Country Assistance Evaluation of Brazil
-Summary-

March 2010
Preface

This report is a summary of the “Country Assistance Evaluation of Brazil” undertaken by the External Advisory Meeting on ODA Evaluation requested by the International Cooperation Bureau of the Ministry of Foreign Affairs (MOFA) of Japan.

Since its commencement in 1954, Japan’s Official Development Assistance (ODA) has contributed to the development of partner countries, and finding solutions to international issues which vary with the times. Recently, there have been increased domestic and international calls for more effective and efficient implementation of ODA. MOFA, as a coordinating ministry for ODA, has been conducting ODA evaluation mainly at the policy level with two main objectives: to support management of implementation of ODA; and to ensure its accountability.

This evaluation study was conducted: 1) to evaluate the relevance, effectiveness and appropriateness of Japan’s ODA to Brazil implemented between FY2004-FY2008 and thereby draw lessons and make recommendations for future ODA planning and implementation for Brazil; 2) to improve Japan’s ODA to Brazil by feeding back the evaluation results to the Government of Brazil, related institutions, and other development partners as well as to achieve accountability to the Japanese people; and 3) to provide information for a Country Assistance Program for Brazil that is to be formulated in the near future.

The External Advisory Meeting on ODA Evaluation was formed as an advisory body to the Director-General of the International Cooperation Bureau of MOFA to improve objectivity in ODA evaluation. The Advisory Meeting is commissioned to design and conduct evaluations of ODA and to feed back the results of each evaluation with recommendations and lessons learned as reference to the International Cooperation Bureau of MOFA. Mr. Yoshikazu IMAZATO, Former Editorial Writer, Tokyo Shimbun, a member of the meeting, was in charge of this evaluation.

Mr. Ko TAKAGI, Assistant Professor of Kanda University of International Studies, being an advisor for the study, made an enormous contribution to this report. Likewise, MOFA, the Japan International Cooperation Agency (JICA), and the ODA Taskforces as well as the Government of Brazil and other institutions in Brazil also made invaluable contribution. We would like to take this opportunity to express our sincere gratitude to all those who were involved in this study. The ODA Evaluation and Public Relations Division of the International Cooperation Bureau of MOFA was in charge of coordination of all the parties involved. All other supportive work including information collection, analysis and report preparation was provided by the International Development Center of Japan under the commission of MOFA.

Finally, we wish to add that the opinions expressed in this report do not reflect the views or positions of the Government of Japan or any other institution.

March 2010
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Country Assistance Evaluation of Brazil

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<td>(1) <strong>Team Leader:</strong> Mr. Yoshikazu Imazato, Former Editorial Writer, Tokyo Shimbun</td>
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<td>(2) <strong>Advisor:</strong> Mr. Ko Takagi, Assistant Professor, Kanda University of International Studies</td>
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<td>(3) <strong>Consultant:</strong> International Development Center of Japan</td>
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<td>3. <strong>Period of Evaluation Survey:</strong> June 2009 – March 2010</td>
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**Outline of Evaluation**

Japan’s ODA to Brazil in the period of FY2004-FY2008 as a whole is favorably appreciated by the Brazilian people concerned and other donors, and continued assistance is highly expected by the Brazilian side. However, Brazil has recently achieved sustained economic growth and is approaching the stage of “graduation” from ODA by the World Bank’s criterion. Taking such a situation into account, the following recommendations are made for Japan’s future ODA to Brazil.

1. **Continue ODA for a certain period to lay the foundation of a stronger partnership with Brazil in the future.**

Brazil is a leading exporter of food and natural resources and one of the most promising newly-emerging countries. It embraces a major part of the Amazon, the world’s largest tropical rainforest and, therefore, has a great influence on the global environment and climate change. It traditionally has friendly relations with Japan. In addition to the largest Japanese descendent community overseas, the whole nation feels close to Japan. In order to make the Japanese people fully aware of Brazil's importance to Japan and to keep Brazil pro-Japanese, Japan should provide ODA that sends positive messages to both sides, taking into account the future of Japan-Brazil relations. Japan should continue ODA, including loan aid, to Brazil for a while even after Brazil becomes a graduating country by the World Bank’s criterion and re-define the role of ODA to Brazil in transition, with a view to making future ODA to Brazil the foundation on which it could maintain friendly relations and building a stronger partnership with Brazil in the post-ODA era.

2. **Focus on cooperation in addressing global issues, reciprocal cooperation and triangular cooperation.**

It is proposed that that the following three areas be the pillars of Japan’s ODA to Brazil to strengthen the partnership by making the best use of Japan's strengths and thereby contributing to the three layered interests, i.e., Brazil’s national interest, the international community’s interest and Japan’s national interest. The three areas correspond to the four sectors for yen loans to upper-middle-income countries: 1) environment; 2) human resource development; 3) disaster protection and recovery measures; and 4) economic
and social infrastructure development to reduce regional disparities. They are also areas in which the two countries can collaborate for mutual benefit and for the international community and third countries.

- Cooperation in addressing global issues such as global warming, infectious diseases, food, energy and mineral resources
- Reciprocal cooperation beneficial to both countries such as public-private partnership projects
- Triangular cooperation, or Japanese-Brazilian joint assistance to third countries, in which complementary and synergistic effects can be expected

3. **Formulate a “Country Partnership Program”, evaluate the outcome and publicize them.**

The country assistance program is indispensable because strategy is more important for ODA to Brazil and higher accountability is required. It is proposed that the program be titled the Country Partnership Program to exhibit Japan’s intension inside and outside the country to build a strong partnership with Brazil and address global issues, as well as reciprocal issues, in cooperation with Brazil. For ODA to Brazil, effective public relations will become important more than before in view of sending messages to the people of the two countries. In Japan, it is crucial to enhance the people’s understanding of the usefulness of ODA and gain their support. In Brazil, some measures, not simply presentation of cooperation projects, are needed to have them taken up attractively in the mass media so that the Brazilian people would feel closer to Japan.

