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**BRAZIL**

**CEARÁ STATE INTEGRATED VIOLENCE PREVENTION AND REDUCTION  
PROGRAM (PREVIO)**

**(BR-L1546)**

**SECOND INDIVIDUAL OPERATION UNDER THE PRO-SEGURANÇA  
CONDITIONAL CREDIT LINE FOR INVESTMENT PROJECTS (CCLIP)**

**(BR-O0011)**

**LOAN PROPOSAL**

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## ABBREVIATIONS

AEV	Assessoria Especial da Vice Governadoria [Special Vice Gubernatorial Advisory Service]
ASM	Adolescent with socioeducational measures
CAPAG	Capacidade de pago [Payment capacity]
CCLIP	Conditional credit line for investment projects
CCPVHA	Comité Cearense para a Prevenção de Homicídios na Adolescência [Ceará Committee for the Prevention of Homicides in Adolescence]
CRAVV	Centro de Referência e Apoio à Víctima de Violência [Referral and support center for victims of violence]
ESMP	Environmental and Social Management Plan
FBSP	Fórum Brasileiro de Segurança Pública [Brazilian Public Security Forum]
GAVV	Grupo de Apoio às Víctimas da Violência [Victims of violence support group]
ICAP	Institutional Capacity Assessment Platform
ICB	International competitive bidding
ILVC	Intentional lethal violent crimes
IPEA	Instituto de Pesquisa Econômica Aplicada [Institute of Applied Economic Research]
LGBT	Lesbian, gay, bisexual, and transgender
MEP	Monitoring and evaluation plan
NCB	National competitive bidding
PADIN	Programa de Apoio ao Desenvolvimento Infantil [Early Childhood Development Support Program]
PAES	Programa de Atendimento aos Egressos do Sistema Socioeducativo [Program to serve persons released from the socioeducational system]
PMU	Program management unit
PREVIO	Programa Integrado de Prevenção e Redução da Violência [Integrated Violence Prevention and Reduction Program]
RNR	Risk, need, and response
SAIN	Secretaria de Assuntos Internacionais [International Affairs Department]
SEAS	Superintendência do Sistema Estadual de Atendimento Socioeducativo [Superintendency of the State Socioeducational Assistance System]
SEDUC	Secretaria da Educação [Education Department]
SEPLAG	Secretaria do Planejamento e Gestão [Planning and Management Department]
SESA	Strategic Environmental and Social Assessment
SPS	Secretaria da Proteção Social, Justiça, Mulheres e Direitos Humanos [Department of Social Protection, Justice, Citizenship, Women, and Human Rights]
SSPDS	Secretaria de Segurança Pública e Defesa Social [Department of Public Security and Social Protection]
SUPESP	Superintendência de Pesquisa e Estratégia de Segurança Pública [Superintendency of Public Security Research and Strategy]
TCE/CE	Ceará State Audit Office
TEU	Technical execution unit
UNISEG	Integrated security unit

## PROJECT SUMMARY

### BRAZIL CEARÁ STATE INTEGRATED VIOLENCE PREVENTION AND REDUCTION PROGRAM (PREVIO) (BR-L1546)

### SECOND INDIVIDUAL OPERATION UNDER THE PRO-SEGURANÇA CONDITIONAL CREDIT LINE FOR INVESTMENT PROJECTS (CCLIP) (BR-O0011)

Financial Terms and Conditions				
Borrower:			Flexible Financing Facility <sup>(a)</sup>	
State of Ceará			Amortization period:	25 years
Guarantor:				
Federative Republic of Brazil			Disbursement period:	5 years
Executing agency:				
The borrower, through the Special Vice Gubernatorial Advisory Unit. Coexecuting agencies: Department of Social Protection, Justice, Citizenship, Women, and Human Rights (SPS), Department of Public Security and Social Protection, and Superintendency of the State Socioeducational Assistance System			Grace period:	5.5 years <sup>(b)</sup>
Source	Second program (US\$)	%	Interest rate:	LIBOR-based
IDB (Ordinary Capital):	52,156,000	80	Credit fee:	(c)
Local:	13,039,000	20	Inspection and supervision fee:	(c)
Total:	65,195,000	100	Weighted average life:	15.25 years
			Currency of approval:	U.S. dollar
Project at a glance				
<b>Project objective:</b> The general program objective is to contribute to reducing the level of violent crime in the state of Ceará. The specific objectives are to: (i) enhance the quality of violence prevention services, targeting youth and vulnerable groups in the prioritized municípios; (ii) increase police prevention and investigation capacity, primarily in the city of Fortaleza; and (iii) improve the quality of rehabilitation services for adolescents with socioeducational measures. This is the second individual loan operation under the Pro-Segurança CCLIP (BR-O0011), approved by the Board of Executive Directors through Resolutions DE-128/20 and DE-129/20.				
<b>Special contractual conditions precedent to the first disbursement of the loan proceeds:</b> The executing agency will submit evidence to the Bank of: (i) the entry into force of the program <a href="#">Operating Regulations</a> under the terms agreed upon with the Bank; and (ii) publication in the Ceará State Official Gazette of the decree creating the program management unit and appointment of the program's full-time general coordinator, under the terms agreed upon with the Bank (paragraph 3.5).				
<b>Special contractual conditions for execution:</b> Precedent to the disbursement of funds for each component, a cooperation agreement between the executing agency and the respective coexecuting agency will be signed and in force, stipulating the respective functions and responsibilities, pursuant to the terms agreed upon with the Bank (paragraph 3.6). For the implementation of actions to prevent school dropout and promote nonviolent parenting practices in Component 1, a cooperation agreement between the SPS and the Education Department will be signed and in force, under the terms agreed upon with the Bank (paragraph 3.3). Other socioenvironmental contractual conditions can be consulted in Annex B of the <a href="#">Environmental and Social Management Report</a> .				
<b>Exceptions to Bank policies:</b> None.				

Strategic Alignment			
<b>Challenges:</b> <sup>(d)</sup>	SI <input checked="" type="checkbox"/>	PI <input checked="" type="checkbox"/>	EI <input type="checkbox"/>
<b>Crosscutting themes:</b> <sup>(e)</sup>	GD <input checked="" type="checkbox"/>	CC <input type="checkbox"/>	IC <input checked="" type="checkbox"/>

- (a) Under the terms of the Flexible Financing Facility (document FN-655-1), the borrower has the option of requesting changes to the amortization schedule as well as currency, interest rate, and commodity conversions. The Bank will take operational and risk management considerations into account when reviewing such requests.
- (b) Under the flexible repayment options of the Flexible Financing Facility, changes to the grace period are permitted provided that they do not entail any extension of the original weighted average life of the loan or the last payment date as documented in the loan contract.
- (c) The credit fee and inspection and supervision fee will be established periodically by the Board of Executive Directors as part of its review of the Bank's lending charges, in accordance with the applicable policies.
- (d) SI (Social Inclusion and Equality); PI (Productivity and Innovation); and EI (Economic Integration).
- (e) GD (Gender Equity and Diversity); CC (Climate Change); and IC (Institutional Capacity and Rule of Law).

