost of R\$196 per pupil was moderate;
- Support for *quilombola* communities.<sup>30</sup> The project trained 12 teachers and provided specific training and education opportunities for 460 students in 2008–2009. It supported *quilombola* culture in 25 communities through art-based events in Sertão Sergipano and São João do Piauí. The project led to follow-up initiatives to strengthen Afro-Brazilian culture by establishing institutions, communities groups of young people, including ten *quilombola* communities;
- Promoting children’s reading in communities. This was carried out through an initiative aimed at the creation of a literature with affirmative cultural contents called *Arca das Letras*; 12 teachers were trained and 160 children taught about cultural identity, ethnicity and the environment. Overall, 542 *Arca das Letras* were installed in the eight territories covered by the project;
- Non-formal training of farmers in communities. The programme *Escola Família Agrícola*, which applied the *alternância pedagógica* (half classroom, half applied learning) method, was undertaken in *quilombola* communities of São João do Piauí and in the territories of Inhamuns and Sertão Central. The programme trained young farmers and teachers in rural schools in the municipal network of Tamboril in Ceará: 38 students finished the training, 24 of whom were from *quilombola* communities; and
- Formal technical training of young farmers and leaders. A technical training programme for young farmers in Apodi was completed by 170 participants, of whom 141 are active today in organizations linked to government programmes. A further 41 participants finished the training in mid-2009, and 65 were registered to start. DHCP partnered with

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<sup>30</sup> Communities whose inhabitants are descendants of slaves who escaped from slave plantations, which existed in Brazil until 1888.

the state university of Campinas to train 35 farmers and local leaders in Cariri territory in support of family agriculture and sustainable development.

### E. Gender, Age and Ethnicity

71. DHCP mainstreamed gender, age and ethnicity issues as cross-cutting matters in all its components. The main objectives were to promote the participation of men and women in project actions, increase the role of young people and promote the development of *quilombola* communities.

72. **Gender.** With regard to gender, DHCP aimed to: (i) support the development of productive groups of women and girls; (ii) encourage the development of productive projects financed by FISP through the establishment of the FISP-*Mulher* programme; (iii) improve organizations for collective action such as women's groups; (iv) expand the participation of women in markets; (v) promote women's access to technical assistance; (vi) promote women's participation in decision-making positions; (vii) improve women's access to credit through PRONAF *Mulher* loans; and (viii) promote the provision of personal documentation for women. DHCP worked with five specialized NGOs that also trained other technical assistance providers.

73. Implementation results can be summarized in the following: (i) 14,257 women obtained personal documents such as identity cards in the five project territories up to 2004; (ii) 50 out of 346 women's associations were supported; those producing vegetables were also helped to sell their products in agro-ecological fairs; (iii) in numerous meetings, DHCP raised awareness of violence against women and measures to reduce it, and promoted the participation of women in discussions, decisions and leadership posts in institutions; (iv) FISP-*Mulher* financed 58 projects, 18 per cent of all production projects; (v) 36 per cent of the PRONAF credit proposal approved by BNB went to women;<sup>31</sup> and (vi) gender-related communication activities such as the three community radio stations and the ten editions of a community newsletter in Piauí region included young women in cultural and dissemination activities.

74. **Age.** The project sought partnerships to extend its message of appreciating and living in the semi-arid area to infants, schools and young people. Activities included: (i) organizing meetings of young people in all municipalities and presenting demands from youth conferences in the territory of Apodi; (ii) publication of 6,000 copies of the information *Journal Espãco Jovem*; (iii) publication of 2,000 copies of the brochure *Sertão de Jovens* on topics of the semi-arid zone; (iv) ten monitoring meetings organized by the Territorial Commissions for Credit Policies to discuss young people's production projects and eight meetings in different territories organized by the Territorial Commission for Public Policies to discuss activities; and (v) joining forces with agro-technical schools in three territories to include young people in training, with links to local trade unions.

75. **Ethnicity.** Through a specialized NGO, DHCP reached ten *quilombola* communities, particularly in Sertão de Pajeú with activities for: (i) awareness-raising and information about rights and opportunities; (ii) access to opportunities available under government development policies; (iii) participation in International Women's Day for 150 *quilombola* women; (iv) training in community leadership and project management for 30 representatives of rural *quilombola* communities; (v) courses in theatre technique for 30 young people to enable them to pass on knowledge about human and citizenship rights; (vi) training for 20 women in the applicability of the 2006 federal law to address domestic violence, and a corresponding campaign undertaken by ten young people; and (vii) participation of ten communities in the national day of *Consciência Negra* and the national day against domestic violence against women, in which 150 people participated.

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<sup>31</sup> This is counted for 2004–2009, because before 2004 PRONAF did not differentiate lending statistics by gender.

76. Other production-related activities in *quilombola* communities were often relatively isolated initiatives implemented in contexts where improved social cohesion is the precondition for such activities. DHCP intervention in these communities was negatively affected by *assistencialismo* – a culture of dependency – created by the proliferation of support programmes offered to these communities.

#### **F. Sertão, Cofinanced by the Global Environment Facility**

77. The grant agreement between IFAD and the Government of Brazil for implementation of the Sustainable Land Management in the Semi-Arid Sertão Project was approved in late 2006 with a budget of US\$15.5 million, of which US\$5.8 million was provided by GEF through a grant and US\$10 million were counterpart funds from the Government. Sertão, which is one of 32 ongoing projects financed by GEF in Brazil, builds on the strategy adopted by DHCP, to which it added a cross-cutting environmental dimension aimed at generating a model for tackling the causes and negative impacts of land degradation on the *caatinga* ecosystem through sustainable land use. The project, which started in late 2007, is a fully-fledged project with components active in six territories. So far, DHCP has contracted 15 partner organizations to implement activities in experimental *caatinga* management, biological production of cotton, vegetables and fruit and land rehabilitation. During 2009, 2,706 families participated in GEF-Sertão; many were already involved in DHCP. The project financed a range of activities such as experimental learning and environmental incentive activities, introduction of environmental education in schools, biological modes of production, monitoring of environmental effects in geo-referenced territories, gas emission inventories of biogas digesters and experimental treatment of used-water for application in vegetable production.

#### **G. The Elo Project, Cofinanced by the Syngenta Foundation**

78. The objective of the Elo project, financed by the Syngenta Foundation, was to create employment opportunities in rural areas through access to appropriate production technologies, support for the processing of agro-products, access to markets and certification of products.<sup>32</sup> The project, which started in 2005 and ended in 2009, promoted the establishment of 19 agro-production and processing facilities for honey, cashew nuts, fruit pulp, poultry, fish, sheep and goat products, sugar cane and sweets, and two handicraft workshops; it also helped to introduce eight product brands. Elo facilitated the installation of ten agro-ecological market places (see paragraph 65) and improved the marketing capacity of producers' groups. As at the time of the evaluation, 908 farmer families benefited from this project.

### **V. PROJECT PERFORMANCE**

#### **A. Relevance**

79. **Alignment with IFAD's country strategy.** DHCP was aligned with two of the four thrusts in the 1997 COSOP – development of family farmers and focus on the North-East – but it did not include explicit reference to policy dialogue or land access (see paragraph 26). DHCP was aligned with the strategic objectives in the 2008 RB-COSOP, which indicates that the experience of DHCP was instrumental in the development of the RB-COSOP. DHCP remains the only IFAD-financed project whose loan is administered at the federal level, in contrast with the provision of the 2008 RB-COSOP (see paragraph 28).

80. **Alignment and synergies with Brazil's policies.** The design of DHCP was largely consistent with the development priorities of the Government of Brazil, which included support for agrarian reform settlements through agricultural technical assistance, credit and other services. The design was also consistent with the identification of North-East as a priority area because of the high

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<sup>32</sup> For more information on Elo project see: <http://www.syngentafoundation.org/index.cfm?pageID=361>.

concentration of poverty. DHCP went beyond a simple alignment with government policies and priorities in that it saw itself as an articulator and facilitator of public policies focusing on poor farming families. Some programmes, such as PRONAF credit, were provided directly by DHCP; other public programmes were channelled through DHCP. In the early phases of implementation, the project established a partnership with the *Programa um milhão de cisternas* (P1MC; One Million Tanks Programme) implemented by ASA for the Ministry of Social Development, and with the *Programa Uma Terra e Duas Aguas* financed mainly by Petrobras. DHCP cooperated with: (i) the *Luz para Todos* programme aimed at connecting rural communities to electricity; (ii) the *Bolsa Família* conditional cash transfer programme; (iii) the *Garantía Safra* insurance modality that guarantees a minimum income to farmers in case of loss of harvest because of drought or floods; (iv) the PAA (see paragraph 65); (v) the Petrobra *Programa Molhar a Terra*, a multiple-intervention programme moulded by DHCP methods; and (vi) the *Programa Nacional de Alimentação Escolar*, which transfers federal resources for school snacks to states and municipalities.

**81. Relevance of the strategy.** DHCP was an effort by the Government of Brazil and IFAD to respond to the “incompleteness” that characterized the agrarian reform process in Brazil and Latin America (see appendix 5). There was “incompleteness” because when land was distributed, beneficiaries were not given the means to compete, with further negative consequences on their poverty. The DHCP strategy is based on the premise that the format of socio-political relations determines the conditions of poverty and environmental degradation in the semi-arid North-East. To reverse this situation, DHCP established a working relationship with major processes and actors in the agrarian reform context: (i) beneficiaries and their organizations; (ii) rural trade unions active in the area that became responsible for social mobilization and control over the use of project resources; and (iii) technical assistance providers working in the area, who were offered an opportunity to specialize. The strategy aimed at the progressive enhancement of beneficiaries’ individual and collective capabilities with a view to promoting the full exercise of citizenship, improving the quality of life and creating the conditions needed to develop autonomous organizations for accessing technical assistance services and government development policies. The components of DHCP constituted a set of actions channelled towards the empowerment of targeted beneficiaries and the institutional development of partners. The social dimension was given the highest priority; the economic dimension, including agricultural marketing, was considered a fundamental means to the same end, at the same level as environmental conservation and enhancement of local culture.

**82. Pragmatic and differentiated methods, including those for the empowerment of women.** At the time of project design, many agrarian reform settlers had little knowledge about their new social environment; it is not surprising that family “individualism” tended to prevail.<sup>33</sup> DHCP did not attempt to change cultural or social preferences: it accepted these preferences and built on them by promoting the establishment of “interest groups” of individuals wishing to implement an activity in existing or newly formed associations. By doing this, DHCP succeeded in working with different segments of society in a differentiated manner. It adopted a pragmatic approach to the empowerment of rural women by identifying their individual needs and capacities, hence acting beyond the aggregate concept of family or household, and gathering them in interest group focused on production or income-generating activities. With regard to service providers, the relevance of the DHCP strategy is appreciated because of its capacity to maximize synergies among social and technical functions and because of the importance given to differentiating the roles of each partner. A major merit of DHCP, thanks also to the insistence of IFAD, was to differentiate the functions of social mobilization and technical assistance in serving the target population.<sup>34</sup>

<sup>33</sup> The combative political left fought for frequently authoritarian collective approaches to owning and working land; many of these experiments failed. DHCP entrusted the radical MST political movement with the delivery of technical assistance in Sergipe; it achieved inadequate results and was replaced.

<sup>34</sup> In similar rural development projects in other countries, NGOs are entrusted with social mobilization and technical assistance functions; this was also the case in DHCP up to 2004. After 2004, the project clearly separated these two roles. Social movements were responsible for social mobilization, and the NGOs for technical assistance.

83. Overall, the systematic and differentiated approach of DHCP has been an adequate response to the needs of poor farming families for information, advice, contacts, financing, inputs and profitable opportunities to raise their livelihoods out of poverty. With regard to the investments financed with project resources, the water infrastructures built by the project responded to a particular need among the rural poor – control over water: this was one of the main socio-political instruments used by former landlords to control the rural population and keep them dependent. The project was also highly relevant to the needs of the rural poor in terms of advancement in education and learning.<sup>35</sup>

84. **Quality of the design.** Notwithstanding the overall relevance of the DHCP strategy and actions, some of the difficulties faced during implementation can be related to some features of project design. The inclusion of six states in the project area, although justifiable in view of the project objectives, increased the complexity of implementation, supervision and monitoring in that it required additional work in planning and negotiation with state governments and civil society organizations.

85. In line with the provision of the 1997 COSOP, the DHCP loan was administered by the Federal Government. The distances between the institutions responsible for loan management and the places where the project was implemented meant that the PMU had a largely decentralized operational modality: the PMU was not mainstreamed in a government institution, which resulted in considerable freedom from bureaucratic restrictions and allowed it to engage in a range of partnerships and to test new mechanisms for supporting family farms. A federal ministry is, however, a policy-setting not an implementing agency. The negative side of a project managed at the federal level was that strategic orientation by the Steering Committee was not strong. At the same time, the provision of financial resources for a distant project was not regarded as the top priority by the Federal Government. During the first part of the project, implementation of DHCP activities was therefore considerably delayed by insufficient or delayed allocation of counterpart funds.

86. The administration of the DHCP loan at the federal level did not facilitate the relationship with state authorities and promote the potential capacity-building effects, even though the states are involved in building agricultural extension services to support the development of family farming in their territories. The only exceptions were the states of Ceará and Pernambuco (see paragraph 136), where the authorities sought to learn from the experience of DHCP in the development of state agricultural extension services; it is not surprising that they were the states with the highest concentration of DHCP families.

87. With regard to targeting as set out in the project design, the DHCP target group consisted of agrarian reform settlements that had benefited from considerable state support in terms of housing, social infrastructure and other services. Although this was consistent with government priorities, the initial definition of the DHCP target group resulted in the exclusion of important elements of the rural poor population – non-agrarian reform communities. During implementation, DHCP progressively incorporated other communities that were at the lowest level of human development, which improved overall poverty-targeting performance.

88. The project is rated **satisfactory** (rating 5) against the relevant performance criteria.

## **B. Effectiveness**

89. In line with the provisions in the Approach Paper and the objectives in paragraphs 34 and 35, this section analyses DHCP effectiveness by looking at the six specific objectives in the revised logframe. An assessment of DHCP effectiveness against its main objective is then formulated.

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<sup>35</sup> World Bank (2003) identifies improving human capital as the first pillar in an integrated strategy for rural poverty reduction.

**Specific objective 1: Families in targeted settlements and communities are empowered and linked to other agents and organized in autonomous and enhanced collective organizations, with continued technical assistance from strengthened local institutions and service providers.**

90. Most of the communities targeted by the project were formed by landless people from neighbouring places or from tens or hundreds of kilometres away who had recently settled in agrarian reform villages.<sup>36</sup> In this context, convincing rural families to work in collective organizations or associations initially called for the establishment of the credibility of the messenger – DHCP itself. A major element in the success of the project was the identification of small-scale and immediately effective investments.<sup>37</sup> This was a drastic change from previous interventions supporting agrarian reform settlements: these had been characterized by lack of real participation by beneficiaries' organizations and the financing of large investments that resulted in delayed and unfinished constructions, which in turn had a detrimental effect on trust in public policies and collective actions.

91. Triangulated information gathered during the evaluation shows the positive effects of the project on the empowerment of beneficiary families and their level of organization. Before the project, many beneficiaries' associations existed only on paper; they were hardly perceived as an instrument for empowerment or for access to opportunities available under government development policies. No study of the degree of consolidation among grassroots organizations was undertaken, but the evidence suggests that associations that have existed for several years have reached a high level of maturity.<sup>38</sup> The changes in the collective capacities of communities targeted by the DHCP were confirmed by statements of participating representatives of trade unions, NGOs and other development programmes. These all highlighted the noticeable difference between the collective capacities of communities targeted by DHCP and others. It is not surprising that the same result was not visible in organizations supported by the project for only a few years.