Note: The opinions expressed in this summary do not necessarily reflect the views and positions of the Government of Japan or any other institutions.
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Country Assistance Evaluation of Brazil
– Summary –

1. Recommendations

Japan’s ODA to Brazil for the period of FY2004-FY2008 as a whole is favorably appreciated by the Brazilian people concerned and other donors, and continued assistance is highly expected by the Brazilian side. Many successful stories indicate that ODA has positively contributed to Japan’s diplomatic relations with Brazil not only for the five years covered by this evaluation, but also long before and after the period. In terms of gross national income (GNI) per capita, however, Brazil is approaching the stage of “graduation” from ODA by the World Bank’s criterion.\(^1\) Although yen loans are in practice not provided to a country whose GNI per capita has exceeded the criterion, it should be carefully examined whether to continue ODA, including loan aid, to Brazil in the light of the economic and diplomatic importance of Brazil to Japan, as well as in the light of developmental needs. Based on these observations, the following recommendations are made for Japan’s future ODA to Brazil.

Recommendation 1: Continue ODA for a certain period to lay the foundation of a stronger partnership with Brazil in the future.

In view of Brazil’s growing importance to the international community and Japan, it is proposed that ODA to Brazil be continued for a certain period and that its role be re-defined so as to lay the foundation on which Japan could build a stronger partnership with Brazil in the future.

There was no country assistance program for Brazil for the period of FY2004-FY2008 and even before. In this evaluation, therefore, a conceptual diagram of policy goals was first prepared based on basic policies and priority areas agreed between the two governments and relevant official documents (see Figure 1 presented in Section 3). However, the “ODA policies for Brazil” illustrated in the diagram were not formulated through consultation with various stakeholders in Japan and can hardly answer to Japanese taxpayers’ question why Japan continues to provide ODA to Brazil today that Brazil has achieved sustained economic growth and is expected to catch up with Japan in the foreseeable future.

Brazil is “a major power of the 21 century”, a country of importance to Japan and, needless to say, to the whole world. It is a leading exporter of food and natural resources and one of the most promising newly-emerging countries. Japan also depends on its food and natural resources, as well as on the markets. Brazil embraces a major part of the Amazon, the world’s largest tropical rainforest and has a great influence on the global environment and climate change. Moreover, Brazil has traditionally been a friendly nation, supporting Japan on important scenes in the international arena. In addition to the largest population of Japanese descent (Nikkei) overseas, the whole nation feels close to Japan and believes that the relationship with Japan will be maintained and further strengthened in the future.

\(^1\) According to the World Bank’s *World Development Report 2010*, Brazil’s GNI per capita reached US$7,350 and exceeded the criterion (below US$6,465) of the World Bank and Japan for providing loans in 2008. The World Bank, however, continues to provide loans to some countries whose GNI per capita has exceeded the criterion, e.g., Mexico and Turkey, taking various factors into account.
All in all, it is crucial to make the Japanese people fully aware of Brazil's importance to Japan.

In order to keep Brazil pro-Japanese, Japan should also continue cooperation that sends positive messages to the Brazilian people, taking into account the future relationship between the two countries. Japan should make future ODA to Brazil the foundation on which it could maintain friendly relations and build a stronger partnership with Brazil in the post-ODA era. Japan's ODA has contributed to strengthening bilateral relations in the past. However, the situation will change substantially in the future; Japan's economy will diminish in size, as Brazil's economy will expand. It is therefore necessary to devise ODA that could have a greater impact even with fewer inputs, and to utilize loans effectively.

Furthermore, it would be important to demonstrate a reciprocal aspect more clearly to gain an understanding from the Japanese people about the significance of ODA to Brazil. “Reciprocal ODA” does not necessarily benefit Japan directly but could be in three-layered interests, i.e., the national interest of Brazil, the interest of the international community and, consequently, the national interest of Japan. “ODA in three-layered interests” would better appeal to the Japanese people because it is widely known to them that global issues such as global warming, food, energy and natural resources will become more serious in the future. Brazil is one of the very few countries with the potential to tackle these issues. The Government of Japan should inform the nation that it is highly beneficial to the international community and Japan as its member to support the development of Brazil through ODA.

Faced with the situation in which fast-growing developing economies are gaining power and Japan's relative influence decreases in the international community, Japan should re-examine the significance of ODA and the way it should be, especially of ODA to Brazil in the light of its importance for Japan. Japan's ODA is expected to continue in Brazil; there are particularly high expectations for technical cooperation in environmental conservation and inequality reduction and financial assistance for infrastructure development. Other donors tend to review ODA strategies as their positions relative to Brazil's change. Common to those donors is the recognition that Brazil is now in transition to a high-income, large country. In view of Brazil's importance, Japan should continue ODA, including loans, to Brazil for a while after its GNI per capita attains the World Bank's criterion for graduation and, at the same time, re-define the role of ODA to developing countries in transition.

**Recommendation 2: Focus on cooperation in addressing global issues, reciprocal cooperation and triangular cooperation.**

It is proposed that the following be the pillars of Japan's future ODA to Brazil with a view to strengthening the partnership and contributing to the three-layered interests.