## I. DESCRIPTION AND RESULTS MONITORING

### A. Background, problems addressed, and rationale

#### 1. Background and context of Brazil

- 1.1 This project is the second individual loan operation under the Pro-Segurança conditional credit line for investment projects (CCLIP) (BR-O0011). The CCLIP is a Multisectoral II (MM-II) program, which was approved in 2020 for US\$1.2 billion through Resolutions DE-128/20 and DE-129/20. Its objective is to improve the efficiency and effectiveness of public security and justice programs in Brazil, specifically in the following sectors; (i) public security management and governance; (ii) prevention of violence; (iii) modernization of policing practices; and (iv) justice and social reintegration. This is the first individual operation in the violence prevention sector. The CCLIP has three resource allocation channels: the federal government, subnational governments, and national or regional development banks. This is the second operation in the subnational channel, for which the borrowers are states, municípios, or the federal district with borrowing capacity. These entities apply for loans to fund integrated citizen security programs in one or more of the CCLIP's sectors.
- 1.2 **Macroeconomic context.** The COVID-19 pandemic has had a major impact on the Brazilian economy, which was slowly recovering and sought to bring forward fiscal reforms to underpin the country's macroeconomic stability. The COVID-19 shock seriously undermined those prospects. The Central Bank's Focus Report (November 2020) forecasts a 4.66% drop in GDP in 2020—having predicted a 6.5% reduction in June. Government measures introduced to mitigate the impact of the pandemic include protection for the most vulnerable population, informal workers, and small and medium-sized enterprises (SMEs), as well as support for subnational finances.<sup>1</sup> These measures, which have already cost more than 8% of GDP, coupled with the growth slowdown, will widen the fiscal deficit; and a primary deficit of more than 13% of GDP is projected for 2020. The same report anticipates economic growth of 3.31% and a primary deficit of about 3% of GDP in 2021.
- 1.3 **Security context and COVID-19 in Brazil.** With nearly 40,000 homicides in 2019, equivalent to 18.8 per 100,000 inhabitants,<sup>2</sup> Brazil has the second highest homicide rate in South America.<sup>3</sup> If robberies and assaults culminating in death are added in, intentional lethal violent crimes (ILVC) took the lives of almost 42,000 inhabitants, of whom 52% were young people, 91% male, and 74% Afro-Brazilian,<sup>4</sup> from outlying urban areas.<sup>5</sup> Domestic violence generally, and violence against women in particular, has continued to grow. Brazil had 266,310 reports of

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<sup>1</sup> The Bank has supported these measures through a set of operations targeting vulnerable groups (loan [5092/OC-BR](#)), and micro, small, and medium-sized enterprises (loans [5138/OC-BR](#), [5115/OC-BR](#), and [5130/OC-BR](#)).

<sup>2</sup> Brazilian Public Security Forum (FBSP) 2020.

<sup>3</sup> United Nations Office on Drugs and Crime (2019).

<sup>4</sup> The proportion of homicide victims who are Afro-descendant grew from 59% to 72% between 2001 and 2011 (Marques-Garcia Ozemela et al., 2019).

<sup>5</sup> FBSP (2020).

intentional bodily injury resulting from domestic violence in 2019 (over 725 per day);<sup>6</sup> and it has the fifth highest rate of femicide in the world, according to the World Health Organization. Violence against LGBT groups has increased by 7.7% on average in the 11 states that have reported such cases.<sup>7</sup> In the first six months of 2020, the number of violent deaths increased by 7%; and the impact of COVID-19 on this development is still being studied. While reports of domestic violence have dropped by 10%, the femicide rate has actually risen by 2%. Brazil allocates 5.9% of its GDP to addressing the direct and indirect costs of crime; and there is plenty of room for enhancing the efficiency and effectiveness of public spending in this sector.<sup>8</sup>

## **2. Background and context of Ceará**

- 1.4 **Macroeconomic context and COVID-19.** The Ceará state economy was recovering; and, in 2019, its GDP grew by 2.11%, above the national average of 1.1%. The state has been characterized as having a positive fiscal situation, with payment capacity (CAPAG) rated “B”, although the recession caused by the pandemic has seriously undermined tax revenue intake, which shrank by 2.56% in 2020 in nominal terms. Thanks to federal government assistance and cost-cutting measures, the State has kept its fiscal situation stable and has actually seen a rise in total revenue since in August. Ceará is currently one of the best evaluated states in fiscal terms, which enhances its borrowing conditions. However, the volatility of the current context requires constant monitoring against the potential risk of deterioration.
- 1.5 **Public security context in Ceará.** With 2,196 homicides in 2019, the state’s homicide rate is 5.2 percentage points above the national average (24 per 100,000 inhabitants compared to 18.8 per 100,000, respectively).<sup>9</sup> It also has an ILVC rate that is 4.7 percentage points higher (26.7 per 100,000 inhabitants compared to 22 per 100,000), although previously it had been much higher. Between 2010 and 2017 the number of cases of ILVC in Ceará increased by 83%, with 5,133 victims, or 60.7 per 100,000 inhabitants.<sup>10</sup> In the two following years, homicides fell by 56%, the steepest drop in the country, with 2,192 victims in 2019, or 24 per 100,000 inhabitants. However, in the first half of 2020 the state saw a 106.9% rise in homicides, which was the largest increase among all Brazilian states. Some analysts point to more integrated police work, the use of new technologies, and tighter control within the prison system as the main factors driving the reduction in 2019. In contrast, the police

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<sup>6</sup> FBSP (2020).

<sup>7</sup> Idem.

<sup>8</sup> Institute of Applied Economic Research (IPEA) and FBSP (2019).

<sup>9</sup> Of the 120 Brazilian municípios in which 50% of the country’s homicides are committed, eight are in Ceará: Fortaleza, Caucaia, Maracanaú, Juazeiro do Norte, Sobral, Pacajus, Maranguape, and Horizonte (IPEA, 2019).

<sup>10</sup> All data in this paragraph are taken from SUPESP (2020) and FBSP (2020).



dispute over wage claims, conflicts between gangs, and the pandemic<sup>11</sup> are thought to partly explain the increase in violence in 2020.<sup>12</sup>

- 1.6 **The general problem** to be addressed by the program is the high level of violent crime in Ceará, which, in 2019, recorded 26.7 violent deaths per 100,000 inhabitants (Brazil overall had 22 per 100,000),<sup>13</sup> and 425.8 street robberies per 100,000 inhabitants (394.7 per 100,000 throughout Brazil).<sup>14</sup> Ceará faces the following specific problems: (i) high rates of youth and gender violence in the state's main urban centers; (ii) limited policing capacity to prevent and investigate violent crimes, particularly in Fortaleza; and (iii) poorly performing rehabilitation services for adolescents with socioeducational measures (ASMs).<sup>15</sup>
- 1.7 **High rates of juvenile and gender-based violence in Ceará.** The state has the country's third highest rate of homicides among youth (ages 15-29), at 118 per 100,000 inhabitants.<sup>16</sup> While young people represent less than 38% of the population, they account for 54% of all homicide victims.<sup>17</sup> In all, 60% of homicides of adolescents and young people in Ceará occur in just 10 of the state's 184 municípios.<sup>18</sup> The homicide rate among adolescents and youth (ages 12 to 29) in these 10 municípios is 100.7 per 100,000 inhabitants. This rate has been increasing at a pace of 14% per year, and the post-COVID effect is expected to maintain or aggravate the trend. Women, along with LGBT groups, are also in a situation of extreme vulnerability in Ceará. The state had the seventh highest rate of homicides among women in Brazil in 2019 (4.8 per 100,000), which was down by 50.1% relative to the previous year's level, when the rate had risen by 26% over the 2017 figure.<sup>19</sup> The rate rose again in 2020 (by 87% in the first few months of the year, which was the third largest increase among all Brazilian states in the period). This occurred despite a reduction in reports of domestic violence, possibly associated with the COVID-19 mobility/isolation restrictions.<sup>20</sup> In addition, 18% of

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<sup>11</sup> Recent research shows how the pandemic and government responses can exacerbate various types of organized and interpersonal violence and serve as 'conflict multipliers' (Moyer and Kaplan, 2020 and Brown et al., 2020). The closure of prevention services and containment spaces, such as schools and community centers, are potential causes of the increase in violent crime observed in the period (Badger and Bui, 2020).