**Specific objective 2: Families in targeted settlements and communities improve the economic social and cultural dimensions of their productive systems with continued technical assistance from strengthened local institutions and service providers.**

92. The adoption of agro-ecological principles required farmers to abandon land rotation, slash-and-burn and the use of agro-chemicals: these were replaced by intensive use of a single piece of land, thereby increasing its productivity. DHCP introduced biologically produced vegetables and fruit, using small-scale irrigation. It also promoted new and traditional arboreal varieties in the *caatinga*, thus creating positive synergies with the beekeeping development investments. This new system was widely embraced by DHCP target groups because it produced continuing results. Women have started to participate widely in these activities.

93. The project applied four tools to promote improvements in agricultural production: FISP, demonstration units, credit and market development. Through FISP, DHCP helped to ease access to water, which had been a major constraint to agricultural production in the North-East. Demonstrations

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<sup>36</sup> The project established – belatedly – diagnostic studies of five territories in 2005, which were published in April 2006, but the general and technical managers of DHCP, with their long experience, were fully cognizant of this situation when designing project measures.

<sup>37</sup> These include water tanks that eliminated long walks to fetch water.

<sup>38</sup> This means that associations: (i) are fully constituted, meet regularly, evaluate and plan their activities and are transparent as to their financial situation; (ii) take informed decisions about project-financed activities, with the support of technical assistants; (iii) supervise the implementation of investments and the performance of technical assistance providers, expressing positive or negative assessments openly in the project's territorial committees; (iv) are entrusted with, and manage correctly, resources made available by the project for their activities; and (v) implement their projects themselves.

enabled farmers to apply research results and learning, with relatively rapid and visible results.<sup>39</sup> Many families obtained PRONAF credit with support from DHCP, mainly for livestock development, acquisition of inputs or other investments. Interviewed families, with few exceptions, expressed their satisfaction with their access to such funds and the results obtained.<sup>40</sup> Another instrument adopted by DHCP to enhance the production systems of family farmers was to involve them progressively in markets, which created incentives for diversifying farm production, introducing new products or improving the quality of existing produce.

94. DHCP supported non-agricultural rural production facilities, but involvement in this sub-sector was low. The 2007 self-assessment observed insufficient attention by DHCP technical assistants to non-farm activities that could be reasonably considered an alternative for income generation and employment, especially for young people and particularly during the dry season. This can be explained by the fact that although DHCP tried to match communities' interests and requirements with technical assistance capabilities, most NGOs working in rural development do not use specialists in non-farm activities.

**Specific objective 3: Families in targeted settlements and communities harvest, install and manage water efficiently, with continued technical assistance from strengthened local institutions and service providers.**

95. DHCP provided a large number of families with water tanks to catch and store rainwater. To do this, the project combined with and complemented existing programmes such as P1MC. It also invested FISP resources in water supplies for productive activities, although in the semi-arid North-East only a limited part of the land is suitable for irrigated agriculture. The construction of artesian wells often depended on cofinancing by municipalities, the state or large firms such as Petrobras or the Company of Development of the San Francisco Valley. Most settlements and communities visited by the evaluation mission now have access to reservoirs, artesian wells or underground dams. In many communities, however, water continues to be very scarce. This evaluation observed that management of limited water resources for irrigation by user associations is still largely based on oral agreements. The mission did not perceive problems with water distribution, but the lack of written rules for maintenance and resolution of conflicts requires urgent attention.

**Specific objective 4: Adults, young people and children in targeted settlements and communities improve their education in accordance with the cultural, environmental and social conditions of the semi-arid region.**

96. The DHCP literacy campaign for adults has produced good results as a consequence of applying proven intensive learning methods with effective incentives for teachers to deliver results. Demand for the literacy courses has, however, been relatively low compared with the level of illiteracy in targeted territories. The reasons for this include the need for dedication over three months, the dates when the courses were given and factors such as eyesight problems affecting some sectors of the population such as elderly people and the lack of electricity in some villages.

97. Although project actions in education were effective at the individual level, they have not yet succeeded in generating changes in official school curricula. At the moment, the *Escola Família Agrícola* programme, which uses the *alternancia pedagógica* method, has not been officially recognized. Lack of a recognized diploma would limit the use of the training for employment beyond

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<sup>39</sup> The 2007 self-assessment estimated that over 1,000 families introduced goats and/or sheep, 767 bee-keeping, 298 vegetable gardens with irrigation, 254 poultry, 173 fish-culture, and 37 irrigated fruit production.

<sup>40</sup> The mission calculated the economic effect of a community association project for raising *caipira* (free range) chicken in San Raimundo in Sergipe. Two years after DHCP investment, 79 per cent of the investment costs had been recovered as value-added at the farm level, income generated through sales or home consumption.

the family farm. State ministries have, however, undertaken their own pilot activities with a view to modernizing school teaching in the way advocated by DHCP. In the communities visited by the project, there was only marginal use of *Arca das Letras*; the approach would have to be introduced systematically and monitored. In communities with resident schoolteachers, the use of libraries tended to be greater.

98. Leadership training for young women and men by various means has led to improved management in associations and institutions. On the basis of a survey undertaken in 2008 by DHCP, 16 of the 95 social mobilizers assessed had enhanced their status in their rural trade unions; 11 of them were selected for leadership positions, six of whom were women. Another 13 assumed leadership functions in their community associations, ten in various fora and councils, and three were employed by technical assistance providers. According to the 2009 self-assessment, many of the 211 young people from farming families trained in technical subjects in the *Escola Técnica de Jundiá* in Apodi territory found jobs in institutions providing technical assistance for family farms.

**Specific objective 5: Organized groups of targeted settlements and communities improve their access to credit and financial management and can count on the service of improved technical assistance institutions.**

99. The main result of DHCP in this field was the training of technical personnel in NGOs to formulate credit proposals. Through its support, DHCP generated double the number of BNB loans to non-DHCP clients.<sup>41</sup> Overall, DHCP succeeded in increasing access to credit for 10,000 family farmers.<sup>42</sup> Triangulated information showed that half of the farmers in DHCP-supported associations were able to access PRONAF loans because of DHCP technical assistance and the backing given by their associations. Nevertheless, the degree of indebtedness among agricultural settlers, particularly those involved in the *Crédito Fundiario* programme, limited further expansion of the credit programme.

100. DHCP attempted to promote a market-oriented bottom-up supply of financial services suitable for the rural poor. This evaluation looked into ECOSOL Pajeú,<sup>43</sup> the oldest of the five cooperatives supported by DHCP, which was a test case for the survival prospects of bottom-up financial intermediation initiatives in an environment characterized by relatively easy access to credit. The cooperative has survived so far, and its membership and portfolio have grown.<sup>44</sup> It forms part of a growing S&L cooperative network, recognized and supervised by the Central Bank of Brazil. The consolidation of ECOSOL will depend on government policy among other factors: as long as the large PRONAF programme continues, its prospects for growth will inevitably be constrained.

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<sup>41</sup> DHCP attempted to tackle one of the main problems affecting PRONAF, which was that standardized proposals were submitted that did not take into account borrowers' needs and capacities. This practice occurred because BNB pays 5 per cent of the approved loan amount to the consultants preparing the investment proposal, regardless of the performance of the loan itself. This resulted in a very high proportion of loans not being repaid.

<sup>42</sup> The DHCP impact study showed that 69 per cent of respondents reported a family member who had benefited from access to credit. Of these, 80 per cent were investment loans and 16 per cent were working capital loans. Half the investment loans were for the purchase of livestock. The average loan amounted to R\$4,790.

<sup>43</sup> The others have only recently been created and so could not be evaluated.

<sup>44</sup> At the time of the evaluation, ECOSOL had 645 members, capital of R\$165,477 and saving accounts of R\$103,081. Its loan portfolio was based on its own funds of R\$345,000 at interest rates closer to market rates than PRONAF loans, with arrears at the end of 2009 of less than 5 per cent; only 2 per cent of contracts required renegotiation. ECOSOL also manages a PRONAF-B (microfinance) portfolio of R\$123,600, with arrears of 30 per cent and losses absorbed by the state. On the basis of its gender-oriented approach, it qualified to channel PRONAF-*Mulher* loans to its clients. ECOSOL managed to break even in 2009.

**Specific objective 6: DHCP systematizes and disseminates the knowledge gained in the different learning processes.**

101. DHCP was a knowledge generation and transfer project at several levels. At the grassroots level it worked through the network of social mobilizers, NGOs, events and exchanges of experience through visits by family farmers to other places; at the level of NGOs and trade unions, it operated through seminars and knowledge-sharing events organized by DHCP. To disseminate DHCP knowledge to the general public at the national and international levels, the project attempted to influence policy-making processes through its participation in national and international events related to family agriculture such as REAF and Terra Madre, and in initiatives for South-South cooperation with Cape Verde, Senegal and South Africa. In this regard, the opportunities offered by IFAD and the PMU's command o project methods were fundamental.

102. The DHCP dissemination campaign was significant (see appendix 6). The scope of the M&E system that was put in place was a limitation on the capacity of DHCP to generate knowledge. At the time of DHCP implementation, M&E was a relatively new concept in Brazil. On the one hand, the DHCP information-management system ensured adequate tracking of project outreach, actions, costs and investments; on the other hand, no system was in place for regular monitoring of higher level results such as impacts on beneficiaries and grassroots organizations. With the benefit of hindsight, it can be argued that the organization of the project, especially the use of social mobilizers, could have facilitated systematic gathering of quantitative outcome and impact data. The DHCP appraisal report mentions implementation of an evaluation system attached to the project at the Studies and Evaluation Nucleus of MEEPF: after the establishment of the MDA, the nucleus became a research centre with limited involvement in evaluation.

103. Since 2006, the project has supported studies and methods of dissemination.<sup>45</sup> A manual on DHCP technical assistance was prepared in 2008 and submitted in 2009 to the committee of the federal congress responsible for drafting the new technical assistance law, which was enacted in January 2010. A major systematization of the knowledge element in the DHCP approach is however due towards the end of the project and is a necessary condition for the achievement of this specific objective.

**Project main objective: Families in rural settlements and communities targeted by the project improve their economic and social conditions, with consideration for gender equity, age and ethnic minorities, making themselves models for sustainable human development.**

104. The 2007 and 2009 self-assessments analysed effectiveness by looking at progress against the outreach target in the appraisal report – the number of families reached.<sup>46</sup> As a result, the question of whether these targeted families had improved their economic and social conditions remains unanswered. The provision of project services may not be a good proxy for the achievement of development results, but in view of the overall positive appreciation of the specific objectives (see paragraphs 90 to 103) this evaluation confirms that positive changes were achieved in families' economic and social conditions. The second part of the project objective is difficult to assess: the parameter for success of DHCP moves from project-specific aspects to the wider field of policy – making DHCP families models for sustainable rural development – and requires assessment as to whether DHCP generated lessons that can actually be used as references for national policies. This issue will be discussed more fully in the analysis of DHCP performance in terms of the replication and up-scaling criteria (see paragraphs 149 to 151). Overall, there is evidence that elements of DHCP methods are already being used as references for other project interventions in the North-East, which confirms an overall **satisfactory** (rating 5) assessment of DHCP effectiveness.

<sup>45</sup> These were: seven publications, 12 papers submitted to the federal parliament, three articles in journals, newsletters and six learning brochures in different territories, two DVDs, an electronic newsletter, five videos, six CDs and two radio programmes in the Sertao Central in Ceará.

<sup>46</sup> The Desk Review Note provides a summary of these findings.

### C. Efficiency

105. **Effectiveness delays.** After approval of the loan by the IFAD Executive Board in December 1998, the Government of Brazil took 22 months to sign the loan contract, which it did in October 2000. The period from approval to signature negatively compares with the average of 7.9 months required for IFAD-financed projects in Latin America. The lengthy process for loan signing in the Brazilian institutional setting and the fact that support for agrarian reform beneficiaries was not the Government's highest priority were the main reasons for this delay. Once the Government had signed the loan, it complied with the conditions for effectiveness within two months, whereas this process takes an average of 10.2 months in LAC.

106. **Timing of project implementation.** The extension of the project by three-and-half years (see paragraph 41) was warranted by the late start of activities and the severe disbursement delays: at the end of 2006, the original completion date, disbursement of the IFAD loan was low at 41 per cent. The duration of DHCP negatively compares with the average of IFAD projects: in 25 projects reviewed in the 2009 Report on IFAD Development Effectiveness, the average period of loan extension was 2.4 years;<sup>47</sup> if all IFAD-financed projects in LAC are considered, the average extension granted to projects was 23 months, or 1.9 years. Although the extension enabled DHCP to achieve important results (see paragraph 47 and 48), the delay inevitably brought about an increase in IFAD and government expenditure on management and supervision, hence reducing overall efficiency.

107. **Operational efficiency.** The total operational cost of DHCP was equivalent to 35 per cent of the total cost, if this is calculated on the basis of the contributions of IFAD and the Government of Brazil.<sup>48</sup> If the financial resources of cofinancers managed by DHCP are considered,<sup>49</sup> the share of operating costs decreases from 74 per cent during project year 1 to 17 per cent in the final years. This gives an average of 20 per cent of management costs over total project costs. In spite of the efforts made to reduce operational costs, this value is above the average per centage allocated to management costs in IFAD-financed projects at the design stage.<sup>50</sup> Unfortunately, no official benchmarks were established by IFAD or the Government of Brazil as to the "accepted" share of operational costs. In the 2007 self-assessment, DHCP was compared with the IFAD-financed Puno-Cuzco Corridor project in Peru, evaluated by IOE in 2007, which recorded operational costs at 27 per cent,<sup>51</sup> although it had a narrower range of activities than DHCP. This benchmarking is, however, arbitrary and it cannot be used for formulating a sound assessment of efficiency.<sup>52</sup>

108. Regardless of any comparison of DHCP with other national or international projects, it is difficult to imagine lower operational costs given the broad territorial coverage that characterized its design. The expensive nature of DHCP was primarily a result of its design: the states included in DHCP cover an area of 629,000 km<sup>2</sup>.<sup>53</sup> The wide geographical coverage was, however, fundamental to the objective of applying the proposed model in a range of contexts to generate reference points for

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<sup>47</sup> See <http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf>.

<sup>48</sup> Table 1 in appendix 5 presents total regular expenditure of DHCP from 2001 to 2009. Operational costs include salaries and allowances of project staff, office maintenance, travel expenses, vehicle maintenance, insurance and administrative costs.

<sup>49</sup> These funds were not administered by DHCP.

<sup>50</sup> The average percentage of management costs estimated in project design for LAC is approximately 13 per cent according to IFAD official data. Unfortunately, no official data are available in IFAD as to the average percentage of management cost at project completion.

<sup>51</sup> See [http://www.ifad.org/evaluation/public\\_html/eksyst/doc/prj/region/pl/peru/pe07.pdf](http://www.ifad.org/evaluation/public_html/eksyst/doc/prj/region/pl/peru/pe07.pdf).

<sup>52</sup> If a better-performing project had been used as the benchmark, the comparison would have been criticized on the basis of the different and more challenging context in which the project being evaluated was implemented.

<sup>53</sup> This is equivalent to the combined size of Italy and Germany or the total size of Texas in the USA.

future policy-making: in other words, a trade-off was identified between the objective of concentrating activities in a few states to minimize costs and maximize efficiency, and that of testing the model in a variety of contexts to maximize knowledge exchange.

109. During implementation, the project included further territories characterized by high poverty levels such as Sergipe and Piauí. In Sergipe, DHCP reached 1,083 families in 21 communities; after Piauí, these are the lowest outreach figures. Even though the number of families reached was small, the inclusion of additional states without a corresponding increase of the number of beneficiaries entailed an increase in management costs associated with the setting up of the local supervision units. Because these territories were supported for a limited amount of time, the costs were not translated into sustainable results. Viewed from a purely “efficiency” perspective that ignores other strategic considerations such as those based on the political reasons for expanded coverage, the extension of DHCP coverage did not contribute to efficiency.