- Cooperation in addressing global issues such as global warming, infectious diseases, food, energy and mineral resources
- Reciprocal cooperation beneficial to both countries such as public-private partnership projects
- Triangular cooperation, or Japanese-Brazilian joint assistance to third countries, in which complementary and synergistic effects can be expected
From the perspective elucidated in Recommendation 1 above, it is proposed that the following three areas be the pillars of Japan’s ODA to Brazil with a view to strengthening the partnership by making the best use of Japan’s strengths and thereby contributing to the three-layered interests, i.e., Brazil’s national interest, the international community’s interest and Japan’s national interest. Focus on the three areas is meant for “selection and concentration” under the constraints of Japan’s ODA resources, rather to underscore the character of ODA to Brazil as ODA to an upper-middle-income country. They correspond to the four sectors for yen loans to upper-middle-income countries: 1) environment; 2) human resources development; 3) disaster protection and recovery measures; and 4) economic and social infrastructure development to reduce regional disparities. They are also areas in which the two countries can collaborate for mutual benefit and for the international community and third countries.

(1) Cooperation in addressing global issues such as global warming, infectious diseases, food, energy and mineral resources

Addressing global issues such as global warming, infectious diseases, food, energy and mineral resources is one of the priority issues set out in Japan’s ODA Charter and agrees with Brazil’s development policy and needs. These are the most important areas where three-layered interests can be materialized. Judging from past experience, they are also areas where Japan’s technologies could be effectively absorbed and utilized by the Brazilian people, create new visions and be disseminated within Brazil and to third countries. Japan has achievements highly valued in Brazil in: 1) measures to prevent global warming such as surveillance against illegal deforestation, agroforestry, biomass technology, etc.; 2) agricultural development for increased food production; and 3) mineral resources development. These are also areas for which Japan would like to work vigorously, having announced the “Hatoyama Initiative” to support developing countries taking measures against climate change and, therefore, should be prioritized in future ODA to Brazil.

(2) Reciprocal cooperation beneficial to both countries such as public-private partnership projects

It is necessary to promote cooperation in which reciprocity is more tangible to the Japanese people to gain their support for ODA to Brazil. Brazil’s borrowing capacity has augmented due to fiscal stabilization in recent years. It can therefore be expected to expand public-private partnerships that utilize yen loans for strategic projects in areas beneficial to both countries, such as transport infrastructure (e.g., high-speed trains and port facilities), terrestrial digital broadcasting, food, natural resources, energy and so forth. In these areas, loans combined with technical cooperation are also helpful, and the Government of Brazil also strongly requests technical cooperation, as well as financial cooperation, from Japan. The importance of private investment will increase as Brazil’s economy grows in the future. ODA should thus be utilized to lay the foundation of expanded private investment during the transitional period.

Scientific and technological research cooperation is highly reciprocal. It would be possible to contribute to the world, as well as to Japan and Brazil, through joint research and projects in the fields of advanced science and technology. Brazil has high expectations for Japan’s green engineering and semiconductor technology. However, it is necessary to
deepen exchange through meetings, invitations and field visits by scientists of the two countries for specific cooperation. Though outside ODA, the Japan-Brazil Joint Committee on Scientific and Technological Cooperation established in 1985 was reactivated in 2005, and has a possibility of collaborating with ODA in science and technology.

The reciprocity includes cultural and diplomatic effects, in addition to economic benefit. Many Brazilians who had taken part in Japanese technical cooperation projects reported that they had learned, besides new technologies, the “Japanese styles” (work ethic and ways of thinking) and gained new visions. Improvement of transport infrastructure and public security are urgent issues, especially because Brazil will host the 2014 FIFA World Cup and the 2016 Summer Olympics and Paralympics in Rio de Janeiro. There is a great demand for Japan’s assistance in these areas. Moreover, it is reported that not only Brazilians of Japanese descent but also Brazilians of non-Japanese descent have become increasingly interested in the Japanese language, culture and sports. It would become an invaluable asset to Japan if more Brazilians feel close to the Japanese and Japanese culture. Japan should value more an asset of this kind that money cannot buy, and yet could be passed on to Brazil’s next generation.

(3) Triangular cooperation, or Japanese-Brazilian joint assistance to third countries, in which complementary and synergistic effects can be expected

Assistance to third countries in cooperation with Brazil has a history of a quarter of a century and has been so successful that other donors are following Japan’s good practices. The triangular cooperation is highly significant for Japan in that it could: 1) complement Japan’s ODA resources (funds, personnel, expertise, etc.); 2) support capacity development for Brazilian organizations and experts; and 3) strengthen relations with Brazil. More than 70% of Brazil’s technical cooperation is with developing countries of Latin America and Portuguese-speaking African countries (PALOPs) nowadays. Brazilians who used to be counterparts of Japan’s technical cooperation have become partners in the triangular cooperation. Regional cooperation in Latin America in, for example, forest conservation in the Amazon and terrestrial digital broadcasting, is also an area in which Japanese-Brazilian joint efforts are expected to generate complementary and synergistic effects.

For future ODA to Brazil, a comprehensive program integrating various projects should be formulated to ensure effective and efficient implementation. Current ODA is not sufficiently known to the general public and the federal government of Brazil, while highly appreciated by the counterpart personnel of individual projects and the people of target areas. This is probably because Japan’s ODA projects are fragmented or dispersed, even though Brazil is a country whose people are generally interested in Japan. It is therefore necessary for ODA to become a bond that links the fragments to form a whole as “Japan”.

Recommendation 3: Formulate a “Country Partnership Program”, evaluate the outcome and publicize them.

It is proposed that a “Country Partnership Program” be formulated to make clear the policy target “strengthening of partnership” of ODA to Brazil and the outcome be more effectively publicized to gain support from the people of the two countries.
The Ministry of Foreign Affairs is scheduled to formulate a “Country Assistance Program for Brazil” based on the findings and recommendations of this evaluation study, intending to revise the current ODA policies for Brazil positively upon the program formulation. This is a welcome development. It is because strategy is more important for ODA to Brazil, which is becoming a large country in various respects, and because higher accountability is required. The country assistance program is indispensable to systematic implementation of two or more related projects and integration of the fragmented outcome.