<sup>12</sup> Marques and Barros (2020); G1 (2020).

<sup>13</sup> These include: intentional homicides, robberies followed by death, and assaults followed by death.

<sup>14</sup> FBSP (2020).

<sup>15</sup> Adolescents under the custody or supervision of the Superintendency of the State Socioeducational Assistance System (SEAS).

<sup>16</sup> [IPEA/FBSP](#) (2020).

<sup>17</sup> SUPESP (2020).

<sup>18</sup> SUPESP (2020). See [optional link 5](#).

<sup>19</sup> [FBSP](#) (2020).

<sup>20</sup> The [FBSP](#) noted a reduction in domestic violence reported between March-May 2019 and March-May 2020 (-26% in the case of malicious bodily harm, -64% in the case of statutory rape and statutory rape of vulnerable persons), but an increase in lethal crimes against women (+104% in femicides) in the same period. This suggests that domestic violence continues to occur, but women's ability to report it has been limited, possibly as a result of COVID-19 mobility/isolation restrictions.

women in Fortaleza had been victims of violence in the previous 12 months.<sup>21</sup> In 2018, the last year for which data is available on this population, the state also recorded the third highest number (30) of deaths among LGBT persons.<sup>22</sup>

- 1.8 **Four major factors contribute to this problem:** (i) the weak capacity of violence prevention policies to provide integrated, targeted, and evidence-based responses (there are no municipal violence prevention plans, no tools to target actions on the highest-risk territories and populations, and no evidence-based prevention methodologies); (ii) community environments that encourage conflict resolution through violence,<sup>23</sup> with unsafe urban spaces<sup>24</sup> and few opportunities for young people to use their free time in a positive way;<sup>25</sup> (iii) family and gender environments that involve violent upbringings (37% of adolescent homicide victims in Fortaleza had previously been physically abused in their homes),<sup>26</sup> mothers with little preparation for parenting (55% of the young people killed in 2015 were the children of adolescent mothers),<sup>27</sup> and little capacity to care for the victims;<sup>28</sup> and (iv) individual vulnerabilities that increase the risk of becoming involved in crime and violence (10.4% of young people ages 15 to 17 are out of school,<sup>29</sup> almost a third of young people in Ceará are neither working nor studying,<sup>30</sup> and 60% of the adolescents murdered in 2015 were outside the school system).<sup>31</sup>
- 1.9 **Limited policing capacity to prevent and investigate violent crime in Fortaleza.** The state capital, Fortaleza, accounts for a third the state's ILVC and faces more complex challenges than municípios elsewhere in the state. Within the capital, crime is highly concentrated in spatial terms. Over 50% of homicides occur in just 19% of the territory. Although the Department of Public Security and Social Protection (SSPDS) and the police forces have upgraded their capacities significantly, major shortcomings still undermine the sustainability of police prevention and investigation actions. Three major factors, in particular, contribute

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<sup>21</sup> Federal University of Ceará / Maria da Penha Institute (2017).

<sup>22</sup> [Rede Trans Brasil](#) (2019).

<sup>23</sup> In 2019, the 10 municípios prioritized by the project registered a total of 114,974 complaints to the police for disorder and neighborhood disturbance (SUPESP, 2020).

<sup>24</sup> Irregular and run-down urban settlements represent 19% of Fortaleza's territory but are where 51% of the homicides occur (Façanha Dantas, 2020).

<sup>25</sup> In the five Fortaleza territories prioritized by the Pact for a Peaceful Ceará (PCP), there are 161 community initiatives for young people that suffer from discontinuity and fragility owing to a lack of resource management capacity (Ceará Pacífico, 2020). The analysis of the life trajectory of the adolescent children who died in 2016 also describes the absence or permanent discontinuity of social spaces and projects targeting this population group in vulnerable territories (Ceará Committee for the Prevention of Homicides in Adolescence – CCPVHA, 2017).

<sup>26</sup> CCPVHA (2017).

<sup>27</sup> CCPVHA (2017).

<sup>28</sup> The Victims of Violence Support Groups (GAVV) operate in just six of the 10 prioritized municípios, and the Victims of Violence Support Referral Centers (CRAVV) received only 36 cases of sexual violence in 2019, while 1,800 cases of rape alone were reported in the state.

<sup>29</sup> [National Education Plan Observatory](#), 2019.

<sup>30</sup> Ceará Institute for Economic Research and Strategy (2018).

<sup>31</sup> CCPVHA (2017).

to this problem: (i) inadequacies in the quality of criminal analysis that hamper understanding of the dynamics of crime and proactive strategies to prevent it;<sup>32</sup> (ii) policing activities that continue to be mostly reactive, displaying difficulties of integration, and limitations in terms of building trust (86% of police officers conduct random patrols and respond to emergency calls in Fortaleza and 99% do elsewhere in the state);<sup>33</sup> and (iii) although the proportion of homicides that get solved has been increasing, it remains low statewide—27% in 2018 rising to 40% in 2019, while in Fortaleza it was 37% in the latter year.<sup>34</sup>

- 1.10 **Poor performance of rehabilitation services for ASMs.** The level of recidivism<sup>35</sup> among ASMs in Ceará is 37.5%;<sup>36</sup> and those who serve socioeducational measures do not receive a personalized care plan, based on a comprehensive assessment of criminological risk and the deficits or needs associated with criminogenic factors. Moreover, the socioemotional interventions that are currently available do not include cognitive-behavioral activities; and restorative actions are incipient. Despite having been strengthened since 2015,<sup>37</sup> security problems in the centers persist: there is no video-surveillance that guarantees the protection of human rights and would enable inmates to move to and from rehabilitation activities; visitor admission procedures can be highly invasive, which discourages visits, which are crucial to the effectiveness of socioeducational measures.<sup>38</sup> In terms of mechanisms for initial and ongoing training of technical and custodial staff,<sup>39</sup> in closed and open regimes, although the Strategic Plan of the Superintendency of the State Socioeducational Assistance System (SEAS) provides for a state socioeducational school, it does not yet have content developed, either for onboarding or for ongoing training, thereby limiting the effectiveness of the measures themselves. Only 10% of the ASMs served by the

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<sup>32</sup> Although in 2018 the State created the SUPESP and introduced major technological innovations, such as the Integrated Protection and Assistance Corporation (SPAI), their contributions to more preventive policing is undermined by the lack of infrastructure, equipment, and training in new technologies.

<sup>33</sup> SSPDS (2020).

<sup>34</sup> SSPDS (2020).

<sup>35</sup> Recidivists are young people currently in the socioeducational system who had been detained for another crime in the 24 months prior to their current detention.

<sup>36</sup> Data from the Ceará State Vacancies Regulator. The figure refers to the cohort of ASMs who were released in 2017 but returned to the socioeducational system in 2018-2019.

<sup>37</sup> The 2017 SEAS management model, which was adopted in response to the precautionary measures of the 2015 Inter-American Commission on Human Rights, shows that in 2015, more than 60 conflicts were registered in units for male ASMs in Fortaleza. This model is being complemented and developed in the Ten-Year State Plan for Socioeducational Assistance 2019-2028.

<sup>38</sup> Reports from the Ceará Public Prosecutor's Office and the Ombudsperson's Office reflect the widespread perception among the 1,800 persons who visit ASM inmates on average every week that there is ill treatment. Parental visits to ASMs are associated with a reduction in reactive depressive symptoms, which facilitates the intervention process (Monahan, K., Goldweber, A. and Cauffman, E., 2011). Visits may also be associated with reduced risk of recidivism in adult offenders (Duwe and Clark, 2013).