110. In spite of the unavoidable costs associated with DHCP design, travel costs for meetings in Brasilia were in general modest in comparison with the size and complexity of the project.<sup>54</sup> This evaluation did not perceive the distance from the counterpart MDA as a heavy operational burden, except for the problems with counterpart funds that affected project performance. On the contrary, the liberty of action associated with a decentralized operation favoured the achievement of the objectives, and the project maintained a lean structure with modest offices and a minimum of personnel in the LSUs, even though the number of partners was relatively large.

111. **Quality and cost of service delivery.** The analysis of efficiency should not only be based on the cost side: it must include considerations of the ways in which project results compare with the financial resources employed to generate them. In simple terms, the 80 per cent of financial resources used by DHCP for project activities must be seen in relation to the 20 per cent of resources used for managing the activities. Following this approach, this evaluation argues that resources were efficiently administered by DHCP. This was made possible by the creation of a “self-steering” system in which three categories of agent – social mobilizers, grassroots organizations and technical assistance providers – supervised each other to ensure optimum use of the resources available for investments. The results generated at the level of beneficiaries and service providers, described in the effectiveness and impact section, also contributed to positive DHCP performance in terms of efficiency. Since 2006, technical assistance mandates have been able to depend on the continuity of contracts from beginning to end of each year and payments received according to stipulated conditions; this is in contrast with other public-sector contractors, which were characterized by delayed payments and frequent interruption of services.

112. DHCP calculated the cost of delivering technical assistance between 2007 and 2009 to beneficiaries in Sertão Central in Ceará and Apodi in Rio Grande do Norte, where DHCP service delivery was well advanced. These data cannot therefore be taken as representative of the entire project: rather, they reflect the most advanced implementation scenario. On average, the cost per family reached was R\$751; this is in line with the cost of technical assistance delivered by INCRA, which corresponds to R\$746 per family, declared as the “maximum value”.<sup>55</sup> Although similar in terms of costs, DHCP assistance was consistently valued higher than INCRA by interviewed beneficiaries in terms of methods used, the comprehensiveness of services delivered and effectiveness. DHCP technical assistance included features not included in INCRA services such as (i) provision of permanent technical assistance, (ii) finance for social mobilization, (iii) inclusion of dedicated actions for gender and age groups, (iv) assistance for demonstrations, (v) selection and training of project personnel, (vi) sub-contracting of technical specialists and (vii) territorial coordination.

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<sup>54</sup> It increased substantially in 2004/5 when additional projects were being negotiated with Ministry of Agrarian Development and partner organizations (GEF, Syngenta Foundation, Petrobras).

<sup>55</sup> See [www.incra.gov.br/portal/index.php?option=com\\_docman&Itemid=141](http://www.incra.gov.br/portal/index.php?option=com_docman&Itemid=141).

**Table 6. Cost of Technical Assistance in Sertão Central and Apodi (2007–2009)**

Indicator	Sertão Central – CE			Apodi - RN		
	2007	2008	2009	2007	2008	2009
Families reached	1,800	1,892	1,677	1,900	2,280	2,050
Total cost for technical assistance (R\$)	1,346,990	1,351,291	1,179,541	1,603,855	1,674,971	1,561,930
Cost per family reached (R\$)	748.3	714.2	703.4	844.1	734.6	761.9

Source: DHCP.

113. Overall, DHCP performance in terms of efficiency was **moderately satisfactory** (rating 4).

### **Box 3. Project Performance in Summary**

#### **Relevance**

- Fully aligned with IFAD and government policies and strategies; application of a coherent approach with clear prioritization and sequencing of activities; promotion of a production system adapted to local environmental conditions and the capabilities of the rural poor; adoption of pragmatic and differentiated methods for the empowerment of women.

#### **Effectiveness**

- Positive appreciation of DHCP performance against each strategic objective; completion of the major systematization – a crucial condition for ensuring dissemination of the knowledge gained in local learning processes; DHCP already being used as reference for formulation of public policies.

#### **Efficiency**

- Long efficiency delay and 3.5 year extension; incidence of unavoidable management costs caused by DHCP design: higher concentration could have created efficiency gains but was not compatible with the objective of developing rich experience from various contexts; better results from technical assistance services at similar cost compared with national benchmarks.

## **VI. IMPACT ON RURAL POVERTY**

114. The impact of this project on rural poverty is presented according to the theory of change adopted by DHCP, which started with development of human and social capital (paragraphs 115 to 119), followed by improvements in food security and agricultural productivity (paragraphs 120 to 124). These changes enabled target groups to increase their incomes and assets (paragraphs 125 to 129) in harmony with the natural environment (paragraphs 130 to 133). This sequence was supported by the establishment of a conducive institutional and policy framework (paragraphs 134 to 138).

### **A. Human and Social Capital and Empowerment**

115. **Increased capacities of family farmers and their associations.** A fundamental part of DHCP methods was the recognition of the preferences of target groups, which included individual family actions. Nevertheless, activities were put in place to promote collective actions in existing or recently formed grassroots associations. The trust and responsibility that DHCP vested in target groups to manage project resources and activities was a major reason for the high impact of empowerment and the improvements in the self-organizational capacities in interviewed families and associations. For family farmers, the project constituted an opportunity for partnership-building, an instrument for participation in local policy-making and a tool for accessing institutions and the opportunities available under government development policies. The implementation strategy, which was based on the assignment of complementary functions to different agents, was instrumental in achieving the objective of including target groups in a process that fostered their capabilities and empowered them. In the territories that benefited from DHCP for long enough, improvements in social capital were significant and evident. In recently supported territories, the impacts were less visible. A minimum support period that varies according to circumstances is required for organizations to consolidate changes in institutional capabilities and enhancements of social capital.

116. **Increased self-esteem among the rural poor and the empowerment of women.** The evaluation noted the significant increase in self-esteem among the rural poor. This can be assigned to various factors: adoption of an effective participatory bottom-up approach, the focus on small-scale income-generating activities and the adoption of a pragmatic agenda for the empowerment of women. A significant number of farmers interviewed by the evaluation observed that before DHCP they were day-labourers with little prospect of advancement in life, whereas they now possess land, support their families and participate in local markets. The project empowered family farmers by considering them repositories of knowledge during the exchanges in various territories. The participation of beneficiary families and their organizations in municipal rural-development councils and in territorial committees also contributed to raising their self-esteem. The actions implemented by DHCP for market development enabled agrarian reform beneficiaries to experience for the first time formal agricultural market transactions, which also contributed to their empowerment and enhanced self-esteem.



**DHCP mobilized women in interest groups focused on selected production activities, with positive effects on their capacity to generate income.**

*Source: Luigi Cuna, IFAD Evaluation Mission, 2010*

117. All the NGOs involved in DHCP, including those more involved in actions for gender equality, recognized the strategic importance and impact of its empowerment of women. This consisted of extending women's functions in society by promoting their participation in productive and income-generating activities in combination with parallel activities to promote their education and citizenship rights – an example was the widespread campaign to obtain identity documents. The evaluation mission obtained evidence of a reduced gender gap in the project area: before the project, women were seldom regarded as producers, and technical advisors did not pay attention to their learning needs. At the time of evaluation, women were participating in productive activities promoted by the project such as animal rearing, vegetable production, fruit pulp production and sales of agricultural products. There was increasing activity by women to organize and participate in associations, in a number of which they now perform functions of treasury and fiscal control; some are even presidents or vice-presidents. NGOs increasingly employed women as technical advisors, and in some territories such as Sergipe the number of women employed as social mobilizers was impressive.

118. **Empowerment of young people.** Some DHCP activities targeted youth with a view to offering them prospects for building their future in the rural North-East. DHCP financed agricultural technical training initiatives and the advancement of young people through leadership training in NGOs, rural trade unions and beneficiaries' organizations. The rate of employment after completing the training was encouraging: half of the young people were able to find a job in the trade unions, municipalities, state agencies or NGOs. Results were, however, modest in terms of the numbers of young people reached. The "very satisfactory" assessment of DHCP in this domain is also assigned because it is one

of the few projects in the IFAD portfolio that developed actions explicitly targeting young people to promote their socio-economic advancement in rural areas.

119. The impact of the DHCP on human, social capital and empowerment is rated **very satisfactory** (rating 6).

## B. Food Security and Agricultural Productivity

120. **Food security.** Because of the high level of poverty among targeted beneficiaries, the change in the agricultural production system promoted by DHCP was initially intended to secure access to food and safe water for human consumption, and subsequently to create the basis for marketing. Positive changes in dietary habits were recorded in the 2009 impact survey: 58 per cent of the respondents confirmed that after participating in DHCP they benefited from increased consumption of meat, chicken, fish, milk, eggs, fruit and vegetables; 77 per cent of survey respondents had introduced one or more new production activities, and many had increased their incomes from non-farm activities. The percentage of beneficiaries with more diversified nutrition patterns is therefore higher than 58 per cent. The new production systems with feed storage and small-scale irrigation for vegetable production improved food availability in the dry season.<sup>56</sup> Families interviewed during the evaluation confirmed that they had better balanced nutrition and no periods of sub-optimal nutrition.

121. **Agricultural development and diversification.** The 2009 impact survey showed that DHCP beneficiaries increased agricultural yields and substituted the low-value cassava crop with vegetables and plants for honey production. Overall, the survey showed higher average production volumes for 25 products, offsetting smaller reductions in 13 agricultural products. Maize and beans continued to be used as staple crops for DHCP families. Groundnuts, potatoes, bananas, *guayaba* (guava), capsicum and okra were introduced, often in response to increased participation in markets. This change in the cropping pattern was accompanied by an increase in land productivity. The most important factor contributing to these improvements was access to water sources: 64 per cent of the farmers interviewed in the DHCP impact survey stated that their farms had increased agricultural production because of better access to water; 66 per cent noted an increase in productivity through investments and the introduction of new features such as ensilage, cattle raising and fencing.



**DHCP supported the creation of market fairs for family farmers.**

*Source: DHCP*

122. **Market orientation.** DHCP supported the participation of family farmers in agro-ecological fairs and regional markets to sell fish, cashew nuts and other products. Of the farmers interviewed by the 2009 DHCP impact study, 75 per cent stated that they sold part of their production through PAA or in local markets. The Elo project, which enhanced the marketing dimension of the DHCP strategy, grew rapidly between 2006 and 2009, benefiting 908 farm families and cofinancing 20 agro-processing units for cashew nuts, sweets, honey, fruit pulp, cheese, chicken, fish and handicrafts with

<sup>56</sup> Ensilage increased from 7 per cent of respondents before DHCP to 41 per cent after it.

the objective of improving access to markets. It is estimated that families accessing the Elo project increased their monthly incomes by an average of R\$100. In view of the current availability of production factors such as capital, land and labour, and the technology and know-how in DHCP families, the improvement of market relations will require substantial further investments in product quality, processing and marketing.

123. The information gathered from associations, municipalities and NGOs points to substantial differences in incomes and living conditions between DHCP families and those outside the project area, particularly as a result of differences in their agricultural production systems. DHCP families upgraded their knowledge, skills and investments and installed more sustainable production systems than non-target groups; they are also eligible for credit because of the improved income-generating capacity achieved through technical assistance and productive investments.

124. The impact of DHCP on food security and agricultural productivity is rated **satisfactory** (rating 5).

### C. Household Income and Net Assets

125. The average household income of DHCP beneficiaries at the start of the project was below the poverty line. Several beneficiaries interviewed by this evaluation spoke of irregular incomes as day-labourers earning on average less than R\$100 per month; most DHCP beneficiaries did not possess land. Even when two or more family members worked, their combined income barely reached the minimum salary. The data gathered by this evaluation in Inhamus and Apodi show that post-project average monthly family incomes from agricultural and non-agricultural sources corresponded to two minimum salaries (see table 7).<sup>57</sup> In absolute terms, this amounted to a six-fold nominal increase in average income since 2001; when deflated by the general price index of 7 per cent per annum, the absolute increase is almost four times higher than the average real income before the project.

**Table 7. Income Data in Selected Territories (US\$)**

Indicator	Inhamus	Apodi
Average value of production consumed	2,014	2,388
Average value of production sold	3,776	7,514
Average cost (net of labour cost)	364	749
Total net value of production	5,426	9,247
Monthly income from agriculture	452	771
Other monthly income sources	467	313
<b>Total monthly income</b>	<b>919</b>	<b>1,083</b>

Source: Evaluation mission.

126. With the introduction of new activities such as vegetable gardens, fruit pulp production, honey production, *caipira* chicken raising and milk and cheese production, family consumption and sales increased, with values varying at about a single minimum wage. About 500 families, with women and young people participating, were able to generate weekly incomes of between R\$40 and R\$125 from the sale of vegetables, fruit, grain, meat, eggs and honey. Adding non-agricultural income such as cash transfers and benefits from government programmes, total monthly incomes of about two minimum wages – equivalent to US\$588 – is a reasonable estimate of average incomes among targeted families<sup>58</sup>. With the exception of producers of cashew nuts and honey, who managed with the

<sup>57</sup> Considering that the minimum salary increased 3½-fold in US\$ terms between 2001 and 2010 and almost as much in R\$ terms, the increase in real terms is well above average annual inflation.

<sup>58</sup> US\$588 divided by the average family of 4.6 members results in a monthly income per person of US\$128, double the international US\$2/day/person upper poverty line. As mentioned in paragraphs 9 and 10, the evaluation cannot attribute these development effects directly to DHCP activities. The evidence gathered during field visits, however, led the evaluation to hypothesize that DHCP made a significant contribution to this increase. An important share of the increase derives from income-generating activities supported by DHCP – vegetable gardens, chicken raising, honey production and participation in market fairs.

support of the Elo project to certify their products and sell to more demanding buyers such as supermarkets, hotels and restaurants, the evaluation learned that prices for produce sold in DHCP-supported agro-ecological markets remained more or less constant throughout the year, despite supply variations. More competition would be needed to develop these markets: the prospects are promising in view of the example set by agro-ecological producers and the desire of states and municipalities to expand corresponding credit and technical assistance to family farmers.

127. **Assets.** According to the DHCP impact survey, a third of families stated that they benefited from a cistern installed with DHCP support; another third referred to help from other institutions and programmes. Changes in assets apply to durable consumer goods and productive assets. With regard to durable consumer goods, table 8 shows the changes in percentage for beneficiary households owning selected assets; 72 per cent of the families interviewed also reported some kind of improvement to their dwellings. DHCP worked in combination with a positive trend in the growth of the rural economy and substantially increased provision of community electricity by the states in the past decade.

**Table 8. Possession of Household Assets (% of families)**

	Before the Project	After the Project
Refrigerator	42	61
Freezer	3	8
TV set	53	64
Cellular telephone	8	49
Car	5	10
Motorcycle	22	36
Parabolic antenna	42	62

Source: DHCP Impact Survey, 2010.

128. The DHCP impact survey also indicates increases in the percentage of households investing in productive assets compared with the pre-project situation. Table 9 shows that most of the investment in productive assets focused on improvements in animal husbandry such as fencing, fodder production and fodder silos.

**Table 9. Investment in Productive Assets (% of families)**

	Pre-project	During the Project
Fencing	34	68
Water installation for cattle	5	20
Irrigation equipment	1	16
Fodder	6	26
Cultivated area for fodder production	15	43
Fodder silos	7	41

Source: DHCP Impact Survey, 2010.

129. The impact of DHCP on household income and net assets is **satisfactory** (rating 5).

#### **D. Natural Resources and Environment**

130. An essential element of DHCP strategy was a production approach that respected the environment and provided incentives for beneficiaries to put the surrounding natural resources to sustainable use. Mainstreaming a culture of co-habitation between beneficiaries and the environment was the focus of DHCP goals (see paragraph 34). The project nurtured in family farmers a new way of thinking: considering the environment and natural resources as partners for long-term development that require care and comprehension. The principle of *Conviver com o semi-árido* was used for awareness-raising and as the underlying feature of agricultural and income-generating opportunities.