The program to be formulated would not necessarily be titled the Country Assistance Program. In 2004 the World Bank introduced the Country Partnership Strategy, replacing the Country Assistance Strategy for middle- and upper-middle-countries including Brazil. While there is a positional difference between the World Bank as a multilateral lending institution and Japan as a bilateral donor, Japan’s assistance could be called “partnership” as it is called “cooperation”. Thus, it is proposed that the program be titled the Country Partnership Program, rather than the Country Assistance Program, to exhibit Japan’s intension inside and outside the country to build a strong partnership with Brazil and address global issues, as well as reciprocal issues, in cooperation with Brazil.

The formulation of a country partnership program is also a response to the marginalization of ODA, i.e., diminished ODA relative to the size of the economy, in upper-middle-income countries. ODA will inevitably be marginalized when the recipient has grown economically and become a middle-income country. Such marginalization is much more real in an economically large country like Brazil. It is highly necessary to formulate a country program in which the evaluation framework is incorporated in order to have the recipient country understand why Japan continues ODA thereto and evaluate the outcome properly. The outcome should be evaluated in the framework and made public after the program period.

As regards ODA to Brazil, effective public relations will become important more than before in view of sending messages to the people of the two countries. In Japan, it is crucial to enhance the people’s understanding of the usefulness of ODA and gain their support, not merely for achieving accountability but rather for continuing ODA to Brazil and making it the foundation of a stronger partnership of the two countries. In Brazil, some measures, not simply presentation of cooperation projects, are needed to have them taken up attractively in the mass media so that the Brazilian people would feel closer to Japan.

2. Objectives and Scope of the Evaluation

Brazil has a population of 192 million with per capita gross national income (GNI) of US$7,350 and gross domestic product (GDP) of US$1,612.5 billion, the eighth largest in the world in 2008. The country is one of the fast-growing developing economies known as “BRICs” (Brazil, Russia, India and China), which has GDP even larger than the total GDP of the Association of South East Asian Nations (ASEAN). It is also one of the world’s largest group of exporting countries of food and natural resources, occupying an important position in the world market of those commodities. Brazil embraces a major part of the

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2 As the Ministry is currently reexamining what Japan’s ODA should be and thus what the Country Assistance Program should be accordingly, there is a possibility that the contents and formulation process of the program will be substantially altered.

Amazon, the world’s largest tropical rainforest, and, therefore, its natural resource management has a significant impact on the global environment and climate change. Brazil’s income inequality remains among the highest in the world and there is a substantial need for improvement of socioeconomic infrastructure and the overall living environment, particularly in urban areas (e.g., sewage, housing, wastes, traffic congestion, air pollution and public security).

Brazil has traditionally been a country friendly to Japan, having the largest community of Japanese immigrants and their descendants (approximately 1.5 million) overseas and keeping close diplomatic and political relations with Japan in the international arena.

From these points of view, the Government of Japan regards Brazil as one of the priority countries for its ODA in Latin America and has been vigorously cooperating with the Government of Brazil, prioritizing five sectors, i.e., “environment”, “industry”, “agriculture”, “health” and “social development”. Japan’s ODA to Brazil centers around loans, technical cooperation and grant assistance for grassroots human security as it is no longer eligible for grant aid for general projects. Japan is also expected to continue to cooperate with Brazil in providing ODA to Latin American countries and Portuguese-speaking African countries (PALOPs) in the framework of the Japan Brazil Partnership Program (JBPP) and through the Southern Common Market (MERCOSUR).

Against the above background, this evaluation was conducted for the following purposes.

1) To evaluate Japan’s ODA policies for Brazil in order to obtain lessons and recommendations that would contribute to the efficient and effective policy planning and implementation of Japan’s future assistance to Brazil;

2) To improve Japan’s ODA to Brazil by feeding back the evaluation results to the Government of Brazil, related institutions and other donors as well as to achieve accountability to the Japanese people; and

3) To provide information for the Country Assistance Program for Brazil to be formulated in the near future.

The present evaluation focused on Japan’s ODA policies for Brazil for the five-year period from FY2004 to FY2008, reviewing Japan’s ODA including loan, grant aid and technical cooperation programs/projects, as well as those implemented by utilizing the Japan trust funds of international organizations, i.e., the World Bank, Inter-American Development Bank and United Nations Educational, Scientific and Cultural Organization (UNESCO).

Japan’s ODA policies for Brazil were evaluated by first preparing a conceptual diagram of policy goals (see Figure 1 presented in Section 3) and then using three criteria, “relevance of the policies”, “effectiveness of the results” and “appropriateness of the processes”, based on the ODA Evaluation Guidelines (February 2009 edition).

However, it was not possible to assess the degree of achievement of the policy goals vis-à-vis target values. It is primarily because neither a country assistance program nor a result framework with indicators and target values has been formulated for Brazil. Furthermore, it is not significant to measure quantitatively the contribution of Japan and
other donors to Brazil’s socioeconomic development since external assistance is small compared with the size of public expenditure in Brazil. With these limitations, the effectiveness of the results was judged based on available data, both quantitative and qualitative, and interviews with those concerned with Japan’s ODA at various organizations. The appropriateness of the processes was also examined based on available information and interviews with present officials in charge when it was not possible to interview officials in charge at the time of implementation.

3. Evaluation Results

Prior to the evaluation, a conceptual diagram of policy goals for Japan’s ODA to Brazil was prepared in order to delineate the scope of evaluation (Figure 1). The diagram was based on basic policies and priority sectors agreed between the two governments and relevant official documents since a country assistance program has not been formulated for Brazil.