<sup>39</sup> Of the 1,080 SEAS staff (not including the directors of the 18 centers), only 11% have higher education in disciplines related to penitentiary services. Moreover, providers of "auxiliary services" who are not SEAS employees (physical education teachers, trades instructors, among others) do not currently receive specific training in socioeducational issues for their work with ASMs.

SEAS have completed basic education. However, the educational offerings available to them (both remedial learning and vocational training) remains insufficient. Nonetheless, the coverage of remedial education or vocational training services has improved (with coverage expanding from 32% to 73% of the 562 ASMs served by the SEAS from 2017 to 2019). As regards support for job placement after completing the measures, ASMs have access both to the labor intermediation services provided by the Labor Development System and to internships coordinated by the First Step Program. There is also a program to serve persons released from the socioeducational system (PAES),<sup>40</sup> which is still in its early stages, since it only serves 20 adolescents. The total combined coverage amounts to 22 adolescents out of the nearly 500 served by the system.

- 1.11 **Empirical evidence.** Knowledge on how to prevent violence has developed widely in recent decades, with solid evidence being generated on what works and what does not,<sup>41</sup> which has been incorporated into the design of this program. Key issues for preventing youth violence include: risk assessment and targeting mechanisms;<sup>42</sup> primary prevention strategies, such as training for positive parenting,<sup>43</sup> socioemotional education,<sup>44</sup> and school reintegration; and secondary prevention strategies such as the interruption of inter-gang violence.<sup>45</sup> To reduce violence against women, preventive programs that change community norms,<sup>46</sup> and the economic empowerment of women victims of violence<sup>47</sup> are key. In the area of preventive policing, crucial activities include criminal analysis,<sup>48</sup> problem-oriented policing, and intelligence-led policing.<sup>49</sup> To prevent ASMs recidivism, key

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<sup>40</sup> The PAES exists to help ASMs who have served their measures to join the workforce. This program coordinates PAES services, focusing particularly on the socioemotional development of minors, with the National Commercial Apprenticeship Service, which promotes job placement for adolescents.

<sup>41</sup> Weisburd, Farrington, and Gill (2018).

<sup>42</sup> For an assessment of the risk of joining gangs ([Cahill et al., 2015](#)).

<sup>43</sup> There is abundant scientific literature on: the importance of early childhood family interventions in preventing violence (Farrington et al., 2016; Manning et al., 2010); socioemotional development actions in primary education (Beets, 2009; Snyder et al., 2013); and actions to strengthen parenting skills during childhood (Graaf et al., 2008). A systematic review of 55 impact assessments found that positive parenting programs have positive outcomes that are sustained over time, with a high cost-benefit ratio and little chance of causing side-effects (Piquero et al., 2008).

<sup>44</sup> A systematic review of 213 studies concluded that this type of program causes an improvement in terms of behavioral issues, emotional distress, drug use, and the development of socioemotional skills (Durlak et al., 2018).

<sup>45</sup> The Cure Violence interrupter methodology has already been adapted in 25 cities in the United States and in over a dozen countries in Latin America and throughout the world, with results proven by different impact evaluations. A Bank study reported a 45% reduction in violent crime in Trinidad and Tobago. See also [John Jay College Research Center](#), 2017.

<sup>46</sup> Evaluations of this type of program show outcomes such as less social acceptance of inter-partner violence, among both men and women, and less physical and sexual abuse in the context of partner relationships (see for example SASA, Abramsky, Devries, Kiss, and others, 2014).

<sup>47</sup> Jewkes et al., 2020.

<sup>48</sup> For the United States, see Garicano and Heaton (2010); and, for Brazil, see Cabral (2016).

<sup>49</sup> Lum and Koper (2017) found that this type of method is 47% more likely to reduce violence than traditional reactive approaches. For Brazil, Kopittke (2019) found that proactive actions are 33% more effective than reactive ones. Specifically, for problem-oriented policing, a systematic review of 34 studies reported a 34% reduction in crime and disorder rates (Hinkle et al., 2020).

strategies include the application of the Risk-Need-Responsivity Model (RNR) and cognitive-behavioral therapies (CBT).<sup>50</sup>

- 1.12 **Legal, institutional, and strategic framework of Ceará.** Citizen security occupies a central and priority place in the state government's current work. The Ceará government instituted the Pact for a Peaceful Ceará (PCP) through Decree 31.787 of 21 September 2015, during the first administration of the current governor (2015-2018), who is currently serving his second term, which runs from 2019 to 2022. The Pact aims to reduce crime rates and increase the sense of security, through coordinated, integrated, and shared actions by state, municipal, and federal public agencies and entities, in conjunction with civil society. The Pact has a Governance Committee, chaired by the state governor, with the vice Governor serving as executive secretary. It also includes representatives from all state government agencies, as well as six representatives from civil society and six from state universities. The Pact's plan of action is structured along two dimensions—social prevention, and security and justice—in which significant progress has been made in terms of programs and actions to prevent violence.
- 1.13 In the social prevention area, key actors include the following:
- a. The Department of Social Protection (SPS), which is responsible for the “Changing the Game” (*Virando o Jogo*) program, which provides comprehensive support for at-risk youth who are neither studying nor working, as well as policies for the prevention of violence against women and care for victims;
  - b. The Education Department (SEDUC), which is responsible for programs such as the Early Childhood Development Support Program (PADIN), which strengthens positive parenting; and the “No Student Out of School Program” (*Nem Um Aluno Fora da Escola*), which seeks to prevent school dropout; and
  - c. The Special Vice Gubernatorial Advisory Service (AEV), which has promoted multisectoral prevention initiatives in the state's three most heavily populated municípios (Fortaleza, Sobral, and Juazeiro do Norte). These initiatives are targeted on the most violent territories, operating in partnership with local actors to expand opportunities for youth, e.g. through the Action Centers for Peace (*Centros de Ação para a Paz*) in Fortaleza, and the cross-sector municipal governance model in Sobral.
- 1.14 In the security and justice area, key actors include:
- a. The Department of Public Security and Social Protection (SSPDS), which has made progress in criminal analysis through the Superintendency of Public Security Research and Strategy (SUPESP), the territorial integration of the military police and the civil police, through integrated security areas, and

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<sup>50</sup> Seven systematic reviews of the RNR model report an average recidivism-reduction effect of 29% (Bonta and Andrews, 2017). Cognitive-behavioral therapies have been systematically reviewed on the basis of 58 impact evaluations, of which 19 were randomized controlled experiments. The meta-analysis shows that, cognitive-behavioral therapies reduced recidivism by an average of 25%, with figures as high as 52% in the most effective programs (Lipsey et al., 2007).

strengthening of the community policing approach through integrated security units (UNISEGs); and

- b. The SEAS, which is responsible for the execution of socioeducational measures involving internment and semi-liberty regimes for ASMs.