In this way, the environmental dimension became an integral part of the project strategy.<sup>59</sup> The general appreciation of the approach should also be considered in the light of the priorities that IFAD attached to the potential impact of climate change on agricultural livelihoods. The protection of the *caatinga* and the assignment of value to the natural resources of the semi-arid zone can be regarded as effective instruments for adaptation to and mitigation of climate change.

131. As a result of DHCP technical assistance, 80 per cent of targeted families adopted agro-ecological practices in their crop production and animal husbandry; 77 per cent abandoned slash-and-burn practices; 71 per cent used local varieties of seeds; 59 per cent substituted external production inputs with local inputs adapted to local environmental conditions; 24 per cent applied drop irrigation or irrigation by micro-dispersion; 25 per cent used organic fertilizers; 48 per cent practised crop rotation; and 10 per cent installed terraces.<sup>60</sup>

132. **The GEF Sertão** project started in early 2009, contributing to 24 projects at the grassroots level to combat soil degradation. Insofar as target groups learned to take corresponding measures at the knowledge dissemination events, improved conservation and more rational soil use are likely to follow.

133. The impact of DHCP on natural resources and environment is rated **satisfactory** (rating 5).

### **E. Institutions and Policies**

134. **Private sector.** DHCP contracted private-sector stakeholders to provide agricultural technical services. More than 60 NGOs were enhanced at the individual and organizational levels; the most important effect on them was increased capacity to respond to the needs of communities and improved technical competence. After their participation in DHCP, some organizations opened offices in the territories targeted by the project and expanded their portfolios of actions and services. Several NGOs confirmed significant spill-over effects on other service providers through transfers of personnel trained by DHCP or through exchanges.

135. Until the 1990s, rural trade unions confined themselves to the traditional role of representation and political defence of rural workers. Under DHCP, they broadened their social base by including family farmers. Participation in the DHCP moved rural trade unions towards a more effective social mobilization role whereby they gained visibility and strength. The unions participated in DHCP intensive capacity-building initiatives aimed at promoting the representation of rural communities. These initiatives did not succeed in all states: in one state visited by this evaluation, the social mobilization function was entrusted to a university-linked NGO because of the weakness of the rural trade union, which reflected the DHCP policy of looking for the best available agents. For NGOs and trade unions, the DHCP strategy of separating social mobilization from technical assistance was a crucial condition for building a system that fostered specialization and technical competence.

136. **Policy impact.** At the policy level, the impact of the project can be analysed under three aspects. The first relates to the capacity of DHCP to make public policies serve the rural poor: at the federal level this occurred with the facilitation of access to opportunities available under government development initiatives for DHCP target groups, as in the case of PRONAF, *Fome Zero*, PAA and other programmes (see paragraph 80). The second is the influence of DHCP on policy development: at the federal level, the project contributed to defining the MDA *Territórios da Cidadania* programme; DHCP methods were used as a reference in designing the new law on technical

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<sup>59</sup> This is broadly in line with the lessons learned in the 2009 ARRI, which highlighted the limited success achieved by projects with separate components dealing with environmental issues.

<sup>60</sup> DHCP impact survey, 2009.

assistance for family agriculture enacted in early 2010.<sup>61</sup> The state secretariat for regional development in Pernambuco and the state secretariat for agricultural development in Ceará sought advice about DHCP methods with a view to incorporating elements of them into state agricultural extension systems.

137. The third relates to increased participation by the poor in decision-making at the municipal level. After 2000, most municipalities started to assume essential functions of political administration and local development; several worked with DHCP in education, cultural and extension service activities, and the leaders of beneficiaries' associations and social mobilizers participated in territorial committees. The symbiosis between DHCP-supported associations and their municipalities is in some places close: in Apodí, for example, the DHCP territorial committee was entrusted with all responsibilities of the *Território da Cidadania* programme.

138. The impact of DHCP on institutions and policies is rated **satisfactory** (rating 5).

139. Overall, the impact of DHCP on poverty reduction was **satisfactory** (rating 5).

#### **Box 4. Rural Poverty Impact in Summary**

- Strong impact on the empowerment of beneficiaries associations and increased self-esteem among the target group. High impact on the advancement of women in the production and social spheres.
- Evidence of increased productivity and diversification of farm production. DHCP promoted the initial steps in participation of agrarian reform beneficiaries and family farmers in local markets. Visible increases in household incomes associated with the increased productivity of family farms.
- The environment was an essential element of the project's social and production development strategy. Positive results achieved in terms of promotion of environmentally friendly technologies and inputs.
- Increased capabilities in private institutions. Positive effects of DHCP on policy development, the capacity of public policy to serve the rural poor, and participation by the poor in local policy-making.

## **VII. OTHER PERFORMANCE CRITERIA**

### **A. Sustainability**

140. **Sustainability of development effects for family farms.** Social and economic effects fostered by DHCP at the family farm level have a good chance of being sustained. DHCP actions were oriented towards a production system adapted to the capabilities of family farmers: the new products introduced by DHCP beneficiaries such as vegetables, honey and chicken meat were in high demand at local markets; the technologies promoted such as forage conservation and use of biological inputs involved low costs and took advantage of locally available inputs and family labour. The new production system promoted by DHCP also took into account the need to be compatible with the agro-ecological conditions of the semi-arid North-East, thereby creating a mutually reinforcing linkage between environmental and economic sustainability.

141. The experience of DHCP was that poor farmers provided with the necessary skills, information and capabilities had good business prospects. Some of the income benefits depended on continued subsidies for the purchase of food by government programmes such as PAA. In local markets, the competitiveness of family farmers was protected by the adoption of solidarity principles such as favouring access to agro-ecological products through low prices.<sup>62</sup> The subsidized purchases by state companies under PAA and the market protection provided by the solidarity principles currently

<sup>61</sup> The law allows the contracting of private profit and non-profit organizations for this purpose and requires full transparency with regard to work plans, outreach and results.

<sup>62</sup> Consumers can therefore buy tastier natural products at prices that are favourable compared with those of large agribusinesses.

constitute the “shields” that protect the competitiveness of family farmers and favour the gradual development of their production capacity. In future, the competitiveness and profitability of family farmers may be exposed to the risk of a reduction in such subsidies: under such circumstances, a necessary condition for continuation of the benefits would be further consolidation of the production capacities of family farmers and upgrading of the quality of farm produce. The continuation of business benefits will also depend on whether effective linkages are established between beneficiary farmers and other markets such as agribusinesses operating in the territories.

142. The experience of DHCP showed that to achieve sustainable results adequate support for farming families is required for a sufficient length of time. The project is advocating that during a possible second phase it disengages in the first year from the 5,000 families that have participated since 2003–2004. After this, DHCP-II would disengage from families targeted at later stages of implementation. In territories consistently and effectively reached for five years or more, such an exit strategy could be considered adequate, but a second phase would in any case be required to initiate the phasing out of DHCP support. Despite its long duration, DHCP expected a further phase of financing in order to exit from the first phase. Indeed, the DHCP strategy was to create the conditions for a second phase of financing. But relying on seamless continuation in a subsequent project is a risky strategy because an unexpected political change could halt the process. For more recently included families, further support is required to achieve sustainable improvements: this could not be provided in the timeframe of DHCP. In line with this rationale it can be argued that the expansion of the target group in the last few years was primarily driven by the objective of achieving the outreach objective of 15,000 families rather than by the idea of generating and consolidating sustainable results.



**Upgrading of farm produce, for example by improving packaging and certification, is a necessary condition for the continuation of project benefits.**

*Source: DHCP*

143. **Sustainability of service providers and social mobilization agents.** The sustainability of the services provided by technical assistance partners depends on the characteristics of the organizations and demand for their services. Large and medium-sized NGOs had little problem in retaining the personnel employed with DHCP support after project closure. Smaller NGOs may have to downsize unless new contracts are signed, for example with public agencies on the basis of the new law governing technical assistance. Small and young NGOs may withdraw from the areas reached with DHCP or significantly reduce the scope of their actions. Because of the poverty status of targeted beneficiaries, none of the technical assistance organizations supported by DHCP can operate on a fully self-sustainable fees-for-services basis as private service providers.

144. Rural trade unions were able to expand and improve their networks in communities, and will be able to maintain them even without DHCP resources. With regard to rural financial bottom-up

intermediaries, in times of economic growth such as the past decade there are positive prospects for survival. Building market-based bottom-up financial services for rural and agricultural clients, however, involves inherent challenges of limited sectoral diversification, regional concentration and limited experience in dealing with critical situations. The sustainability of the supported cooperatives at this stage of their development is not assured, particularly if the market distortion caused by the subsidized credit system is taken into account.

145. **Sustainability of pro-poor policies.** The general policy framework supports the sustainability of DHCP benefits. The federal government is likely to maintain policies aimed at poverty reduction. At the state level, a number of infrastructure programmes are likely to continue; equally important, the new technical assistance law and the political will expressed by states such as Pernambuco and Ceará point to continued dedication to rural development.

146. The performance of DHCP in terms of sustainability is **moderately satisfactory** (rating 4).

### **B. Innovation, Replication and Scaling Up**

147. **Innovation.** The 2007 DHCP self-assessment and the 2009 supervision report identified a number of innovations promoted by DHCP in the North-East. These include: (i) adoption of multi-dimensional definitions of rural poverty; (ii) application of a territorial intervention strategy; (iii) the role of social organizations and civil society for rural development; (iv) implementation of activities through a variety of organizations; (v) clear orientation towards working in partnership with other institutions; (vi) participation of beneficiaries in supervision and evaluation of project activities; and (vii) use of effective methods for adult literacy. It can be argued that none of these constitutes an innovation in absolute terms: in the opinion of this evaluation, however, it was the combination of conceptual and implementation innovations carried out by a dedicated team with strong social-entrepreneurial leadership skills that distinguished DHCP as an innovative project. A major innovative aspect of DHCP was its capacity to apply all the above innovations to agrarian reform beneficiaries and communities of family farmers in the North-East, thus clearly distinguishing DHCP from other programmes financed by the Government or other donors.

148. This evaluation qualifies two major elements not mentioned in the preceding paragraph as important innovations: (i) the clear differentiation between the role of social mobilizers and that of technical assistance providers, which fostered specialization and the capacity to reach the rural poor; and (ii) the concept of the project as a facilitating instrument for the rural poor to the opportunities available under government development policies. The evaluation also acknowledges the various small-scale innovations applied at the local and community levels through the partnerships established with NGOs. In this context, DHCP acted as an instrument for replicating and up-scaling small-scale innovations piloted by NGOs: examples include the effective method for adult education employed by GEEMPA.<sup>63</sup>

149. **Replication and scaling up.** These elements can be analysed from two perspectives: (i) the evidence of replication and scaling up outside DHCP during the life of the project; and (ii) the potential for replication and scaling up.

150. With regard to replication and scaling up during the life of the project, three experiences of scaling up were identified in the 2008 supervision report: (i) the *Sombras Grandes e Milagres* irrigation project; (ii) the planting of fodder crops, use of mobile machinery for producing animal feed and the installation of low-cost silos; and (iii) the campaign for women's documentation, which was

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<sup>63</sup> In other programmes, the students were responsible for the results they achieved, whereas DHCP shifted responsibility to teachers by establishing strong economic incentives to improve performance; in other programmes, teachers' salaries were paid independently from the results, whereas DHCP paid a monthly salary of R\$300 and an incentive for R\$50 per literate student. In this way, teachers could earn about R\$1,000 per month where they achieved the expected results.

scaled up across Brazil by the MDA. Overall, DHCP made a major outreach effort and became a reference and example for other interventions in the North-East: this is confirmed by the request for loan amendments submitted to the IFAD President, which noted that the strategy of DHCP was used as a reference for the design of territorial development policy in 2003, which was an important exercise in scaling up. Some NGOs noted that they started to apply the methods promoted by DHCP in other projects, and technical personnel from NGOs not involved in DHCP approached the NGOs that were involved to learn about the DHCP method of working with family farms. State institutions and multi-lateral projects were also interested in learning from the DHCP approach.

151. With regard to future prospects for replication and scaling up, it can be argued that the multi-pronged DHCP approach can be replicated and scaled up in other poor semi-arid areas of Brazil. A strong social entrepreneurship function with sufficient means to combine different actors and policies would be required, however, particularly in territories characterized by a weaker institutional environment. Strong leadership skills would also be required to manage a wide range of agents. Replication of the conceptual and implementation elements of DHCP in other middle-income countries is feasible, but it would require adaptation of national and local institutional and policy environments.

152. The performance of DHCP in terms of innovation, replication and scaling up is **satisfactory** (rating 5).

#### **Box 5. Other Performance Criteria in Summary**

##### **Sustainability**

- Social and economic effects at the beneficiary level are likely to continue after termination of DHCP.
- Mutually reinforcing relationship between environmental and economic sustainability.
- Improved participation of family farmers in markets requires further support to upgrade products, technology and/or functions.
- DHCP designed a longer-term exit strategy that was not applied in its life.
- Large NGOs contracted for technical assistance may continue to serve rural areas. None of them, however, could continue to operate on a fully fledged self-sustaining basis.

##### **Innovation, replication and scaling up**

- DHCP introduced various innovations at the outset and during implementation. The combination of strong conceptual and implementation innovation is a distinguishing feature of DHCP. Differentiation of support services and the linkage function with public policies are other remarkable innovative elements. DHCP acted as instrument for scaling up small-scale innovations piloted by NGOs.
- Three major experiences of scaling up during the project are being identified; the adoption of the DHCP territorial development approach for the creation of the Territorial Development Secretariat in the Ministry of Agrarian Development should be added to this. The DHCP approach can be further replicable and scaled up, but this would require further evaluation and adaptation and a review of the existing supporting conditions.

### **VIII. PERFORMANCE OF PARTNERS**

153. **IFAD.** In line with the findings of the 2008 CPE, this evaluation provides a positive assessment of IFAD's direct supervision performance. IFAD was instrumental in clarifying the responsibilities of partners, especially with regard to NGOs, whose roles were not clearly defined in the project design. IFAD provided the project with an important space for experimentation and innovation that would not easily have been available otherwise. Its status as an international project shielded DHCP from the risk of political interference, which could have diverted the project's focus and strategy.

154. IFAD followed the project, giving it the liberty to adapt and improve the original design in line with the evolving socio-economic and policy context. This flexibility was an important enabling factor in the project's success. As a result, IFAD is praised in Brazil for its flexibility in accepting proposed changes. With the benefit of hindsight it can be argued that in some fields – for example

support for non-farm activities, rural finance and agricultural marketing – better strategic guidance could have been provided. The quality of technical assistance provided by IFAD through specialized consultancies in fact had a modest impact on implementation performance. Another weak aspect of IFAD's performance was its capacity to develop synergies with projects that it had recently designed in the states where the DHCP was implemented.<sup>64</sup>

155. In times of increased supervision requirements, for example when a new government took power in 2003, or when additional funding contracts were being negotiated, the frequency of IFAD supervision missions was increased. The working paper on the experience of IFAD's direct supervision highlights shortcomings related to the supervision modality that it adopted in DHCP because of the delegation of fiduciary supervision to UNOPS.<sup>65</sup> This shortcoming was remedied during the last years of implementation, and from February 2009 IFAD incorporated the functions carried out by UNOPS into its direct supervision responsibilities.

156. IFAD contracted the same international independent consultant each year to supervise implementation. A similar semi-independent approach was adopted for preparation of the PCR: this included contributions by two consultants who were never involved in DHCP during implementation. Although the PCR has not yet been finalized, this can be regarded as a best practice in undertaking the project completion process.

157. **Government of Brazil.** In line with the IFAD evaluation methodology, assessment of the performance of the Government looks at the performance of the institutions involved in the project and the PMU.