3.1 Relevance of Policies

Japan’s ODA to Brazil has been supporting Brazil in achieving its national goals such as economic growth, poverty reduction, income and regional inequality reduction and environmental conservation. It is consistent with: 1) Japan’s overall ODA policy, e.g., the ODA Charter, the Medium Term Policy, etc.; 2) Brazil’s development policies and needs, e.g., the Multiyear Plan (PPA) 2004-2007, the Zero Hunger Program; the Growth Acceleration Program (PAC), etc.; and 3) international priority issues, e.g., the Millennium Development Goals (MDGs) and global climate change; and complementary to 4) policies of other major donors in Brazil.

It was confirmed that Japan’s ODA policies for Brazil during the evaluation period (FY2004-FY2008) were consistent with the overall ODA policy. However, it was widely recognized among those interviewed by the Evaluation Study Team that: 1) Japan’s ODA policies for Brazil should be reviewed in terms of strategic use of ODA for strengthening the bilateral relations; and 2) Clearer policy goals should be established so as to answer the taxpayers’ question why Japan would continue to provide ODA to Brazil after it had achieved relatively sustained growth and reduction of poverty and inequality since 2002.

Japan’s ODA policies for Brazil are in common with those of other donors in terms of goals, notably poverty reduction (including creation of employment and income opportunities, reduction of income and regional disparities, etc.) and environmental conservation. Although there is some duplication of support activities among donors, the interviews conducted by the Evaluation Study Team have indicated that it does not cause a serious problem in efficiency and effectiveness because of the tremendous need for development assistance in Brazil, a large country where millions of people still live in poverty. The government exercises effective leadership and ownership and there is limited coordination among donors in Brazil.
### Brazil's Position in Japan's ODA

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<th>Technical Cooperation and Development Study</th>
<th>Japan Trust Funds</th>
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| **Figure 1:** Conceptual Diagram of Policy Goals for Japan's ODA to Brazil

#### Significance of Assistance to Brazil
- Brazil maintains traditionally friendly relations with Japan, with the largest Japanese descendant community overseas.
- Brazil is an important supplier of food and natural resources.
- Conserving Brazil's natural environment has a huge impact on the global warming and environment in and around the Amazon region.
- Brazil plays an important role in addressing global issues and providing assistance to third countries as Japan's partner.
- While it is one of the world's top economic powers, Brazil's income inequality remains among the highest in the world.
- There still remain issues to be tackled, including urban problems such as waste disposal, traffic congestion, air pollution and public security, and underdevelopment of economic and social infrastructure.
According to those interviewed in the Government of Brazil, project implementing agencies and other donors, strengths of Japan’s ODA are: 1) high-quality, meticulous, or “delicate” technical assistance transferring not only technologies but also useful ways of working and thinking); 2) loans with low interest and long repayment periods; and 3) triangular cooperation making the most of expertise available in Brazil. In particular, other donors have reported that they are learning from Japan’s good practices of triangular cooperation.

### 3.2 Effectiveness of Results

Japan’s ODA to Brazil has played a certain role in achieving the two main policy goals, “income inequality reduction” and “environmental conservation”.

Brazil has realized significant reductions in poverty and income inequality since 1990.\(^4\) Regional inequality has also tended to decrease in recent years. It is reported that economic growth and low inflation, income transfer programs, improvement of labor productivity due to expanded access to education, and reduced segmentation (geographic and formal-informal) of the labor market are factors contributing to the poverty and inequality reduction.\(^5\) External assistance is deemed to facilitate the improvement, though it is difficult to measure the degree of contribution of Japan’s ODA thereto.

While the Government of Brazil has accelerated its efforts for environmental issues, the improvement on the ground has been limited as compared with the success in poverty and inequality reduction. The policy goal of Japan’s ODA, “environmental conservation”, has therefore not been fully achieved. However, the Government of Brazil appreciates Japan’s support for environmental management such as: 1) surveillance against illegal deforestation by utilizing satellite images mainly in the Brazilian Amazon and forest conservation and sustainable use of forest resources in the field of natural environment; and 2) sewage and sanitation improvement, river basin depollution and waste disposal improvement in the field of urban environment. Thus, Japan’s ODA has contributed to a certain extent to environmental conservation in Brazil.

In the five priority sectors, i.e., “environment”, “industry”, “agriculture”, “health” and “social development”, Japan’s ODA has facilitated Brazil’s efforts through technology transfer and capacity building, even though the contribution was limited in terms of financial inputs. In particular, Japan’s technical cooperation is highly appreciated by the Government of Brazil and project implementing agencies and widely expected to continue in the future. Japan’s ODA has also brought about a considerable impact on a project basis in these sectors. Grant assistance for grassroots human security, though each grant is small, contributes toward the policy goals of the two countries, has a significant impact on activities of the respective recipient organizations, and is an effective tool of diplomacy for Japan.

“Assistance to third countries”, or triangular cooperation, implemented in the framework of JBPP is highly significant for Japan in that it could: 1) complement Japan’s ODA resources (funds, personnel, expertise, etc.); 2) support capacity development on the Brazilian side;

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\(^4\) Instituto de Pesquisa Econômica Aplicada (IPEA), Ipeadata (http://www.ipeadata.gov.br/).

\(^5\) Instituto de Pesquisa Econômica Aplicada (IPEA), Nota Técnica: Sobre a Recente Queda da Desigualdade de Renda no Brasil, p. 28-51.
and 3) strengthen relations with Brazil. The Government of Brazil expects to expand assistance to less developed countries in collaboration with Japan. Other donors show a keen interest in good practices of Japan-Brazil triangular cooperation. In the area of “regional cooperation”, Japan’s technical cooperation has effectively responded to the needs of MERCOSUR and has been bringing about some tangible results.