- 1.15 **The Bank's experience in the country and lessons learned.** The Bank has four citizen security investment loans currently executing in Brazil—three at the state level (loans [3137/OC-BR](#), [3241/OC-BR](#), and [3279/OC-BR](#)), and one component of a loan at the municipal level (loan [4617/OC-BR](#)), all of which are performing satisfactorily. The four loans combine actions on prevention, police modernization, and prevention of recidivism among ASMs. The lesson learned from these multisectoral programs concern the importance of adopting institutional arrangements that make it possible to combine independent and flexible implementation of each component with centralized governance that guarantees the comprehensive nature of the program (see paragraphs 3.2 and 3.3).
- 1.16 **The Bank's experience in the region and lessons learned.** This project will build on the Bank's experience and on the knowledge generated by individual operations in the program intervention areas. These include in: (i) social prevention of violence, the Citizen Security and Justice Program in Jamaica (loan [3191/OC-JA](#)), which supports the delivery of nonviolent parenting services, remedial education, employability, and socioemotional support for youth from communities with high levels of violent crime, targeted by level of criminological risk; (ii) integrated public services to improve the living conditions of women victims of violence and prevent violence in El Salvador (loan [2525/OC-ES](#)); physical and mobile centers for women's education and the prevention of gender violence in the communities, through psychological and legal assistance, police intervention and justice enforcement, and labor intermediation with support for business development; (iii) the provision of services to combat LGBT discrimination, through municipal action plans for the LGBT and Afro-descendant populations in Montevideo, Mexico City, Medellín, and Quito, promoting social inclusion and combating exclusion and discrimination in public services and citizen security (operation [ATN/OC-15887-RG](#)); (iv) in the area of police prevention of crime, the Comprehensive Citizen Security Program in Uruguay (loan [3785/OC-UR](#)), which has supported the deployment of evidence-based policing modalities; and (v) in the area of social reintegration of ASMs, the Comprehensive Security Program in Panama (loan [1762/OC-PN](#)), which included the development and implementation of a reintegration model tailored to the specific needs of ASMs. In addition, the following lessons learned have also been incorporated: (i) implement evidence-based policies by selecting practices for which there is scientific backing obtained from robust systematic reviews (paragraph 1.11); (ii) design interventions targeted on populations at medium and high risk of involvement in crime and violence, whether as first-time offenders, repeat offenders, or victims, using structured risk assessment tools (paragraph 1.24); and (iii) design balanced crime reduction strategies by integrating social prevention with police prevention and control actions, and strengthening processes to enhance police legitimacy in the eyes of the communities (see footnote 39).
- 1.17 **Complementarity with other IDB Group operations.** This operation complements three other operations in Ceará, and another in the federal

government. Firstly, the Ceará Social Reforms Support Program PROARES III (loan [3408/OC-BR](#)), currently executing, is complementary in terms of strengthening municipal social protection networks, which in the Integrated Violence Prevention and Reduction Program (PREVIO) focuses on secondary and tertiary prevention programs. Secondly, in the city of Fortaleza, PROREDES Fortaleza (loan [3678/OC-BR](#)), currently executing, is complementary in terms of preventing youth violence, which in the case of PREVIO targets young people at medium and high risk of becoming involved in violence, and preventive interventions targeting this public. Thirdly, a state judiciary modernization program, currently under preparation, is complementary in terms of prevention of violence against women. In the case of PREVIO, this will focus on implementing programs to prevent and address violence, whether domestic, against women, or gender-based. At the federal government level, the operation is complemented by a program, currently being prepared, to improve public policy on early childhood, in the area of positive parenting, which in the case of PREVIO will target parenting practices to prevent disruptive or violent behavior in children ages 0 to 5 and 6 to 12. At the federal level, the Federal Smart Security Program (PROSEG-Federativo) currently in preparation as a global credit with the National Economic and Social Development Bank (BNDES), this may complement investment in prevention and citizen security services in municípios that request it. It also complements operation [ATN/OC-18084-BR](#), which aims to support the improvement of citizen security policies and programs in Brazil, as well as the design and supervision of CCLIP operations.

- 1.18 **Strategic alignment.** The operation is consistent with the second Update to the Institutional Strategy (document AB-3190-2) and is aligned with the following challenges: (i) Social Inclusion and Equality,<sup>51</sup> by supporting ASMs through socioeducational interventions, and social integration and employment support; and (ii) Productivity and Innovation, by adopting digital transformation products and technologies for crime prevention and investigation (paragraph 1.21). The program is also aligned with the following crosscutting issues: (i) Gender Equity and Diversity, since it takes into account the specific violence prevention and resocialization needs of various groups targeted by program investments (paragraph 1.20); and (ii) Institutional Capacity and Rule of Law, by supporting the training of officials and strengthening the management and digital technology capacities and the transparency and integrity of the SPS, SSPDS, and SEAS. The program will also contribute to the following indicators in the Corporate Results Framework 2020-2023 (document GN-2727-12): (i) beneficiaries of employment support initiatives; and (ii) agencies with strengthened digital technology and managerial capacity.
- 1.19 It is also aligned with the Sector Strategy on Institutions for Growth and Social Welfare (document GN-2587-2), in its crime and violence reduction component; and it is consistent with the guidelines and lines of action defined in the Citizen Security and Justice Sector Framework Document (document GN-2771-7), by

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<sup>51</sup> During their childhood and adolescence, the vast majority of both ASMs and at-risk youth have suffered from violation of their social rights and lack of access to development opportunities, which in part this operation seeks to reverse.



supporting actions that improve access to criminal justice services. In addition, the program is aligned with the IDB Group Country Strategy with Brazil 2019-2022 (document GN-2973) in its priority area of reducing social inequality and inequality of opportunity, in which a strategic objective is to enhance the effectiveness of citizen security services in the control and prevention of violent crimes. It is also aligned with the following crosscutting issues: Gender and Diversity (addressing the needs of the Afro-Brazilian population, women, and LGBT groups in particular); and Digital Transformation and Innovation (by promoting the use of artificial intelligence in the SUPESP).

- 1.20 **Gender and diversity considerations.** Pursuant to the Operational Policy on Gender Equality in Development (policy OP-761, document GN-2531-10) and the Update to the Gender Action Plan for Operations 2020-2021 (document GN-2531-19), funding will be provided, among other activities, for a system that makes it possible to obtain data on women and vulnerable groups (such as the LGBT community, Afro-descendants, and persons with disabilities—including the intersectionality of these identities), for differentiated risk assessment (the use of gender analysis tools in systems for monitoring disaggregated data). Component 1 will apply a gender and diversity approach for the activities of municipal security and prevention plans (actions to ensure that government priorities on gender equality are reflected in programs). LGBT, women, and youth referral centers will take account of intersectionality considerations in their activities and support methodology, specifically with cultural adaptations to address the needs of vulnerable people outside the metropolitan area, and for women in urban criminal gangs (actions to ensure that monitoring systems collect and analyze data disaggregated by gender). Programs for youth will develop socioemotional skills and youth empowerment, stressing inclusive, egalitarian, and nonviolent coexistence, by developing a critical view of gender violence (preventing, addressing, and reducing violence with emphases on violence against women and girls and masculinities). Component 3 will strengthen vocational training (strengthening gender equality in public service institutions, including equal pay, to reduce gender biases/gaps in hiring, pay, and training) with an inclusive methodology that recognizes the intersectionality of identities and possibilities for exploring nontraditional entrepreneurship opportunities.
- 1.21 **Technological innovation considerations.** The program supports the introduction of artificial intelligence for the prevention of school dropout and revictimization in violence against women, as well as the use of mobile technology and nudges to foster behavioral change.<sup>52</sup> It also supports a digital transformation agenda in the SSPDS, focused mainly on strengthening criminal analysis in the SUPESP through database integration, software development, and artificial intelligence applications.

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<sup>52</sup> Nudges (text messages) are sent to parents' and students' cell phones with suggestions for simple actions, which have proven effective in generating behavioral changes and have clear benefits for the user in the short term (for parents, such as changing their relationship with their children; for students, direct actions to become more involved with the school).