158. First, the Government affected DHCP performance by providing a favourable policy framework for rural poverty reduction. As noted in Section II, when DHCP was implemented the Government put in place a range of actions to address the various facets of rural poverty. The DHCP strategy itself relied extensively on promoting access for the rural poor to the benefits of public policies, thereby acknowledging the value of a strong alliance and alignment with national poverty reduction strategies. As noted in the supervision reports, DHCP, the lead implementation agencies INCRA and SDT, and the representative of the borrower – the MDA – complied with the major loan covenants. The MDA imposed strong internal project controls, but this entailed an increase in bureaucracy and centralization of the approval processes in Brasilia. The strategic leadership provided by the Steering Committee was limited: it was the PMU that advocated its approach in policy fora at the national level.

159. A fundamental responsibility of the Government was allocation of budgetary funds. The CPE noted that there were shortfalls in the allocation of funds in DHCP. The 2007 self assessment mentions the complex and lengthy processes of Government approvals, which affected the fielding of IFAD missions, the signing of the loan agreement, the fulfilment of effectiveness conditions, the staffing of the PMU and yearly budget allocations. The 2009 self assessment identified budget constraints as one of the main shortcomings of the project: they consisted of reduced availability of budgetary resources and delays in releasing approved budgetary resources.<sup>66</sup> The delays in providing counterpart funds were, however, addressed effectively by the Government during the last years of the project.

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<sup>64</sup> In recent years, a new IFAD-financed project in Paraíba has been approved by the Executive Board, and another is being designed in Sergipe. The evaluation did not find reference to the identification of complementary actions or synergies between DHCP and these projects.

<sup>65</sup> The IFAD working paper on direct supervision noted that in 2003–2005 the absence of UNOPS during IFAD supervision missions left a vacuum in the supervision of fiduciary aspects. The more intensive direct supervision by IFAD was not followed by UNOPS with the same intensity.

<sup>66</sup> The only problem flagged in IFAD's annual project status rating for DHCP was in 2006: it was that disbursement for that year was below targets, although the situation improved afterwards.

160. The performance of the PMU was outstanding in that the unit was capable of coordinating and managing project activities in a number of territories in six states; it also ensured application of the same approach by 60 service providers. The PMU was granted substantial delegation of administrative autonomy for implementation because the federal counterpart was located in Brasilia. The evaluation recognized that the capacity of the PMU to develop partnerships and mobilize further financial resources was a major success factor in the performance of DHCP. Supervision reports highlighted the good quality of DHCP accounting, administrative and financial procedures. The audit report on project accounts and expenditures for 2008 – the latest one available to this evaluation – was positive, except for minor deviations from established rules for recording and justifying expenses.

161. The organizational structure of the PMU was lean for such an extensive project. Internally, the PMU benefited from a positive working environment that facilitated knowledge exchanges in a team that changed little over the years: this allowed for the accumulation of knowledge and experience. The widely recognized leadership of the PMU director ensured a climate of participation, discussion and exchange, which was a major determinant of the positive performance of DHCP.<sup>67</sup>

162. The M&E system put in place under DHCP ensured adequate tracking of project outreach activities and outputs. No system was in place for regular monitoring of higher-level results such as impact at the level of beneficiaries and grassroots organizations. The 2009 impact survey was conducted to generate a reliable analysis of development results. The evaluation noted that DHCP did not comply with the standardized impact survey method adopted by IFAD under the results and impact management system. This had a positive effect on the scope of information generated by the M&E system in that the survey was able to capture changes in dimensions such as income, market access, farming technologies and crop patterns that are not included in the results and impact management system.

163. **NGOs.** At the start of the project it was difficult to find NGOs willing to cooperate with a government project. With several NGOs, ideological barriers had to be overcome, but by the end of the project the capacity of DHCP to partner with a range of NGOs with diverse ideological and technical background was a major factor in the success of the project. The performance of NGOs as technical assistance providers over the lifetime of the project progressively improved: it has been satisfactory since 2006. The PMU strategy of looking for the best potential partners was crucial for ensuring effective support for family farmers. Over the years, successful NGO partners extended their outreach to new territories and gradually improved the technical services delivered; such a process, however, requires a period of time that may be longer than the life of the project. This evaluation confirms the advantageous synergies generated by the partnership between DHCP and the NGOs; in particular, NGOs were a vehicle for scouting for innovations that could be replicated and scaled up by DHCP.

164. The performance of DHCP partners – IFAD, the Government of Brazil, the NGOs and the implementing partners – is rated **satisfactory** (rating 5).

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<sup>67</sup> The then Director of INCRA was nominated as the first project coordinator in 2000. He remained in post for two years. The second project coordinator remained from September 2002 to March 2003 during the elections and the change of Government. In April 2003 a new project coordinator was appointed who has continued to work in the project to the present time.

## Box 6. Performance of Partners in Summary

### Performance of IFAD

- Positive performance by IFAD in direct supervision, especially in clarifying aspects of project design and facilitating the adaptation of project approaches to the changing development context.
- Prompt response at a time of increased supervision requirements, and timely correction of the supervision modalities characterized by delegation of fiduciary responsibilities to UNOPS.
- The use of semi-independent arrangements for ongoing supervision and for preparation of the project completion report can be considered good practices in this field.

### Performance of the Government of Brazil

- The Government of Brazil played an important role in providing the DHCP with a favourable economic and public policy framework for rural poverty reduction. The government authorities involved in administration of the IFAD loan complied with loan covenants. Strong internal control by the Ministry of Agrarian Development caused bureaucratic difficulties, which in turn affected the timely provision of counterpart funds. The situation improved after 2006.
- The outstanding performance of the PMU contributed positively to the achievements of DHCP. The evaluation recognized the capacity of the PMU to mobilize domestic and international resources and to establish partnerships with a range of stakeholders in line with public policies. The PMU also ensured good quality accounts and sound financial management.

## IX. CONCLUSIONS AND RECOMMENDATIONS

### A. Conclusions

165. DHCP was one of the answers to the incompleteness of the agrarian reform process in Brazil, which was characterized by lack of technical assistance and opportunities for social development and income generation for newly settled farmer families and communities. During the first years of implementation, the project faced challenges associated with the establishment of institutional relationships. After 2004, the change of government and the enhancement of rural poverty reduction policies facilitated the implementation of a successful project that had important innovative elements and a positive impact on family farms and rural institutions.

166. DHCP attempted to reverse the format of socio-political relations in the semi-arid North-East by establishing working relationships with the main actors in agrarian reform: (i) beneficiaries and their organizations; (ii) rural trade unions; and (iii) technical assistance providers. With these actors, DHCP reinforced a self-regulating tripartite cooperation for implementation of project activities. DHCP invented a compelling and easily communicable concept – *Conviver com o semi-árido* – to promote the idea that it was possible for family farmers to establish a sustainable

**Table 10. DHCP Ratings**

<b>Core performance criteria</b>	
Relevance	5
Effectiveness	5
Efficiency	4
<b>Project performance<sup>68</sup></b>	<b>4.7</b>
<b>Impact</b>	
Household income and assets	5
Human, social capital and empowerment	6
Food security, agricultural productivity	5
Natural resources and the environment	5
Institutions and policies	5
<b>Rural poverty impact</b>	<b>5</b>
<b>Other performance criteria</b>	
Sustainability	4
Innovation, replication and scaling up	5
<b>Overall project achievement<sup>69</sup></b>	<b>5</b>
<b>Performance of partners</b>	
IFAD	5
Government of Brazil	5
NGOs	5

<sup>68</sup> Project performance is the mathematical average of relevance, effectiveness and efficiency.

<sup>69</sup> The project achievement rating is based on the judgement of the evaluation mission: it may not correspond to the mathematical average of performance ratings.

relationship with the environment of the semi-arid North-East and at the same time develop their business skills. The project also supported differentiation among the functions of rural trade unions and NGOs, promoting specialization and supporting the growth in technical competences. On the whole, DHCP was guided by the objective of increasing beneficiaries' individual and collective capabilities with a view to promoting the full exercise of citizenship, improving the quality of life and creating the conditions needed to develop autonomous organizations for accessing the opportunities available under government development policies.

167. DHCP went beyond simple alignment with government policies and priorities: it saw itself as an instrument to facilitate access by its target groups to public policies at the federal, state and municipal levels. This influenced the rationale of the project in the sense of the establishment of a replicable model for channelling public policies to target groups with a view to replication and scaling up. This distinguished DHCP from projects with narrower technical scope implemented in a more sporadic way. At the same time, the project offered beneficiaries and their organizations the opportunity to participate in policy-making at the municipal, territorial, state and federal levels.

168. IFAD and its government partners consider DHCP to have been a successful project. This evaluation confirmed this view. The main reasons for positive performance were:

- **Favourable context.** The project was implemented at a juncture in the political life of Brazil when governments were dedicated to reducing poverty and inequality. Because Brazil is a middle-income country with a vibrant policy framework conducive to rural poverty reduction, it provided the resources to extend public policies and programmes to include the rural poor and enable beneficiaries to take advantage of them.
- **Liberty of action.** The organization of DHCP as a national project in several states enabled a decentralized working modality. This had important negative implications for operational costs, but provided the opportunity to develop the strategy and methods for reaching its objectives while remaining relatively free from political and bureaucratic constraints.
- **Flexibility.** IFAD and the Government of Brazil accepted the risk of implementing an innovative project, and should be credited for their willingness to do so. The Government and IFAD also demonstrated considerable capacity to adapt to new situations and demonstrated their flexibility by modifying the initial preferences and strategies as required, for example by moving project focus from agrarian reform settlements to rural communities.
- **Leadership by the PMU.** The outstanding performance of the PMU was a major factor in the success of DHCP, especially its capacity to establish fruitful partnerships with a range of stakeholders such as grassroots organizations, NGOs and government institutions. The PMU also succeeded in mobilizing additional financial resources at the domestic and international levels. The leadership of the PMU ensured the credibility of DHCP actions and facilitated its relationship with agents from different political and institutional backgrounds.
- **Right sequencing.** During its early years, DHCP linked into existing programmes with immediate positive effects on beneficiaries (examples include P1MC, which aimed to address constraints in access to water resources, and the campaign for identity documents for women). This helped the project to gain credibility among beneficiaries and institutional partners. The succeeding work on production development aimed to increase food security and gradually start family farmer's participation in markets. The first market outlet facilitated by the project was the "secure" institutional market provided by PAA. DHCP facilitated the establishment of agro-ecological fairs and piloted the first certified honey and cashew nut producer associations. Marketing developed gradually, in step with investments in new products adapted to the semi-arid environment. This was an appropriate sequence in the context, but further work is required to ensure the

competitiveness of family farms and their associations. Similarly, competitive marketing relationships must be developed to guard against the risk of decline in institutional markets.

169. **Spread and efficiency.** A recurrent criticism of DHCP at various levels was that it concentrated on too small a number of beneficiaries – 15,000 families – given the resources available and the number of family farms in the North-East. The acclaimed DHCP implementation methods took years to develop and required intensive linkages and system building. The DHCP objective of generating “references” for future policy-making and making DHCP beneficiary families models for sustainable human development certainly justifies the pilot approach. The challenge is now to make best use of the experience, facilitating knowledge sharing and replicating and scaling up DHCP methods in other contexts. Another criticism was that DHCP dispersed its attention in too many territories and so lacked depth. The distances separating the various territories in six states were a major factor in determining the management costs of DHCP. Nevertheless, DHCP was characterized by a decentralized territorial approach that constituted an essential element in its success. The administration of the loan at the federal level limited the possibilities for DHCP to generate influence at the state level, even though states are involved in agricultural extension services to support the development of family farming. With the benefit of hindsight it can be argued that greater concentration of DHCP activities could have generated more impact on policy at the state level, as demonstrated by the fact that in Ceará and Pernambuco, the states with the highest concentration of DHCP families, the authorities sought lessons learned from DHCP with regard to the development of state agriculture extension services.

170. **Sustainability.** Together with efficiency, the lowest performing criterion for DHCP was sustainability, though it is still in the “satisfactory” category. This was because DHCP adopted a timeline for ensuring sustainable results that went beyond its planned lifetime. In 2006, new areas and territories were included even though it would not be possible to generate sustainable results before the closure date. The project relied on a potential second-phase for further consolidation of benefits in beneficiary families and subsequent phasing out. The lack of an explicit strategy for disengagement from targeted territories inevitably affected the assessment of project sustainability. The financing of a second phase is not an automatic process. Relying on seamless continuation in a sequential project is a risk: if DHCP-II is not financed, a significant share of DHCP benefits may vanish at the household and institutional levels.

171. **Systematization of experiences.** This evaluation points to a number of successful experiences that need to be analysed and shared, especially those related to the empowerment of women and the increase in the self-esteem of the rural poor. This will make it possible to extract lessons learned for use in future poverty reduction initiatives and further policy-dialogue actions. The systematic gathering, sharing and dissemination of experience gained under the DHCP were essential underlying concepts in the project rationale. This is required to convert the valuable DHCP experience into a model for sustainable rural development. The need for knowledge sharing justified the spreading of project actions across a variety of contexts. DHCP planned to mainstream its experiences by the end of 2010. Success in undertaking of these activities is a crucial condition for maximizing the development benefits of DHCP.

172. **Counterpart organization of DHCP and a future project.** The main DHCP partner was a federal ministry. IFAD and the Government agreed in the 2008 RB-COSOP to give preference in future to partnerships at the state level. If DHCP-II is to be implemented in one or more states, the conditions for project implementation would change: states may want to channel a technical assistance project of the DHCP type through their own institutional arrangements, and if this is the case, the nature of the project may change depending on the flexibility of states in terms of reforming and combining rural technical assistance modalities with the DHCP approach. In such a case the most important issue is preserving the value-added of the DHCP approach, in particular its linkage function between private and public institutions at different levels.

## B. Recommendations

173. In view of the positive achievements of DHCP, this evaluation recommends to IFAD and the Government of Brazil the financing of a second phase of the project. The evaluation recommends IFAD and the Government of Brazil to take note of the main lessons learned, especially with regard to geographical coverage, the strategy for sustainability and the emphasis on knowledge sharing.

174. **Institutional set up.** The RB-COSOP prepared by IFAD in close consultation with the Government of Brazil in 2008 establishes that “the state governments will be the partners of preference to carry out investment projects” and that “new loans will be agreed between IFAD and the state governments with the guarantee of the Federal Government”. Considering the positive results of the DHCP and being this a multi-state project with IFAD loan managed at federal level, a second phase of the project would require IFAD and the Government of Brazil to reach a clear agreement on the institutional organization of DHCP-II and the level of administration of project loan. This would include a commitment from the Government of Brazil to carry out, jointly with IFAD, the project design and the procedures for negotiations and signature of the loan agreement. In the new project, opportunities to reduce administrative and management costs by making use of decentralized structures should be identified. Likewise, in line with the rationale of the RB-COSOP, opportunities for cooperation and involvement of state-level governments should be included in order to maximise the potential influence of the DHCP-II at state-level.

175. **Policy linkages.** Define the links between DHCP-II and public policies at the federal, state and municipal levels to clarify existing and possible further connections for more effective channelling of development policies to the family farming system.

176. **Knowledge generation and dissemination.** Incorporate in project design a strategy for knowledge generation with a view to increasing the knowledge captured from experience. This requires a results-oriented M&E system that will enable the project to measure the progress in implementing the proposed approach and the results achieved at various levels (gender, ethnicity, age, households and institutions). The new phase should incorporate instruments for extracting information about the DHCP experience with a view to disseminating knowledge in national and international fora. In this context, IFAD should increase and facilitate opportunities to transfer DHCP experience at the regional level and in forthcoming initiatives for South-South cooperation.

177. **Support for rural income generation.** The project should include strategies for income generation through agricultural and non-agricultural activities. With regard to agricultural activities, support should be provided for upgrading products with high value-added and facilitating linkages of family farmers with value chain and markets. These activities should be implemented in line with the principle of environmental conservation that was a distinguishing feature of DHCP. The project should also identify instruments and strategies for the expansion of non-farm employment opportunities, especially for young people. In both contexts, the project should continue its support to initiatives aimed at facilitating access of beneficiaries to bottom-up financial and non-financial business development services.