Assistance provided to Brazil through Japan’s trust funds, such as the World Bank’s Policy and Human Resources Development Fund (PHRD) and Japan Social Development Fund (JSDF), IDB’s Japan Special Fund (JSF) and Poverty Reduction Program (JPO), UNESCO’s Japanese Funds-in-Trust for the Capacity-building of Human Resources and Japanese Funds-in-Trust for the Preservation and Promotion of Intangible Cultural Heritage, is also largely appreciated in terms of impact on the policies of the Government of Brazil and contribution to capacity development and technology transfer.

3.3 Appropriateness of Processes

The processes adopted to ensure the relevance of the policies and the effectiveness of the results, i.e., the process of formulating Japan’s ODA policies for Brazil and the process of implementing the policies, were generally appropriate.

The ODA policies for Brazil for FY2004-FY2008 were drafted by the Second Country Assistance Planning Division, International Cooperation Bureau, Ministry of Foreign Affairs, based on the policy goals and priority sectors confirmed through annual policy dialogues between the two governments and then finalized based on comments obtained from other divisions and bureaus of the ministry, the Japanese Embassy in Brazil and the Japan International Cooperation Agency (JICA). The five priority sectors, environment, industry, agriculture, health and social development, were agreed on the occasion of President Lula’s official visit to Japan in May 2005 and assistance to third countries in accordance with the framework of JBPP. The process of formulating Japan’s ODA policies for Brazil was generally appropriate.

The institutional arrangements for implementing Japan’s ODA to Brazil are well established in both Japan and Brazil. In particular, the Japanese Embassy in Brazil and the JICA Brazil Office maintain effective collaboration and communication, as well as division of labor. The JICA Brazil Office has a branch in São Paulo and its national staff includes professionals of Japanese descent highly educated and proficient in Japanese. The JICA Office’s formation significantly contributes to smooth ODA implementation in Brazil.

The formulation of an ODA project is based primarily on the request from the Government of Brazil to the Government of Japan. However, the Ministry of Foreign Affairs prepares “country notes” (renamed “country appraisal guidelines” in 2006 and again “rolling plans” in 2009) and then sends them to the Japanese Embassy in order to ensure consistency between the formulated project and Japan’s ODA policies for Brazil. The Government of Brazil has strong ownership and various discussions are held in the course of project formulation. While giving attention to the needs and expectations of the Brazilian side, as well as relevance and feasibility of the project, the Ministry of Foreign Affairs, together with JICA, properly followed the project formulation and approval procedures.
The monitoring and evaluation of Japan’s ODA projects have been properly carried out. The monitoring and evaluation for technical cooperation and loan projects are conducted according to JICA’s procedures. The project implementing agencies on the Brazilian side fully participated in monitoring and evaluation activities in many cases. The Japanese Embassy, responsible for the approval and monitoring of grant assistance for grassroots human security, often monitors projects when attachés visit the area for approving a new project due to budget constraints.

Communication and coordination with the Government of Brazil are carried out by the Japanese Embassy at the policy level and by the JICA Brazil Office at the implementation level. The Department of Financial Affairs and Services (DFIN), Ministry of External Relations, the primary contact for financial cooperation on the Brazilian side, valued the advisory committee set up by the Japanese side as an extremely positive tool for monitoring financial management of the project concerned. The Director of the Brazilian Cooperation Agency, the primary contact for technical cooperation, also appreciated that Japan’s ODA was well planned and coordinated.

In Brazil, a “donor community” does not exist and formal aid coordination seldom takes place. However, the Japanese Embassy and the JICA Brazil Office frequently communicate with other major donors such as the World Bank, IDB and Germany. Japan’s coordination with the organizations concerned is generally smooth in assistance through the Japan trust funds of the World Bank, IDB and UNESCO.

Public relations for Japan’s ODA in Brazil to some extent impresses the Brazilian people with Japan’s contribution to the socioeconomic development of Brazil. They are considered helpful in fostering pro-Japanese feelings among the Brazilian people, enhancing Japan’s presence in Brazil and strengthening the bilateral relations. Nevertheless, there is room to examine more appealing methods of public relations in Brazil.

4. Lessons Learned

Lessons drawn from this evaluation are discussed below for Japan’s future ODA to Brazil.

4.1 Lessons for Consolidating Policy Planning

(1) Need for a Country Assistance Program

Since there is no country assistance program for Brazil, this evaluation was conducted upon a conceptual diagram of policy goals prepared by the Evaluation Study Team based on basic policies and priority areas agreed between the two governments and relevant official documents. However, the country assistance program is indispensable for providing ODA to a country for a long term for the following reasons.

1) For effective and efficient implementation of ODA, a comprehensive program is needed in which the present situation and developmental issues of the partner country, goals of Japan’s ODA and means to achieve them (e.g., priority areas, specific assistance, time frames, locations, etc.) are described.

2) The assistance program is a means of policy management in the PDCA cycle\(^6\) for

\(^6\) Plan (establishment of policies) → Do (implementation) → Check (ex-ante, interim and ex-post
organizations in charge of planning and implementation. Therefore, its absence means that the PDCA cycle fails. The program should also include an evaluation framework that specifies policy goals and indicators, together with baseline data and target values, to measure achievement.

3) It is a means of informing the people of Japan and the partner country of the policy goals and methods of Japan's ODA to the country and thus essential to accountability.

4) It is a means of sharing information among the people concerned with ODA in Japan and the partner country and can serve as documentation.