- 1.22 **Alignment and compliance with the Operational Guidelines for Program Design and Execution in the Area of Civic Coexistence and Public Safety (document GN-2535-1).** The program has been designed in accordance with these Guidelines, since it includes activities to strengthen SSPDS capacities in criminal analysis, community policing, and data management (paragraph 1.18a of document GN-2535-1), and in the SEAS to support the social rehabilitation of ASMs (paragraph 1.18c of document GN-2535-1). With respect to safeguards in the context of the Bank's intervention in police matters (paragraph 2.4 of document GN-2535-1), funding will be provided for the design of action protocols to facilitate communication between the internal control and oversight offices of the civilian and military police in Ceará, as well as for specific training in risk assessment and transparency. In compliance with the provisions of the Guidelines (paragraph 2.9 of document GN-2535-1), the process for handling complaints from ASMs served by the SEAS will be strengthened, to improve its accessibility, efficiency, and effectiveness; and the protection and internal security procedures of the establishments will be brought into line with international best practices.<sup>53</sup>

**B. Objectives, components, and cost**

- 1.23 **Objective of the second operation under the CCLIP.** The general objective of the program is to contribute to reducing the level of violent crime in the state of Ceará. The specific objectives are to: (i) enhance the quality of violence prevention services, targeting youth and vulnerable groups in the prioritized municípios; (ii) increase police prevention and investigation capacity, primarily in the city of Fortaleza; and (iii) improve the quality of rehabilitation services for ASMs. These objectives are aligned with and contribute to the objectives of the Pro-Segurança CCLIP.
- 1.24 **Component 1. Prevention of youth and gender-based violence (US\$38,302,000).** The objective of this component is to strengthen policies for the prevention of youth and gender-based violence in the 10 municípios of Ceará prioritized in the program (Caucaia, Crato, Fortaleza, Iguatu, Itapipoca, Juazeiro do Norte, Maracanaú, Maranguape, Quixadá, and Sobral)<sup>54</sup> through, among other things: (i) the strengthening of planning and management capacities, including diagnostics and municipal prevention plans,<sup>55</sup> targeting systems, and ongoing training for local service network teams (through consultancies, procurement of systems, and training); (ii) community-based violence prevention, with mediation

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<sup>53</sup> See [United Nations Rules for the Protection of Juveniles Deprived of their Liberty](#).

<sup>54</sup> These were chosen because they are the most heavily populated municípios in the state and, in 2019, they accounted for 60% of all homicides of adolescents and young people recorded in the state's 184 municípios (SUPESP). In Fortaleza, given its size, the focus will be on the territories prioritized by the Pact for a Peaceful Ceará (Genibau, Barra do Ceará, Granja Lisboa, Vicente Pinzón, and São Miguel/Curio). Accordingly, the focus is on 14 territories (nine municípios outside the capital plus the five Fortaleza territories).

<sup>55</sup> These plans encompass social prevention actions, preventive policing, and support for socioeducational measures, promoting the integral nature of the program at the territorial level.

and restorative justice actions, crime prevention through environmental design,<sup>56</sup> and youth empowerment (through building citizen reference centers, equipment, consultancies, scholarships, and training); (iii) prevention of domestic and gender-based violence, through positive parenting programs<sup>57</sup> focused on preventing disruptive and violent behaviors with the Early Childhood Development Support Program (PADIN) for children ages 0 to 5 and 6 to 12 (PADIN+), support for young pregnant women, the prevention of early pregnancy,<sup>58</sup> the prevention of violence against women and the LGBT community, and care for victims of gender violence (Casa da Mulher Brasileira, Referral Center, CRAVV, GAVV) (through building or altering care centers for victims, equipment, consultancies, and training); and (iv) prevention of juvenile violence, through the development of socioemotional skills, prevention of school dropout (*Programa Nem um Aluno Fora da Escola*), actions for reintegration into the school system and job promotion (*Programa Virando o Jogo*) (through consultancies and scholarships).

- 1.25 **Component 2. Strengthening police prevention and investigation capacity (US\$14,465,800).** The objective of this component is to increase the capacity of the SSPDS to prevent and investigate violent crimes in the municípios prioritized under the program,<sup>59</sup> especially in the city of Fortaleza, by among other things: (i) strengthening the criminal analysis capacity of the SUPESP to develop problem-oriented policing (consultancies for database integration, development of software and artificial intelligence applications, computer equipment, and training);<sup>60</sup> (ii) implementation of a problem-oriented community policing strategy in Fortaleza (training and technical assistance, equipment and infrastructure,<sup>61</sup> for the integrated security units (UNISEGs); and (iii) the strengthening of intelligence capacity in the domain of police data storage and investigation, expanding the current SSPDS data center's capacity for data analysis and strengthening forensic expert laboratories (equipment, consultancies, and training). The program management unit (PMU) will link these strengthening actions with the prevention activities of the other components, to contribute to improving relations between the police forces and the most vulnerable communities served by the program.<sup>62</sup>
- 1.26 **Component 3. Strengthening of the socioeducational measures system (US\$8,981,200).** The objective of this component is to strengthen SEAS capacities to implement social reintegration policies and evidence-based programs, through among other things: (i) implementation of the RNR model, adapted to the ASM

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<sup>56</sup> Crime prevention through environmental design refers to interventions in the urban environment to increase the sense of security and reduce victimization. In this case they will be small-scale actions such as the restoration of parks for community use, the clearing of abandoned land, or street lighting in dangerous places.

<sup>57</sup> Positive parenting aims to provide parents with the tools needed to raise their children in a safe, caring, and predictable environment.

<sup>58</sup> Brazil's Ministry of Health considers early pregnancy to be cases in adolescents ages 10 to 19.

<sup>59</sup> See Component 1 (paragraph 1.24) for a list of the municípios prioritized under the program.

<sup>60</sup> Includes cybersecurity measures.

<sup>61</sup> Includes the construction of 12 new UNISEG sites in Fortaleza.

<sup>62</sup> See footnote 54.

- population, including risk assessments, cognitive-behavioral methodologies to improve soft skills,<sup>63</sup> mechanisms for training technical staff and security agents, and a change management and communication strategy (consultancies and training); (ii) actions to ensure the good treatment and protection of adolescents, including the application of standard security protocols in the socioeducational system, the installation and implementation of video-surveillance systems, and the adaptation of procedures and equipment for the admission of visitors to the socioeducational centers to optimize pre-visit controls;<sup>64</sup> (iii) the expansion and adaptation of educational and job opportunities for ASMs, tailored to the specific challenges of their return to the community, and adapted to the diversity of the characteristics of this population, paying special attention to LGBT groups (equipment, building alterations, and consultancies); and (iv) strengthening of the support program for ASMs post-release who are fulfilling open environment measures, including socioemotional support, vocational training, and education actions (consultancies, scholarships, and training).
- 1.27 **Component 4. Program management (US\$3,446,000).** This component covers the execution and management of the program, monitoring of its activities, and measurement of its results. The resources provided for under this component will finance program management and audit services and evaluation of the implementation and social impact of the actions planned in the four components.
- 1.28 **Beneficiaries.** The main program beneficiaries will be the citizens of the 10 prioritized municipios who reside and circulate in territories with high concentrations of crime. In particular, Component 1 will mainly benefit the 100,000 adolescents and young people in the 10 municipios who will participate in social prevention programs; the 10,000 women and members of LGBT groups who will participate in prevention and victim care programs; and the municipal and state officials who will receive training in violence prevention programs. Component 2 will mainly benefit the 220,000 citizens of the five priority territories in Fortaleza, as well as the SUPESP, the military police, and the civil police, through training, upgraded equipment and infrastructure adapted to prevent and deal with ILVC in Fortaleza. Component 3 will benefit the 500 ASMs in the socioeducational system, through opportunities for rehabilitation and for the prevention of criminal recidivism, along with the employees of the 18 socioeducational centers.
- C. Key results indicators**
- 1.29 **Impact and expected results.** Achievement of the program's general development objective will be measured in terms of the reduction in the youth and adolescent homicide rate in the 10 prioritized cities, the reduction in adult ILVC in Fortaleza, and the reduction in youth recidivism in the state. Achievement of the program's specific development objectives to promote the prevention of violence among youth and vulnerable groups will be measured through the following: the increase in educational reintegration, improvement of the quality of parenting

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<sup>63</sup> In particular, actions will target specific risk factors, such as the management of antisocial peer relationships, resilience, anger management, etc.