178. **Managing for Sustainability.** Define at the outset the strategy for engagement with settlements and communities, and its duration. This includes the type and length of support and the indicators triggering the termination of project support – the exit strategy. The design should specify the institutional features and conditions expected at the time of project completion to ensure the continuation of benefits after the end of project financing.

179. **Maximize synergies with the IFAD country programme.** Where applicable, look for complementarities among DHCP actions and experience with IFAD programmes operating in the same states and territories.

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## List of Persons Met during the Evaluation Mission

## A. Preparatory Mission: 20 February–2 March 2010

Location	Title/Institution/Organization	Participating Team Members
Brasilia	<ul style="list-style-type: none"> <li>• Carlos Lampert Costa, Associate Secretary, SEAIN, Ministry of Planning, Organization and Management.</li> <li>• Lilia Cavalcante, SEAIN, Ministry of Planning, Organization and Management</li> <li>• Lenimaria Corazza, SEAIN, Ministry of Planning, Organization and Management</li> <li>• Humberto Oliveira, Secretary General, Territorial Development Secretariat, Ministry of Agrarian Development</li> <li>• Francesco Pierri, International Assessor, Ministry Cabinet, Ministry of Agrarian Development</li> <li>• Cristiano da Fonte Neves, Chef of Cabinet, Territorial Development Secretariat</li> <li>• Darana Souza, Rural Development Focal Point, UNDP</li> <li>• Carlos A. Basco, Representative IICA Brasil</li> <li>• Brancolina Ferreira, Rural Development Focal Point, <i>Instituto de Pesquisa Econômica Aplicada</i></li> </ul>	L. Cuna M. Reichmuth
Recife	<ul style="list-style-type: none"> <li>• Josè Patriota Filho, Secretary of Development and Regional Integration</li> <li>• Espedito Rufino de Araujo, Director, DHCP</li> <li>• Walmar Isacksson Juca, Planning Coordinator, DHCP</li> <li>• Geraldo Firminio da Silva, Financial Manager, DHCP</li> <li>• Felipe Tenorio Jalafim, Coordinator, DHCP</li> <li>• Luis Claudio Mattos, Project GEF Sertão, DHCP</li> </ul>	L. Cuna M. Reichmuth

## B. Main Mission: 26 April–17 May

Location	Institution/Organization	Participating Team Members
Pajeú, Pernambuco	Technical assistance partners <ul style="list-style-type: none"> <li>• COPAGEL, Afogados da Ingazeira</li> <li>• DIACONIA, Afogados da Ingazeira</li> <li>• CMNE, Casa da Mulher, Afogados da Ingazeira</li> </ul>	M. Reichmuth
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• FETAPE, Afogados da Ingazeira</li> <li>• FETAPE, Rurais, Tabirá</li> </ul>	
	Beneficiary associations <ul style="list-style-type: none"> <li>• Comunidade Santa Antonio II, Afogados de Ingazeira</li> <li>• Comunidade de Riacho Fundo, Quixaba</li> <li>• Ramada da Quilabeira, Iguaracy</li> <li>• Comunidade de Riacho Fundo, Quixaba</li> <li>• Riachao, Ingazeira</li> <li>• Comunidades Quilombola de Umbuzeiro e Leitao, Afogados de Ingazeira</li> <li>• Assentamento de Crédito Fundiario Boa Vontade I, Santa Terezinha</li> </ul>	
	Other stakeholders <ul style="list-style-type: none"> <li>• Ecosol Coop. De crédito rural e economia solidaria do Pajeú</li> </ul>	

<b>Location</b>	<b>Institution/Organization</b>	<b>Participating Team Members</b>
Carari, Paraíba	Technical assistance partners <ul style="list-style-type: none"> <li>• CUNHA, Monteiro</li> <li>• VÍNCULUS, Monteiro</li> </ul>	M. Reichmuth
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• FETAG, Comunidade Serrote Agudo</li> <li>• CUT, Monteiro</li> <li>• AAUC</li> </ul>	
	Beneficiary associations <ul style="list-style-type: none"> <li>• Ze Marcolino, Comunidade Serrote Agudo</li> <li>• Asociação Feira Agroecológica AMUABA, Comunidade Bacía do Acute</li> <li>• APAH – Associação dos Produtores Agroecológicos de Monteiro</li> <li>• Resistência das Rendeiras de Cacimbinha</li> <li>• Dos Dez, Monteiro</li> <li>• Lajedo de Timbaúba</li> </ul>	
	Other stakeholders <ul style="list-style-type: none"> <li>• Prefeitura, Município de Soledade</li> </ul>	
Fortaleza, Ceará	Technical assistance partners <ul style="list-style-type: none"> <li>• CETRA</li> </ul>	M. Reichmuth
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• FETRAECE</li> </ul>	
	Other stakeholders <ul style="list-style-type: none"> <li>• Antonio Rodriguez de Amorim, Secretário do Desenvolvimento Agrário do Estado do Ceará</li> <li>• Luis Sergio Farias Machado, Superintendente de Agricultura Familiar, Banco do Nordeste de Brasil</li> </ul>	
Araripe, Pernambuco	Technical assistance partners <ul style="list-style-type: none"> <li>• CAATINGA</li> </ul>	A. Favareto
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• FETAPE</li> </ul>	
	Beneficiary associations <ul style="list-style-type: none"> <li>• Comunidade Umburana</li> <li>• Comunidade Serra da Baixa</li> <li>• Comunidade Santa Fé</li> </ul>	
	Other stakeholders <ul style="list-style-type: none"> <li>• ECOSOL</li> <li>• Aguinaldo, Secretário de Agricultura de Trindade, Prefeitura Municipal, Parnamirim</li> <li>• Comunidade Serra do Porto</li> </ul>	
São João, Piauí	Technical assistance partners <ul style="list-style-type: none"> <li>• ÁRIDAS</li> <li>• CÁRITAS</li> <li>• SEMEAR</li> </ul>	A. Favareto
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• Quilombo</li> <li>• FETAG</li> <li>• CEFICAS</li> </ul>	
	Beneficiary associations <ul style="list-style-type: none"> <li>• Comunidade Lagoa do Mato</li> <li>• Comunidade Feitoria</li> <li>• Comunidade Barragem do Onça I e II</li> <li>• Comunidade Lagoa das Emas</li> </ul>	
	Other stakeholders <ul style="list-style-type: none"> <li>• Banco do Nordeste, São Raimundo Nonato</li> <li>• Prefeitura Municipal, Pajeú do Piauí</li> </ul>	

Location	Institution/Organization	Participating Team Members
Inhamuns, Ceará	Technical assistance partners <ul style="list-style-type: none"> <li>• Inhamuns Acesoria</li> <li>• ESPCAR</li> <li>• CARITAS</li> <li>• IDEF</li> <li>• CADESTAP</li> </ul>	C. Guanzioli
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• FETRAECE</li> </ul>	
	Beneficiary associations <ul style="list-style-type: none"> <li>• Comunidade Mourao</li> <li>• Comunidade Viraçao</li> <li>• Sao Damiao Casimires</li> <li>• S. Damiao Casimiris</li> <li>• Comunidad de Irapuá</li> </ul>	
	Other stakeholders <ul style="list-style-type: none"> <li>• Gobierno Municipal, Monseñor Tabosa</li> </ul>	
Apodí, Rio Grande du Norte	Technical assistance partners <ul style="list-style-type: none"> <li>• Terra Viva</li> <li>• Pedra Abelha</li> <li>• Terra Libre</li> <li>• ATOS</li> <li>• Diaconia</li> <li>• CEAPAC</li> <li>• COOPERVIDA</li> <li>• CEATICA</li> <li>• Sertão Verde</li> <li>• CEAGRO</li> <li>• Centro Padre Pedro</li> </ul>	C. Guanzioli
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• FETARN</li> </ul>	
	Beneficiary associations <ul style="list-style-type: none"> <li>• Cooperativa Potiguar de Apicultura y Desarrollo Sostenible (COPAPI)</li> <li>• Laje do Meio</li> <li>• Asentamiento de Moacyr Lucena</li> <li>• Sombras Grandes</li> <li>• Bom Jesús</li> </ul>	
	Other stakeholders <ul style="list-style-type: none"> <li>• Banco del Nordeste</li> </ul>	
Sergipano, Sergipe	Technical assistance partners <ul style="list-style-type: none"> <li>• SASAC</li> <li>• ACRaNe</li> <li>• CÁRITAS da Propria</li> <li>• CDJBC</li> </ul>	L. Cuna
	Rural trade unions, social mobilizers <ul style="list-style-type: none"> <li>• FETASE</li> </ul>	
	Beneficiary associations <ul style="list-style-type: none"> <li>• Assentamento Pioneira</li> <li>• Grupo de feirantes, Feira de agricultura familiar agroecológica de Porto de Folha “Produtos de Nossa Terra”</li> <li>• Comunidade Lagoa da Volta – Porto da Folha</li> <li>• Comunidade quilombola Mocambo – Porto da Folha</li> <li>• Assentamento São Raimundo, Monte Alegre</li> <li>• Assentamento São Raimundo</li> <li>• Assentamento Nova Canadá, Canindé de São Francisco</li> </ul>	

Location	Institution/Organization	Participating Team Members
	Other stakeholders <ul style="list-style-type: none"> <li>• PRONESE</li> </ul>	

### C. List of Participants in Evaluation Wrap-Up Meeting in Brasilia

Name	Function	Organization
Carlos Eduardo Lampert Costa	Deputy Secretary	SEAIN/MP
Benvindo Belluco	Coordinator General	SEAIN/MP
Claudia Veiga da Silva	General Coordinator	SEAIN/MP
Leny Maria Corazza	Analyst	SEAIN/MP
Humberto Oliveira	Secretario	SDT/Ministry of Agrarian Development
Espedito Rufino	Director	DHCP
Walmar Juca	Planning Coordinator	DHCP
Cristiano Da Fonte Neves	Chief of Cabinet	DHCP
Felipe Jalfim	Technical Coordinator	DHCP
Geraldo Firminio	Financial Manager	DHCP
Ivan Cossio	Country Programme Manager	IFAD
Jose Bartolomeo Cavalcante	Rural Development Coordinator	Secretariat of Rural Development in the State of Ceará
Francisca Cristina do Nascimento	Executive Coordinator	ASA
Aristides Santos	Secretary	CONTAG
Clarissa Filguera	Administrative Assitant	UNDP/IFAD – Brasil
Arilson Favareto	Researcher	Federal University of ABC
Pedro Carlos da Silva	Researcher	Empresa Brasileira de Pesquisa Agropecuária (EMBRAPA)
Antonio Guimaraes	Director	Federação dos Trabalhadores na Agricultura (FETAG)

### Definition of the Evaluation Criteria used by the Office of Evaluation

Criteria	Definition <sup>a</sup>
<b>Project performance</b>	
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, institutional priorities and partner and donor policies. It also entails an assessment of project coherence in achieving its objectives.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results.
<b>Rural poverty impact<sup>b</sup></b>	
<ul style="list-style-type: none"> <li>Household income and assets</li> </ul>	Household income provides a means of assessing the flow of economic benefits accruing to an individual or group, whereas assets relate to a stock of accumulated items of economic value.
<ul style="list-style-type: none"> <li>Human and social capital and empowerment</li> </ul>	Human and social capital and empowerment include an assessment of the changes that have occurred in the empowerment of individuals, the quality of grassroots organizations and institutions, and the poor's individual and collective capacity.
<ul style="list-style-type: none"> <li>Food security and agricultural productivity</li> </ul>	Changes in food security relate to availability, access to food and stability of access, whereas changes in agricultural productivity are measured in terms of yields.
<ul style="list-style-type: none"> <li>Natural resources and the environment</li> </ul>	The focus on natural resources and the environment involves assessing the extent to which a project contributes to changes in the protection, rehabilitation or depletion of natural resources and the environment.
<ul style="list-style-type: none"> <li>Institutions and policies</li> </ul>	The criterion relating to institutions and policies is designed to assess changes in the quality and performance of institutions, policies and the regulatory framework that influence the lives of the poor.
<b>Other performance criteria</b>	
<ul style="list-style-type: none"> <li>Sustainability</li> </ul>	The likely continuation of net benefits from a development intervention beyond the phase of external funding support. It also includes an assessment of the likelihood that actual and anticipated results will be resilient to risks beyond the project's life.
<ul style="list-style-type: none"> <li>Promotion of pro-poor innovation, replication and scaling up</li> </ul>	The extent to which IFAD development interventions have: (i) introduced innovative approaches to rural poverty reduction; and (ii) the extent to which these interventions have been (or are likely to be) replicated and scaled up by government authorities, donor organizations, the private sector and others agencies.
<b>Overall project achievement</b>	This provides an overarching assessment of the project, drawing upon the analysis made under the various evaluation criteria cited above.
<b>Performance of partners</b>	
<ul style="list-style-type: none"> <li>IFAD</li> <li>Government</li> <li>Cooperating institution</li> <li>NGO/CBO</li> </ul>	This criterion assesses the contribution of partners to project design, execution, monitoring and reporting, supervision and implementation support, and evaluation. The performance of each partner will be assessed on an individual basis with a view to the partner's expected role and responsibility in the project life cycle.

<sup>a</sup> These definitions have been taken from Organisation for Economic Co-operation and Development/Development Assistance Committee *Glossary of Key Terms in Evaluation and Results-Based Management* and from the IFAD Evaluation Manual (2009).

<sup>b</sup> It is important to underline that the IFAD Evaluation Manual also deals with the "lack of intervention". That is, no specific intervention may have been foreseen or intended with respect to one or more of the five impact domains. In spite of this, if positive or negative changes are detected and can be attributed in whole or in part to the project, a rating should be assigned to the particular impact domain. On the other hand, if no changes are detected and no intervention was foreseen or intended, then no rating (or the mention "not applicable") is assigned.