Factors deemed to have contributed to effective implementation of Japan's ODA to Brazil despite the absence of a Country Assistance Program for the country are described in Section 4.2 below.

(2) Need to redefine ODA to upper-middle-income countries

Brazil’s GNI per capita, US$7,350 in 2008, has exceeded the criterion (below US$6,465) of the World Bank and Japan for providing loans. It is also approaching the maximum income allowed for ODA to upper-middle-income countries (US$3,706-11,455 in 2007 effective for reporting on 2009 and 2010 flows) defined by the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD-DAC). The present evaluation study has also revealed various aspects of Brazil's remarkable development, not only the increased GNI per capita. Although Japan, and probably other donors, did not anticipate that Brazil would have reached this stage so quickly at the beginning of the 2000s, it is now undeniable that Japan's ODA to Brazil is entering a new phase.

The graduation of a developing country from ODA upon its economic development is the ultimate goal of ODA and should be celebrated. To Japan, however, the graduation means losing a relationship with the country through ODA and is not perfectly desirable from the viewpoint of maintaining bilateral relations. Prior to the graduation, therefore, Japan should prepare itself to keep a close bond with the country without ODA. For Brazil, a strategy should be worked out in the next five years to make ODA the foundation of a strong partnership in the future, as the Government of Brazil still highly expects Japan’s ODA to continue and there is also an enormous need for development assistance.

As fast-growing developing economies are gaining power and Japan's relative influence decreases in the international community, Japan should re-confirm the significance of ODA. Considering various factors, the World Bank provides loans to some upper-middle-income countries whose GNI per capita has exceeded the above-mentioned graduation criterion. Japan should also decide whether to continue ODA to a country from a comprehensive viewpoint including Japan’s economic relations with the partner country, diplomacy and possibility of addressing global issues, in addition to developmental needs. Such necessity is particularly high for Brazil in view of its economic and diplomatic importance to Japan. In this regard, however, many issues should be scrutinized, e.g., sectors covered by ODA,

evaluation, auditing and other studies) \rightarrow Act (feedback for implementation policy/ reflection of evaluation results into new policies)

regional differentiation within a country, methods of assistance, public-private partnership, as well as the criteria for providing yen loans, in accordance with the objectives of Japan’s ODA as delineated in the ODA Charter.8

4.2 Lessons for Enhancing Effectiveness

Japan’s ODA to Brazil for the period FY2004-FY2008 as a whole has been favorably appreciated. The following factors are deemed to have contributed to the effective implementation of Japan’s ODA to Brazil even without a Country Assistance Program.

(1) Best use of Japan’s strengths

Japan was one of Brazil’s top donors in bilateral assistance up to around 2003, but had since been gradually lowering its rank and was not among the top five already in 2006. However, Japan’s assistance to Brazil is acclaimed for its distinct strengths, and Japan’s presence in Brazil is felt even today. The strengths include meticulous support, on-site principles, continuity, active involvement of related organizations, emphasis on human resources development and leading the counterparts toward higher awareness and new visions. Effective assistance with long-term impacts has been possible by making the best use of these strengths and mutual trust and experience nurtured through 50 years of cooperation.

The staff of the JICA Brazil Office that includes Nikkei professionals highly educated and proficient in Japanese is an important factor optimizing the above-mentioned strengths. Reinforced with vigorous efforts of the Japanese Embassy and Consulates General, grant assistance for grassroots human security has responded to diverse needs, though each grant is small, and is considered helpful overall in augmenting the impacts of Japan’s assistance, as well as in fostering friendly feelings toward Japan among Brazilians.

(2) Asset of Nikkei (Brazilians of Japanese descent)

The existence of immigrants from Japan and their descendants (Nikkei) in Brazil is a decisive factor promoting effective implementation. For instance, the development and dissemination of an agroforestry system in Northern Brazil, which has been contributing to forest conservation in the Amazon, could not have been possible without Nikkei farmers of Tomé-Açu in the State of Pará. Nikkei have participated in various technical cooperation projects as specialists or interpreter-cum-coordinators, facilitating technology transfer to and communication with Brazilian counterparts. Their active participation in triangular cooperation has also led various projects to success to such an extent that it is highly appreciated not only by the Government of Brazil but also by other donors.

The Nikkei can be seen as an important asset for Japan in providing ODA to and building a strong partnership with Brazil, as their community as a whole has achieved remarkable development, in contrast with the previous situation in which they were mainly a target of Japan’s assistance. Since many Japanese people are not fully aware that Brazil has such

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8 The 2003 ODA Charter has stipulated that “the objectives of Japan’s ODA are to contribute to the peace and development of the international community, and thereby to help ensure Japan’s own security and prosperity” (Government of Japan, Ministry of Foreign Affairs, Economic Co-operation Bureau, Japan’s Official Development Assistance Charter, August 29, 2003, p. 1).
a large *Nikkei* community (1.5 million people), more efforts should be made to enhance their awareness.

(3) **Focus on prioritized areas**

JICA has focused on environment conservation, reduction of social disparity, social infrastructure development and triangular cooperation in its technical cooperation with Brazil, while the ODA policies for Brazil has prioritized environment, industry, agriculture, health and social development, as well as triangular cooperation, based on agreement with the Government of Brazil. JICA's focus on areas where Brazil has needs and Japan has strengths has also promoted effective implementation. The selection and concentration was a wise decision in the midst of a decreasing budget for ODA to Brazil.

(4) **Cooperation developed along Brazil’s growth**

Japan has developed new modes of cooperation along with the growth of Brazilian counterpart organizations upon the relations built with Brazil over a long time. Some organizations that used to be supported by Japan’s ODA have become partners in JICA’s third country training programs. There is a virtuous circle where projects are smoothly formulated based on previous cooperation, which further deepens cooperation and facilitates effective implementation. In many technical cooperation projects, moreover, regional seminars and third country training programs for participants from other Latin American countries are combined with activities in the target area, and there are attempts to share information with and disseminate the outcome to other countries. Such evolution of cooperation could be replicated as a model in other countries.