<sup>64</sup> The state's 18 socioeducational centers will be served, 17 of which are located in the 10 prioritized municipios.

practices, the increase in services for victims of violence (women and other vulnerable groups), and the reduction in the risk of becoming involved in youth violence. The promotion of police prevention and investigation in Fortaleza will be measured through: the increase in the number of police officers assigned to prevention activities and the proportion of homicides solved; and the rehabilitation of ASMs will be measured by: the reduction in the risk of recidivism after treatment, and the increase in adherence to cognitive-behavioral therapy programs.

- 1.30 **Economic analysis.** The project's benefits stem from the savings in social and government costs resulting from the reduction in lethal violent crimes and the reduced demand for places in the socioeducational system caused by a lower rate of recidivism among ASMs. The economic analysis produces a benefit-cost ratio of US\$2.06 per dollar invested; an internal rate of return of 18% (thus exceeding the 12% threshold established by the Bank), and a net present value of US\$58.5 million. A sensitivity analysis with more conservative assumptions also yields results that exceed the thresholds for each indicator (see the [economic analysis](#)).

## II. FINANCING STRUCTURE AND MAIN RISKS

### A. Financing instruments

- 2.1 This operation under the CCLIP will take the form of a specific investment loan. The project will have a total cost of US\$65,195,000, of which US\$52,156,000 will be financed from the Bank's Ordinary Capital (80% of the total project cost); and US\$13,039,000 from local contributions (20% of the total).

**Table 1. Estimated program costs (US\$)**

Component	IDB	Local	Total	%
Component 1. Prevention of youth and gender-based violence	30,613,600	7,688,400	38,302,000	58.7
1.1 Strengthening of planning and management capacities	3,480,746	715,186	4,195,932	6.4
1.2 Community-based violence prevention	7,982,214	2,185,554	10,167,768	15.6
1.3 Prevention of domestic and gender-based violence	6,934,640	1,733,660	8,668,300	13.3
1.4 Prevention of juvenile violence	12,216,000	3,054,000	15,270,000	23.4
Component 2. Strengthening police prevention and investigation capacity	11,785,440	2,680,360	14,465,800	22.2
2.1 Strengthening criminal analysis capacity	2,129,440	516,360	2,645,800	4.1
2.2 Problem-oriented community policing	4,920,000	1,230,000	6,150,000	9.4
2.3 Police intelligence and investigation	4,736,000	934,000	5,670,000	8.7
Component 3. Strengthening of the socioeducational measures system	7,180,160	1,801,040	8,981,200	13.8
3.1 Strengthening the socioeducational system	5,880,960	1,476,240	7,357,200	11.3
3.2 Strengthening the open environment system	1,299,200	324,800	1,624,000	2.5
Component 4. Program management	2,576,800	869,200	3,446,000	5.3
4.1 PMU	756,800	769,200	1,526,000	2.3
4.2 Monitoring and evaluation	1,820,000	-	1,820,000	2.8
4.3 External audit	-	100,000	100,000	0.2
<b>TOTAL</b>	<b>52,156,000</b>	<b>13,039,000</b>	<b>65,195,000</b>	<b>100</b>

- 2.2 A five-year execution period was established, based on the average time taken to design and implement proposed activities.

**Table 2. Tentative disbursement schedule (US\$ million)**

Source	Year 1	Year 2	Year 3	Year 4	Year 5	Total
IDB	12.19	18.59	8.91	7.10	5.35	52.15
Local	2.90	4.54	2.33	1.86	1.41	13.03
<b>Total</b>	15.09	23.13	11.25	8.97	6.76	65.19
<b>% per year</b>	23.1	35.5	17.2	13.8	10.4	100.00

## **B. Environmental and social safeguard risks**

- 2.3 In accordance with the Bank's Environment and Safeguards Compliance Policy (operational policy OP-703) this is classified as a Category "B" operation, since the planned construction and infrastructure works may generate localized adverse environmental and social impacts that are short term, not scalable, and can be mitigated through standard mitigation measures. The socioenvironmental impacts and risks include Components 1 and 2; they are typical of construction works of this magnitude and will be localized and mainly short term: traffic disruption and restrictions, excavation in avenues and streets, dust, noise, waste, disruption to traffic, occupational health and safety—impacts for which effective mitigation measures are available. The involuntary resettlement policy has been activated, as the locations of the infrastructure envisaged in Component 2 have not been defined. An [environmental and social analysis](#) has been prepared, which includes the Environmental and Social Management Plan (ESMP). A major round of consultations has also been held, for which a virtual consultation plan was developed and executed, following the Bank's guidelines for planning virtual consultations in the context of COVID-19. The public consultation, which was held on 4 and 5 November 2020, provided an opportunity for stakeholders and interest groups to participate, from both the Município of Fortaleza and elsewhere in the state. In general terms, the participants noted the need to move forward with preventive actions for building a peaceful society. The report from the consultations and the update of the operation's socioenvironmental documents and the strategic environmental and social assessment were posted on the Bank's website on 19 November 2020. This operation will not affect indigenous or vulnerable populations. With respect to involuntary resettlement, it is unlikely that there will be any impact on housing, as government land will be sought where housing is not affected. However, in the case of the Component 2 infrastructure, for which locations have not yet been defined, a framework for managing resettlement and restoring living conditions will be considered in case the project causes such impacts. The CCLIP has a strategic environmental and social assessment ([SESA](#)) and an environmental and social management framework ([ESMF](#)). These evaluations specify the type of management to be undertaken in all operations under the CCLIP, in order to avoid, reduce, and mitigate the potential environmental and social risks of the operation in accordance with IDB safeguards. The disaster risk indicator (Type 1) for this second operation is moderate, because

the works will be implemented in areas prone to rainfall and storm flooding. The Environmental and Social Analysis includes a disaster risk analysis following the Bank's methodology, and the ESMP includes a contingency and emergency plan to mitigate these risks and impacts (for further details, see also the Environmental and Social Management Report - [ESMR](#)).

### C. Other risks and key issues

#### 2.4 One high risk and two medium-high risks were identified in the design stage:

- a. **Institutional.** The following was identified as a high risk: if the coexecuting agencies fail to execute interrelated outputs in an integrated manner, and in coordination both between themselves and with the municípios benefiting from the program, these outputs could prove less effective than expected in the beneficiary territories. To mitigate this risk: (i) all institutional arrangements, procedural flows, and responsibilities will be included in the program [Operating Regulations](#) to guarantee permanent coordination between the PMU (in the Vice Governor's Office) and the coexecuting agencies (in the SSPDS, SPS, and SEAS); (ii) a cooperation agreement will be signed between the executing agency and each coexecuting agency (paragraph 3.6); and (iii) the International Affairs Department (SAIN) of the Ministry of the Economy will monitor the operation on behalf of the federal government, in its role as the Pro-Segurança CCLIP liaison body.
- b. **Human resources.** The following was identified as a medium-high risk: if the technical teams of the agencies associated with the different lines of the program fail to commit to the program's outputs and outcomes during the execution phase, then the scope of the outcomes will be diminished. To mitigate this, an internal communication plan will be prepared, and change management processes will be implemented by the PMU in the Vice Governor's Office. The specific responsibilities of each coexecuting agency will also be specified clearly in the program Operating Regulations.
- c. **Economic and financial.** The following risk is rated medium-high: if the State's fiscal capacity should diminish (e.g. as an economic effect of COVID-19), then the current CAPAG "B" classification could deteriorate,<sup>65</sup> and the loan agreement might not be signed. The following mitigation measures are proposed: (i) the State Finance Department will continuously monitor the main indicators of the State's fiscal capacity; and (ii) the Bank will maintain continuous dialogue and monitoring with federal and state counterparts.