Evaluation Framework

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<p><b>I. Project Performance</b></p>		
<p>A. Relevance</p>	<ul style="list-style-type: none"> <li>• Are DHCP objectives realistic and aligned to the national/state agriculture and rural development strategies/policies, the COSOP and other relevant IFAD policies? To what extent did the project responded to the development needs of the rural poor?</li> <li>• Was the DHCP consistent with the policies, programmes and projects undertaken by the Government and other development partners in project area? To what extent the DHCP generated synergies with other development operations in project area?</li> <li>• How was the internal coherence of the project in terms of synergies and complementarity between objectives, components, activities and inputs?</li> <li>• Did project objectives remain relevant over the period of time required for implementation? In the event of significant changes in the project context, or in IFAD policies, has design been retrofitted?</li> <li>• Was the project implementation approach (including financial allocations, project management and execution, supervision and implementation support, and M&amp;E arrangements) appropriate for achieving the project's objectives, given the context in which the project was implemented?</li> </ul>	<ul style="list-style-type: none"> <li>• President's Report</li> <li>• Appraisal Report</li> <li>• Supervision Reports</li> <li>• Self-assessment Reports</li> <li>• Interviews with project staff</li> <li>• Interviews with government authorities at the federal, state and local levels</li> <li>• Group discussion with beneficiaries</li> <li>• Interviews with IFAD CPM</li> <li>• Interviews with PL Director</li> <li>• Interviews with other donors and development actors in project area</li> <li>• Interviews with grassroots organizations and implementing partners</li> </ul>
<p>B. Effectiveness</p>	<ul style="list-style-type: none"> <li>• To what extent have project objectives been attained in both qualitative and quantitative terms? Taking into consideration targeted agrarian reform families and other communities, to what extent the project succeeded in its objective of: <ul style="list-style-type: none"> <li>• Are they undertaking actions aimed at improving their economic conditions that are necessary for sustainable human development?</li> <li>• Are they organized in autonomous collective subjects with continued technical assistance being provided by local entities strengthened by the project?</li> <li>• Have they improved their production system in line with the principle of co-existence with the semi-arid with continued technical assistance being provided by local entities strengthened by the project?</li> <li>• Are they using effective system for collection, storage and management of water resources with continued technical assistance being provided by local entities strengthened by the project?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• President's Report</li> <li>• Appraisal Report</li> <li>• Supervision Reports</li> <li>• Self-assessment Reports</li> <li>• Interviews with PMU staff</li> <li>• Interviews other government authorities at the federal, state and local levels</li> <li>• Group discussion with beneficiaries</li> <li>• Interview with other donors and development actors in project area</li> <li>• Interviews with grassroots organizations and implementing partners</li> <li>• Mini-survey (if applicable)</li> </ul>

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<b>I. Project Performance (cont.)</b>	<ul style="list-style-type: none"> <li>• Have adults, youth and children improve their educational level according to the cultural and social environment of the Semi-Arid?</li> <li>• Have targeted agrarian reform families and other communities better access to credit and count on the support of technical assistance organizations strengthened?</li> <li>• Have the project systematized and spread the knowledge generated by learning processes?</li> <li>• What factors in project design, implementation or context account for these results?</li> <li>• Did changes in the overall context (e.g., policy framework, political situation, institutional set-up, economic shocks, civil unrest, etc.) affect project results?</li> <li>• To what extent did contextual (location) factors and the choice of implementing partners affected project effectiveness?</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with IFAD CPM</li> <li>• Interviews with grassroots organizations and implementing partners</li> </ul>
<b>C. Efficiency</b>	<ul style="list-style-type: none"> <li>• How much time did it take for the loan to be effective, and how does it compare with other loans in the same country and region? By how much was the original closing date extended, and what were the additional administrative costs that were incurred during the extension period?</li> <li>• What are the costs of investments to develop specific project outputs compared to national standards? How is the DHCP cost of delivering services and results (including cost per beneficiary) compared to local, national or regional benchmarks?</li> <li>• What were the administrative costs per beneficiary and how do they compare to other IFAD- or other donors-funded operations in Brazil?</li> <li>• To what extent the financial and administrative functions associated with the management of DHCP loan affected the time and quality of project implementation?</li> <li>• Did the project deliver expected results in a timely manner? What factors help account for project efficiency performance?</li> </ul>	<ul style="list-style-type: none"> <li>• Appraisal Report</li> <li>• Self-assessment Reports</li> <li>• Interviews with PMU staff</li> <li>• Interviews with government authorities at the federal, state and local levels</li> <li>• Group discussion with beneficiaries</li> <li>• Analysis of comparators (if applicable)</li> <li>• Analysis of national data for benchmarking</li> <li>• Interviews with IFAD CPM</li> <li>• Interviews with grassroots organizations and implementing partners</li> </ul>

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<p><b>II. Rural Poverty Impact</b></p> <p>A. Household income and assets</p>	<ul style="list-style-type: none"> <li>• Did the composition and level of household incomes change (more income sources, more diversification and higher income)?</li> <li>• Did households access to water, livestock ownership and endowment of productive assets change? Did other household assets change (houses, bicycles, radios, television sets, telephones, etc.)?</li> <li>• Did the rural poor benefited from improved access to community infrastructure?</li> <li>• Did poor households' financial assets change (savings, debt or borrowing)?</li> <li>• To what extent did the rural poor benefited from higher income through better access to financial markets more easily?</li> <li>• Did the rural poor benefited from increase in income thanks to better access to input and output markets?</li> </ul>	<ul style="list-style-type: none"> <li>• Supervision Reports</li> <li>• Self-assessment Reports</li> <li>• Mini-survey (if applicable)</li> <li>• In-depth interviews with beneficiaries of selected project-financed services and activities</li> <li>• Interviews with control group (if applicable)</li> <li>• Group discussion with beneficiaries</li> <li>• Individual interviews in the field with beneficiaries</li> <li>• Direct observation</li> <li>• Mini-survey (if applicable)</li> <li>• Interviews with grassroots organizations and implementing partners</li> <li>• Interviews with PMU staff</li> </ul>
<p>B. Human and social capital and empowerment</p>	<p><u>Human capital</u></p> <ul style="list-style-type: none"> <li>• To what extent the project affected the capabilities of individuals, groups and communities? What were the results achieved under the training and education activities financed by the DHCP?</li> </ul> <p><u>Social capital</u></p> <ul style="list-style-type: none"> <li>• Did rural people's groups and grass-root institutions change? Are changes in the social cohesion and collective capacity of rural communities visible?</li> <li>• To what extent did the project empower the rural poor, communities and organizations vis-à-vis development actors and local and national public authorities? Do they play more effective roles in decision-making?</li> </ul> <p><u>Empowerment</u></p> <ul style="list-style-type: none"> <li>• To what extent did the DHCP succeeded to promote empowerment of small farmers in value chains?</li> <li>• What were the empowerment of effects of project activities targeting women and other vulnerable social categories?</li> </ul>	

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<b>II. Rural Poverty Impact (cont.)</b>		
C. Food security and agricultural productivity	<ul style="list-style-type: none"> <li>• To what extent did the project improve the farming condition of the family agriculture sub-sector?</li> <li>• Did cropping intensity change? Was there an improvement in land productivity (for example through adoption of improved technologies) Did the returns to labour change?</li> <li>• Did household food security (food access and availability) change? Is there any measurable effect on calories intake?</li> <li>• What were project effects in livestock development? To what extent these generated an impact on household food security?</li> </ul>	
D. Natural resources and the environment	<ul style="list-style-type: none"> <li>• To what extent did the project succeed to promote rational use and conservation of natural resources?</li> <li>• Did the status of the natural resources base change (land, water, forest, pasture, etc.)?</li> <li>• What were the effects of community investments on natural resources?</li> <li>• Did local communities' access to natural resources change (in general and specifically for the poor)?</li> <li>• Has the degree of environmental vulnerability changed (e.g., exposure to land degradation, soil erosion)?</li> </ul>	
E. Institutions and policies	<ul style="list-style-type: none"> <li>• To what extent did the project affect the functioning of participating NGOs? How this affected institutional growth and capabilities?</li> <li>• To what extent participation in the DHCP affected the Federation of Rural Workers in its relationship with local and state authorities?</li> <li>• Did the project generate any visible impact at policy level? Did the project improve the participation of rural communities and groups in policies and decision making processes?</li> </ul>	

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<b>III. Other Performance Criteria</b> A. Sustainability	<ul style="list-style-type: none"> <li>• Was a specific exit strategy or approach prepared and agreed upon by key partners to ensure post-project sustainability? Was this effective?</li> <li>• What are the chances that benefits generated by the project will continue after project closure, and what factors militate in favour of or against maintaining benefits?</li> <li>• Are the productive and income-generating activities supported by the DHCP financially viable?</li> <li>• Is there a clear indication of government commitment after the loan closing date, for example, in terms of provision of funds for selected activities, human resources availability, continuity of pro-poor policies and participatory development approaches, and institutional support? Did the IFAD project design anticipate that such support would be needed after loan closure?</li> <li>• Did project-financed investments (including those financed under the Social and Productive Fund) benefit from the engagement, participation and ownership of local communities, grassroots organizations, and the rural poor?</li> <li>• Are the ecosystem and environmental resources likely to contribute to project benefits or is there a depletion process taking place?</li> </ul>	<ul style="list-style-type: none"> <li>• Appraisal Report</li> <li>• Supervision Reports</li> <li>• Self-assessment Reports</li> <li>• Group discussion with beneficiaries</li> <li>• In-depth interviews with beneficiaries of selected project-financed services and activities</li> <li>• Interviews with PMU staff</li> <li>• Interviews with government authorities at the federal, state and local levels</li> <li>• Interviews with grassroots organizations and implementing partners</li> <li>• Interviews with IFAD CPM</li> </ul>
B. Innovation, replication and scaling up	<ul style="list-style-type: none"> <li>• What are the innovation(s) promoted by the project? Are the innovations consistent with the IFAD definition of this concept?</li> <li>• How did the innovation originate (e.g., through the beneficiaries, Government, IFAD, NGOs, research institution, etc) and was it adapted in any particular way during project/programme design?</li> <li>• Are the actions in question truly innovative or are they well-established elsewhere but new to the country or project area?</li> <li>• Were successfully promoted innovations documented and shared? Were other specific activities (e.g., workshops, exchange visits, etc.) undertaken to disseminate the innovative experiences?</li> <li>• Have these innovations been replicated and scaled up and, if so, by whom? If not, what are the realistic prospects that they can and will be replicated and scaled up by the Government, other donors and/or the private sector?</li> </ul>	

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<p><b>IV. Performance of partners</b></p> <p>A. Performance of IFAD</p>	<p><u>Quality of design</u></p> <ul style="list-style-type: none"> <li>• Did IFAD mobilize adequate technical expertise during design? Was the design process participatory (with national and local agencies, grassroots organizations) and did it promote ownership by the borrower? Were specific efforts made to incorporate the lessons and recommendations from previous independent evaluations in project design and implementation?</li> <li>• Did IFAD adequately integrate comments made by its quality enhancement and quality assurance processes?</li> </ul> <p><u>Quality of supervision and implementation support</u></p> <ul style="list-style-type: none"> <li>• Has the supervision and implementation support programme been properly managed (frequency, composition, continuity)? Has IFAD sought to monitor project impacts and IFAD concerns (e.g., targeting, participation, empowerment of the poor and gender aspects)?</li> <li>• Was IFAD capable of early identifying setbacks/opportunities in project implementation? Were the actions/recommendations provided by IFAD suitable to the implementing partners? Were these successfully applied?</li> <li>• Were prompt actions taken to ensure the timely implementation of recommendations stemming from the supervision and implementation support missions? Did IFAD undertake the necessary follow-up to resolve any implementation bottlenecks?</li> <li>• Did IFAD (in cooperation with the Government) take the initiative to suitably modify project design (if required) during implementation in response to any major changes in the context?</li> <li>• Has IFAD made proactive efforts to be engaged in policy dialogue activities at different levels in order to ensure, inter alia, the replication and scaling up of pro-poor innovations?</li> <li>• Has IFAD been active in creating an effective partnership and maintaining coordination among key partners to ensure the achievement of project objectives, including the replication and scaling up of pro-poor innovations?</li> <li>• Has IFAD promoted or encouraged self-assessment and learning processes?</li> <li>• Has IFAD, together with the Government, contributed to planning an exit strategy?</li> </ul>	<ul style="list-style-type: none"> <li>• Supervision Reports</li> <li>• Project Status Reports</li> <li>• Interviews with PMU staff</li> <li>• Interviews with government authorities at the federal, state and local levels</li> <li>• Interviews with IFAD CPM</li> <li>• Interviews with PL Director</li> <li>• Interviews with other donors and development actors in project area</li> <li>• Interviews with grassroots organizations and implementing partners</li> <li>• Interviews with UNOPS focal point</li> </ul>

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<p><b>IV. Performance of partners (cont.)</b></p> <p>B. Performance of the Government of Brazil</p>	<ul style="list-style-type: none"> <li>• Has the Government assumed ownership and responsibility for the project? Judging by its actions and policies, was the Government fully supportive of project goals? Has adequate staffing and project management been assured? Have appropriate levels of counterpart funding been provided on time?</li> <li>• Has the Government engaged in a policy dialogue with IFAD concerning the promotion of pro-poor innovations?</li> <li>• Were audits timely undertaken? Were audit reports submitted as required?</li> <li>• Did the Government (and IFAD) take the initiative to suitably modify the project design (if required) during implementation in response to any major changes in the context?</li> <li>• Was prompt action taken to ensure the timely implementation of recommendations from supervision and implementation support missions?</li> <li>• Did the Government (and IFAD) contribute to planning an exit strategy and/or making arrangements for continued funding of certain activities?</li> <li>• Have loan covenants and the spirit of the loan agreement been observed?</li> <li>• Have the flow of funds and procurement procedures been suitable for ensuring timely implementation?</li> <li>• Did the PMU discharge its functions adequately, and has the Government provided policy guidance to project management staff when required?</li> <li>• Was an effective M&amp;E system put in place and did it generate information on performance and impact which is useful for project managers when they are called upon to take critical decisions?</li> </ul>	<ul style="list-style-type: none"> <li>• Supervision Reports</li> <li>• Project Status Reports</li> <li>• Interviews with PMU staff</li> <li>• Interviews with government authorities at the federal, state and local levels</li> <li>• Interviews with IFAD CPM</li> <li>• Interviews with other donors and development actors in project area</li> <li>• Interviews with grassroots organizations and implementing partners</li> <li>• Interviews with UNOPS focal point</li> </ul>
<p>C. Performance UNOPS</p>	<ul style="list-style-type: none"> <li>• To what extent did UNOPS successfully ensure the supervision of DHCP fiduciary and loan administration aspects?</li> <li>• Was UNOPS been responsive to requests and advice from IFAD and the Government of Brazil when carrying out its fiduciary supervision responsibilities?</li> </ul>	<ul style="list-style-type: none"> <li>• Supervision Reports</li> <li>• Project Status Reports</li> <li>• Interviews with PMU staff</li> <li>• Interviews with government authorities at the federal, state and local levels</li> <li>• Interviews with IFAD CPM</li> <li>• Interviews with other donors and development actors in project area</li> <li>• Interviews with grassroots organizations and implementing partners</li> <li>• Interviews with UNOPS focal point</li> </ul>

CRITERIA	EVALUATION QUESTIONS	DATA SOURCES
<b>IV. Performance of partners (cont.)</b> D. Performance of NGOs and implementing partners	<ul style="list-style-type: none"> <li>• To what extent participating NGOs and other implementing partners affected DHCP performance and impact?</li> <li>• To what extent they effectively and efficiently discharged their functions?</li> </ul>	<ul style="list-style-type: none"> <li>• Supervision Reports</li> <li>• Project Status Reports</li> <li>• Interviews with PMU staff</li> <li>• Interviews with government authorities at the federal, state and local levels</li> <li>• Interviews with IFAD CPM</li> <li>• Interviews with grassroots organizations and implementing partners</li> <li>• Interviews with UNOPS focal point</li> <li>• Group discussion with beneficiaries</li> </ul>

## Land Reforms in Latin America: Ten Lessons towards a Contemporary Agenda<sup>1</sup>

by Alain de Janvry and Elisabeth Sadoulet  
University of California at Berkeley

June 2002

### Abstract

In reviewing the outcomes of 70 years of land reforms in Latin America, we arrive at the below mentioned lessons that give guidelines for future programs of access to land.

**Lesson 1:** Latin American land reforms have generally been “incomplete” in that they have not provided beneficiaries with the prerequisites for competitiveness. As a consequence, they have had a poor record in solving the poverty problem.

**Lesson 2:** Land use is generally only one element of pluriactive household strategies. Hence, optimum access to land should be endogenous to household choices as it depends upon idiosyncratic livelihood strategies.

**Lesson 3:** There exists a multiplicity of paths of access to land that can be selected from and combined according to political feasibility and budgetary capacity, with expropriative land reform only one of them and usually not the easiest.

**Lesson 4:** Opportunities for governments to negotiate the recuperation of lands to settle poor people remain vastly under-explored, even though they provide some of the most politically and budgetarily feasible approaches to land reform.

**Lesson 5:** Expropriation based on the social functions of the land, the classical approach to land reform, remains an important option for many countries, but it should be pursued pro-actively to be effective.

**Lesson 6:** When property rights are legitimate and formalized, access to land through assistance to purchase can offer attractive possibilities that deserve further experimentation to establish best practice.

**Lesson 7:** Access to land through assistance to rental offers possibilities that have not been pursued and deserve urgent attention.

**Lesson 8:** Land reform should be systematically imbedded in “new” approaches to rural development based on regional development and economic incorporation of the poor.

**Lesson 9:** Land reform for social change has been effective in displacing traditional landed elites and achieving political control over peasants, but not in promoting the social incorporation of beneficiaries.

**Lesson 10:** Many land reforms have remained inconclusive, and the path toward conclusion has in most cases been excessively tortuous and delayed, implying high efficiency and welfare costs.