(5) **Brazilian ownership backed up with strong capacity**

The high level of ownership of the Government of Brazil and implementing organizations is an important factor facilitating effective implementation. In general, country ownership is indispensable for materializing the effect of ODA, and the Brazilian ownership is backed up with relatively strong financial, institutional and technical capacity. Prime examples include the Ministry of Finance that has succeeded in consolidating fiscal and macroeconomic stability, the Secretariat of International Affairs, Ministry of Planning, Budget and Management, that is effectively administering ODA, and the Brazilian Agricultural Corporation (EMBRAPA) that is becoming a leading agricultural research institute in the world, beyond the Latin American region. Japan’s respect for Brazil’s ownership, self-reliance and capacity has also facilitated effective implementation.

(6) **Absorption capacity of the Brazilian counterpart**

It is indisputable that the strong absorption capacity of the Brazilian counterpart personnel has enhanced the effectiveness of Japan’s ODA. It is commendable that many of the counterparts interviewed by the Evaluation Study Team reported that through Japan’s cooperation they had not only obtained technology and knowledge but also learned Japanese culture and ways of working and thinking, having overcome difficulties stemming from differences in culture and perception in the project formulation and implementation.

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9 Under the new JICA started in October 2008, the prioritized areas of its assistance to Brazil are “environment” (including climate change measures and urban environment improvement), “social development” (reducing social disparity) and “triangular cooperation”.
stages. They also seemed to make efforts to grasp the problem objectively, or admit the failure, taking it as a lesson for the next step, and to improve the situation, even if they might be faced by a problem due to poor planning or coordination during implementation.

(7) Pro-Japanese feelings of the Brazilians

Pro-Japanese feelings of the Brazilians are one of the factors that presumably enhanced aid effectiveness and also had a positive influence on factor (6) above. In the opinion poll “2008 Brazil Image of Japan Study” commissioned by Japan’s Ministry of Foreign Affairs, 74% of the respondents answered that Japan and Brazil maintained friendly relations, and Japan (58%) came second after the United States (78%) as the best-known country. Many Brazilians have a positive image of the Japanese; of the respondents, 45% regarded the Japanese as diligent, followed by 37% as efficient and 35% as courteous. In the background, there exists high appreciation of Japan’s contribution to Brazil’s economic development (72% of the respondents answered positively) and Japanese descendants’ contribution to Brazilian society (81% answered positively). Brazilians' general sense of closeness to and respect for Japan and the Japanese seem to have bred the positive attitude that the Brazilian counterpart personnel would learn from Japan in ODA projects.

4.3 Lessons for Improving Public Relations

(1) Need to publicize Japan’s ODA more effectively in Brazil

Although the Japanese Embassy and Consulates General in Brazil and the JICA Brazil Office make various efforts under budget constraints, there is room for more effective public relations. According to the media in Brazil, there are projects widely recognized as Japan-assisted, whereas there are projects little known by locals. It is necessary to devise more effective methods, such as communicating with the mass media by deploying Nikkei specialists well-acquainted with the two countries and providing more information on Japan’s ODA to Brazilian journalists living in Japan, so that Brazilians who are not directly involved in ODA would recognize the outcome of Japan’s ODA.

(2) Need to disseminate more information on Brazil in Japan

The importance of Brazil to Japan is not well understood by the general public in Japan, though their support is indispensable for continuing ODA to Brazil. In the opinion poll on Japan-Brazil relations commissioned by the Ministry of Foreign Affairs in 2007, only 30% of the respondents think that the Japan-Brazil relations are favorable, whereas only 23% feel close to Brazil and Brazilians. These results are significantly different from those of the above-mentioned opinion poll on Japan and the Japanese taken in Brazil. Now that the 100th Anniversary of Japanese Emigration to Brazil is past, the 2016 Rio de Janeiro Olympics will be a golden opportunity to publicize Brazil to the Japanese people. At the opportunity, the Government of Japan should disseminate more information on the importance of Japan-Brazil relations and the outcome of ODA to Brazil.

Map of Brazil

Source: Geology.com
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Equipment provided by “Project of Acquisition of Equipment for Braille Transcription and Rehabilitation of Facility for Mobility of the Visual and Auditory Handicapped” (Grant Assistance for Grassroots Human Security Projects)

Monitoring of the Amazon by “Project for Utilization of ALOS Images to protect Brazilian Amazon and combat against Environmental Crimes” (Technical Cooperation)

Entity (left) assisted by “Project of Acquisition of Furniture and Equipment for Philanthropic Entity of São Paulo” (Grant Assistance for Grassroots Human Security Projects) and its vicinity (right)
Agroforestry System (SAF) farms of Mr. Michinori Konagano (left) and Mr. Toshihiko Takamatsu (right), Director and Ex-Director, respectively, Tomé-Açu Multipurpose Agricultural Cooperative

SAF farm in its second-year in the project “Sustainable Use of Forest Resources in Estuary Tidal Floodplains in Apama” (Technical Cooperation) (photo provided by Mr. Toshihiko Takamatsu, also JICA expert of the project)

Farmers marking a field for mixed planting in the project “Sustainable Use of Forest Resources in Estuary Tidal Floodplains in Apama” (photo provided by Mr. Takamatsu)

Pilot Koban, police box, set up by “Community Policing Project” (Technical Cooperation) (Praça Rotary, São Paulo City)

Police Sergeant Jorge, Praça Rotary Koban, São Paulo City