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<sup>1</sup> Prepared for the World Bank's Latin American Land Policy Workshop, Pachuca, Mexico, June 14<sup>th</sup>, 2002; see [http://are.berkeley.edu/~sadoulet/papers/Land\\_Reform\\_in\\_LA\\_10\\_lesson.pdf](http://are.berkeley.edu/~sadoulet/papers/Land_Reform_in_LA_10_lesson.pdf), including the ten-page explanations attached to these lessons.



Financial Data<sup>1</sup>

Table 1-Appendix 6. Original and Modified Budget, plus Expenditure until end 2009

Category	Original				Modified				Expenditure				%	
	IFAD		Government		IFAD		Government		IFAD		Government			
	SDR	US\$	US\$	SDR	SDR	US\$	US\$	SDR	SDR	US\$	US\$			
I. Investment programmes	1,800,000	2,520,000	3,080,000	1,260,000	1,902,209	2,324,923	1,219,815	1,849,863	2,072,832					7.99
II. Machinery, vehicles and equipment	350,000	490,000	490,000	190,000	286,841	286,841	168,556	235,752	319,177					1.13
III. Training and basic education	1,250,000	1,750,000	1,750,000	1,410,000	2,128,663	2,128,663	1,343,603	1,994,130	2,391,730					8.94
IV. Field support services	9,850,000	13,790,000	2,433,529	11,524,000	17,397,668	3,070,177	11,602,473	17,746,145	2,984,726					42.25
V. Technical assistance, studies, audit	1,900,000	2,660,000	1,773,333	1,011,000	1,526,297	1,017,532	882,408	1,297,169	977,159					4.64
VI. Operating costs	1,350,000	1,890,000	7,560,000	2,105,000	3,177,897	12,711,590	2,115,783	3,168,790	14,026,949					35.05
Not allocated	1,300,000	1,900,000	8,463,538	300,000	452,907		0.00							
<b>Total</b>	<b>17,800,000</b>	<b>25,000,000</b>	<b>25,550,400</b>	<b>17,800,000</b>	<b>26,872,482</b>	<b>21,539,724.09</b>	<b>17,332,639.24</b>	<b>26,291,848.92</b>	<b>22,772,572.54</b>					<b>100</b>

Table 2-Appendix 6. Operational Cost compared with Total Volume of Resources Managed, by Year

Year	DHCP	Invested Amount (R\$)		Operating Costs	Operating Cost Over Total
		Other Sources	Total		
2001	2,113	-	2,113	1,573	74
2002	4,833	-	4,833	2,750	57
2003	9,001	945	9,946	2,984	30
2004	14,020	2,522	16,542	4,301	26
2005	15,545	11,618	27,163	5,161	19
2006	12,926	14,021	26,947	4,581	17
2007	16,002	12,991	28,993	4,639	16
2008	16,777	15,940	32,717	5,562	17
2009	19,631	18,721	38,352	6,520	17
<b>Total</b>	<b>110,848</b>	<b>76,758</b>	<b>187,606</b>	<b>38,071</b>	<b>20</b>

<sup>1</sup> Source: DHCP official data.

**Table 3-Appendix 6. Summary of Project Costs to 31.12.2009**

Components	Values (US\$)						% Executed
	Current			Actual	To Accomplish		
	Local	Foreign	Total				
<b>Training and organization</b>	<b>8,587</b>	<b>561</b>	<b>9,148</b>	<b>13,733</b>	<b>-4,585</b>	<b>150</b>	
Training	2,326	23	2,350	7,265	-4,915	309	
Basic education	1,123		1,123	800	323	71	
Gender-oriented support	902	47	950	2,411	-1,461	254	
Social investment fund	2,700		2,700	1,812	888	67	
Component coordination	1,535	490	2,025	1,445	580	71	
<b>Production/marketing development</b>	<b>27,151</b>	<b>1,927</b>	<b>29,079</b>	<b>16,483</b>	<b>12,596</b>	<b>57</b>	
Technology validation	2,137	112	2,250		2,250	0	
Production/marketing support services	13,869	730	14,599	13,917	683	95	
Production investment fund	6,679		6,679	1,782	4,897	27	
Marketing studies	1,545	515	2,060		2,060	0	
Component coordination	2,921	570	3,491	784	2,707	22	
<b>Financial services</b>	<b>41,453</b>	<b>50</b>	<b>41,503</b>	<b>26,182</b>	<b>15,322</b>	<b>63</b>	
S&L cooperative development	841	8	850	416	434	49	
Credit	39,930		39,930	25,300	14,630	63	
Component coordination	681	42	723	465	257	64	
<b>Project execution unit</b>	<b>10,255</b>	<b>1,512</b>	<b>11,766</b>	<b>16,274</b>	<b>-4,507</b>	<b>138</b>	
PMU	3,059	541	3,600	9,835	-6,234	273	
State supervision units	5,340	855	6,194	4,972	1,222	80	
Monitoring/Evaluation	1,856	115	1,972	1,467	505	74	
<b>Total baseline costs</b>	<b>87,446</b>	<b>4,050</b>	<b>91,497</b>	<b>72,671</b>	<b>18,826</b>	<b>79</b>	
Physical contingencies	893	95	988		988	0	
Price contingencies	911	86	997		997	0	
<b>Total project costs</b>	<b>89,251</b>	<b>4,231</b>	<b>93,482</b>	<b>72,671</b>	<b>20,811</b>	<b>78</b>	

**Table 4-Appendix 6. Share paid by IFAD and Government of Brazil for each Component**

Category	%	
	IFAD	Government
Investments programme	45	55
Vehicles, equipment and machinery	50	50
Training and basic education	50	50
Field support service	85	15
Technical assistance, studies and audit	60	40
Operating costs	20	80

**Table 5-Appendix 6. Technical Assistance Cost of DHCP in two Territories, 2007-2009**

Item	Sertão Central - CE			Apodi - RN		
	2007	2008	2009	2007	2008	2009
Assessoria Técnica Permanente (ATP)	737,770	671,398	725,825	1,007,710	938,959	1,038,470
Mobilização e Org. para Gestão Soc.	223,020	281,343	286,454	188,370	250,000	244,536
Assessoria em gênero e geração	191,200	87,300	71,888	212,775	174,700	183,550
Projetos UD	30,000	70,000	25,000	30,000	70,000	25,000
Gestão e capacitação	20,000	20,625	12,500	20,000	20,625	12,500
Especialistas e consultores	20,000	20,625	12,500	20,000	20,625	12,500
Ações Territoriais Pró-Ativas	100,000	150,000	31,250	100,000	150,062	31,250
Apoio à Gestão Territorial	25,000	50,000	14,124	25,000	50,000	14,124
	1,346,990	1,351,291	1,179,541	1,603,855	1,674,971	1,561,930

**Table 6-Appendix 6. Technical Assistance Services Subcontracted with NGOs, per year**

State	Year (R\$)							Total		
	2002	2003	2004	2005	2006	2007	2008	2009	R\$	US\$
Pernambuco	969,693	2,361,992	2,094,242	1,859,443	1,828,432	2,198,634	2,292,605	2,252,340	15,857,381	6,776,659
Ceará	533,639	1,215,039	1,608,233	807,326	1,905,126	1,479,281	2,181,113	2,293,418	12,023,175	5,138,109
Rio Grande do Norte	515,618	1,387,208	1,227,688	976,532	1,303,718	1,244,777	1,379,400	1,733,005	9,767,946	4,174,336
Sergipe	70,035	719,636	453,303	415,231	617,706	528,821	699,659	696,713	4,201,104	1,795,344
Paraíba	189,879	554,823	930,025	818,603	1,295,748	963,880	1,188,023	1,325,890	7,266,871	3,105,500
Piauí	0	0	229,330	1,008,551	707,797	628,127	1,031,730	1,008,521	4,614,056	1,971,819
<b>Total</b>	<b>2,278,864</b>	<b>6,238,698</b>	<b>6,542,821</b>	<b>5,885,686</b>	<b>7,658,527</b>	<b>7,043,520</b>	<b>8,772,530</b>	<b>9,309,887</b>	<b>53,730,533</b>	<b>22,961,766</b>



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## 1. PUBLICATIONS

## Working Paper

- Fox, C. and Gamarra-Rojas, L. Neto, L.R. & dos Santos, J.A. 2007. *Agricultura Familiar e projetos de mecanismo limpo. É Possível?* Projeto Dom Helder Câmara. Recife, PE, Brazil.
- Jalfim, F.T. 2008. *Agroecologia e Agricultura Familiar em Tempos de Globalização: o caso dos sistemas tradicionais de criação de aves no semi-árido brasileiro*. Dissertação de Mestrado. Universidade de Córdoba, Espanha; Universidade Federal Rural de Pernambuco, Projeto Dom Helder Câmara. Recife, PE, Brazil.
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- Santos, A. 2008. *Sistema agroecológico de produção e conservação de forragens na agricultura familiar - a experiência do Projeto Dom Helder Câmara no Sertão do Pajeú, Pernambuco*. Monografia apresentada à Universidade Federal de Lavras. Lavras, MG, Brazil.
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- Azevedo, M.A. & Santiago, F. 2009. *Um processo de aprendizagem pela prática de agricultores e agricultoras na região semi-árida brasileira*. In: I Congresso Nacional de Educação Ambiental. Recife, PE, Brazil.
- Block, D. & Lima, P.J. 2009. *Que Modelo de Organização para o Pós-Colheita do Algodão Agroecológico?* In: VI Congresso Brasileiro de Agroecologia e II Congresso Latino Americano de Agroecologia. Recife, PE, Brazil.

- Regueira, T.M.A. & Matos, L.C. 2009. *Conversão Agroecológica de Hortas e Pomares: um Processo de Aprendizagem Pela Prática de Agricultores e Agricultoras na Região semiárida Brasileira*. In: VI Congresso Brasileiro de Agroecologia e II Congresso Latino Americano de Agroecologia. Recife, PE, Brazil.
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### Gender Issues

- Relações de Gênero no Contexto da Agricultura Familiar. 2003. Diagnóstico de Gênero do Território do Sertão Sergipano em parceria com o Centro Dom José Brandão de Castro, CDJBC. Aracajú, SE, Brazil.
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- As Relações de Gênero no Semi-Árido. 2004. Diagnóstico do Território do Sertão Central do Ceará em parceria com ESPLAR Gênero (NGO). Fortaleza, CE, Brazil.
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com o Centro da Mulher 8 de Março 2004, e Cunha Coletivo Feminista (NGO) João Pessoa, PB, Brazil.

### **Technical Report for *Quilombolas Territories***

- *Elaboração do relatório antropológico sobre o Quilombo Lagoas, beneficiando aproximadamente 1,700 famílias numa área de mais de 50,000 ha.* Parceria com a Cáritas Diocesana de São Raimundo Nonato, Comunidade Quilombos de Lagoas e INCRA, Território Serra da Capivara, Estado do Piauí. 2009.

### **Magazines**

- Produção de 8 edições da revista *Ações*, do Projeto Dom Hélder Câmara, apresentando as ações realizadas a partir de cada componente e de cada território do Projeto. Recife, Brazil, 2004–2009.
- Produção de 3 edições do jornal “Informativos Territoriais”, publicações do Projeto Dom Hélder Câmara, contendo informações sobre as ações realizadas em cada um dos territórios do Projeto. 2005–2009.
- Produção de Informativo: edição especial “Investindo no ser humano: transformando o semiárido”, em parceria com o Caatinga (NGO) sobre o Território do Sertão do Araripe, PE, Brazil, 2007.

### **Brochures**

- Publicação de 3 cartilhas da série “Convivendo com o Semiárido”: 1) Manejo de Recursos Hídricos; 2) Construção de Cisternas de Placas sobre o Chão; e 3) Construção de Cisterna Calçadão, em parceria com a Diaconia (NGO). Recife, PE, Brazil.
- Juventude Rural: Realidade e Perspectivas no Sertão do Apodi. Diagnóstico sobre a juventude do território em parceria com CEATICA (NGO). Mossoró, RN, Brazil, 2006.
- Juventude e Comunicação: transformando o semiárido. Experiência em comunicação no território Sertão do Apodi, em parceria com CEATICA. Mossoró, RN, Brazil, 2007.
- Cidadania é assim: uma história puxa outra. Coletânea de Histórias de Vida do Semi-Árido Sergipano, em parceria com o Centro Dom José Brandão de Castro. CDJBC (NGO). Aracaju, SE, Brazil, 2008.
- Práticas Agroecológicas: Experiências na Agricultura Familiar, no Território do Sertão Sergipano, em parceria com o Centro Dom José Brandão de Castro. CDJBC (NGP). Aracaju, SE, Brazil, 2009.
- A Necessidade é que faz o sapo pular: Por que constituir um Fundo Rotativo Solidário na sua Comunidade, em parceria com o CETRA (NGO). Fortaleza, CE, Brazil, 2007.

## **2. MEDIA**

### **DVDs**

- Produção e divulgação de 2 edições de DVD's, detalhando as ações desenvolvidas nos Territórios, com depoimentos das famílias beneficiárias sobre suas experiências. Produção e divulgação de DVD sobre o Manejo da Caatinga.
- Produção e divulgação de um DVD, sobre a Escola Família Agrícola Dom Frago de Independência. EFAI no Território de Inhamuns. Ceará, em parceria com Associação Escola Família Agrícola de Independência. Nova Russas, CE, Brazil.

### **Newsletters**

- Produção e divulgação da revista eletrônica do Projeto Dom Hélder Câmara, detalhando as principais ações dos componentes do projeto.

## **Videos**

- Produção e divulgação do vídeo “Caminhos do Sertão” em parceria com a ESPLAR (NGO) do Território do Sertão Central, CE, Brazil.
- Produção e divulgação de Documentário: “Convivendo com o Semiárido”, em parceria com a Diaconia (NGO). Recife, PE, Brazil.
- Produção e divulgação do vídeo “Projeto Unicampo – A Construção da Universidade Camponesa no Brasil”, em parceria com a Universidade Federal de Campina Grande - PB. Território do Sertão do Cariri, PB, Brazil.
- Produção e divulgação de vídeo “O Semiárido Cheio de Vida” sobre educação para convivência com o semiárido, em parceria com a COOTAPI (NGO), Secretaria de Educação e Cultura do Estado do Piauí, SEDUC e Casa do Semiárido, atual Coordenadoria de Convivência com o Semiárido, CCSA, 2006–2007.
- Produção e divulgação de vídeo: “Manejo da Caatinga”, Território do Sertão do Pajeú, PE, Brazil.

## **CD series “Cantos do Semiárido”**

- Zabé da Loca: Banda de Pífano. Território do Sertão do Cariri, PB, Brazil.
- Grupo de Coco: Negros e Negras do Leitão. Território do Sertão do Pajeú, PE, Brazil.
- Banda de Pífanos do Sítio Leitão da Carapuça. Território do Sertão do Pajeú, PE, Brazil.
- Cavalhadas. Território do Sertão Sergipano.
- Índios Fulni-ô. Região do Agreste de Pernambuco.
- Cantadeiras do sisal e grupos de Cantigas de roda. Região do Sertão da Bahia.

## **Dissemination materials**

- Produção e publicação de 11 cordéis sobre diferentes temáticas: sertão de jovens; agroecologia; segurança alimentar; segurança hídrica; meio ambiente; protagonismo juvenil; comunicação; inclusão digital; desabastecimento de alimentos; e juventude gênero. Em parceria com CEATICA (NGO) Território do Sertão do Apodi, RN, Brazil. 2005–2009.
- 20 edições do informativo: *Espaço Jovem*, 2003–2010.

## **Radio Programme**

- “Conversa de Alpendre”, programas realizados em 2003 em parceria com Catavento (NGO) do Território do Sertão Central do Ceará.
- “Conversa de mulher”, programas realizados de 2003 a 2009, em parceria com o Esplar Gênero (NGO) do Território do Sertão Central do Ceará.





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