#### 2.5 **Program sustainability.** At the institutional level, this loan is part of the Pact for a Peaceful Ceará, the state policy, mentioned earlier, which has been under way for five years. This policy's institutional coordination and cooperation mechanisms function regularly and will afford continuity and sustainability to the initiatives

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<sup>65</sup> Ceará maintained its classification as eligible for external financing ("CAPAG B") in August 2020, [Boletim de Finanças dos Entes Subnacionais](#) (2020). An update by the Ministry of the Economy is expected in July 2021. To authorize the signing of the respective loan contract, the Brazilian Federal Government will re-examine the fiscal situation of Ceará before giving final approval.

supported by the program. At the operational level, infrastructure works such as the UNISEGs or Referral Centers already have the basic staffing needed for their operation and functioning. As these are currently operating out of highly precarious facilities, there is no risk of financing infrastructure that later does not have staff. The program envisages the preparation of a maintenance plan and updating of the technological solutions.

### III. IMPLEMENTATION AND MANAGEMENT PLAN

#### A. Summary of implementation arrangements

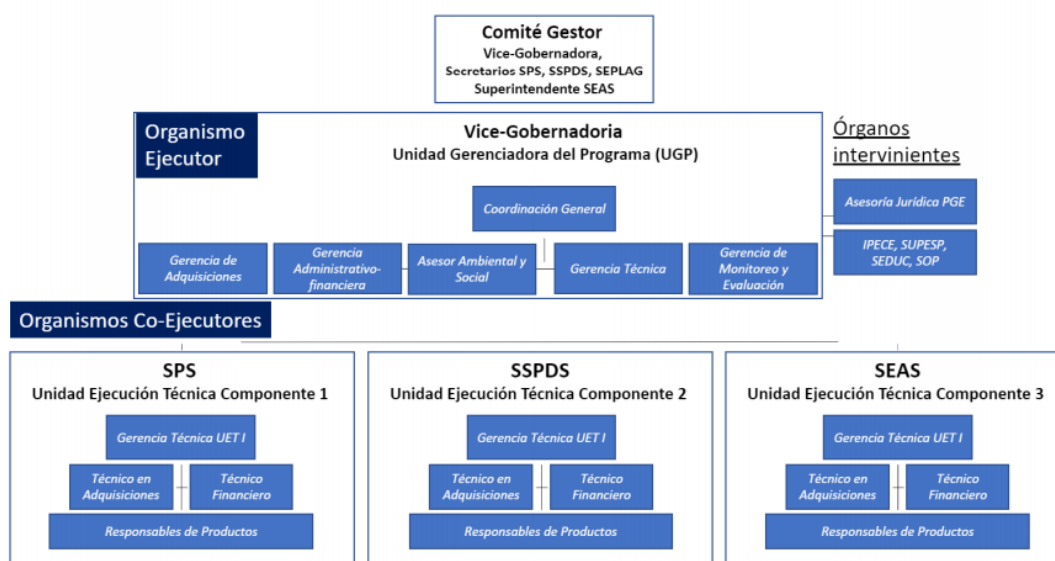
- 3.1 **Borrower and executing agency.** The State of Ceará will be the borrower and will also serve as executing agency through the AEV, in which the PMU will be located. The coexecuting agencies will be: the SPS for Component 1, the SSPDS for Component 2, and the SEAS for Component 3 (see Figure 1). The ICAP results indicate that the AEV has the capacity needed for general coordination of the program as executing agency; and that both the SPS, which has previous experience with the Bank, and the SSPDS and SEAS,<sup>66</sup> which do not, have the capacities needed to implement the actions envisaged in their respective components. The SPS also has previous experience with the Bank. However, it was found that all coexecuting agencies will need to have their project management capacity strengthened, particularly in the technical, procurement, financial, and socioenvironmental safeguards areas. Accordingly, once the heads from each coexecuting agency are appointed, they will receive training in the Bank's financial procedures and procurement policies, to ensure streamlined procurement processes and effective financial management. They will also receive training in communication strategies, community outreach, and integrity, to ensure quality in technical execution. No medium-high or high fiduciary risks have been identified.
- 3.2 **Program execution, management, and coordination mechanisms.** The PMU will take charge of the overall coordination of the program, including financial and procurement planning, technical monitoring, and results evaluation. The PMU will have a full-time core team for the following functions: general coordination, procurement management, technical management, monitoring and evaluation management, and administrative-financial management. The PMU will receive support from an environmental and social adviser for the program. On a complementary basis, the technical execution units (TEUs) in each coexecuting agency will have a procurement specialist, a financial specialist, and a technician, who will coordinate the actions needed to achieve the planned outputs. The PMU will also serve on a high-level PREVIO management committee, consisting of the Vice Governor, the Secretaries of the SPS, the SSPDS and the Planning and Management Department (SEPLAG), and the Superintendent of the SEAS. This committee will be responsible for setting program strategy; it will be convened at least twice a year or at a shorter interval, if necessary.

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<sup>66</sup> All of them (SPS, SSPDS, and SEAS) are under the borrower's direct administration but are not legal entities in their own right.

- 3.3 **Interagency coordination mechanisms.** The program will use the interagency coordination mechanisms already established in the Pact for a Peaceful Ceará.<sup>67</sup> The AEV serves as Executive Secretariat for the Pact and will coordinate the PREVIO management committee, which will facilitate interagency coordination processes with other state agencies, when necessary. The SPS and SEDUC will sign a cooperation agreement for the implementation of actions to prevent school dropout and promote nonviolent parenting practices in Component 1 (paragraph 3.6).

Figure 1. Institutional arrangements



Source: Prepared by the authors.

- 3.4 **The program Operating Regulations** will provide details of the program's execution and administration structure, and will include the following: (i) the program's institutional arrangements; (ii) the functions, roles, and composition of the PMU and the teams of the technical execution units of the three coexecuting agencies; (iii) the program coordination and interagency coordination mechanisms, including the scope of the internal communication plan; (iv) the programming, monitoring, and results evaluation plan; (v) guidelines for financial, audit, and procurement processes; (vi) the financial management rules; and (vii) a chapter on the socioenvironmental aspects of the program. The SESA and the ESMP will be attached as annexes to the program [Operating Regulations](#).
- 3.5 **Special contractual conditions precedent to the first disbursement of the loan proceeds.** The executing agency will submit evidence of the following to the Bank: (i) the entry into force of the program [Operating Regulations](#) under

<sup>67</sup> According to its By-Laws approved by Decree 31840 of 25 November 2015.



- the terms agreed upon with the Bank**, establishing the guidelines, procedures, and coordination mechanisms to be followed by the executing agency for successful implementation of the program (paragraph 3.4); **and (ii) publication in the Ceará Official Gazette of the decree creating the PMU and appointment of the program's full-time general coordinator, under the terms agreed upon with the Bank**, to ensure quality and keep the overall program on track (paragraph 3.2).
- 3.6 **Special contractual conditions for execution.** Precedent to the disbursement of funds for each component, a cooperation agreement between the executing agency and the respective coexecuting agency will be signed and enter into force, stipulating each party's roles and responsibilities, under the terms agreed upon with the Bank, to ensure coordination among the various bodies involved in implementation (paragraphs 3.1 and 3.2). For the implementation of actions to prevent school dropout and promote nonviolent parenting practices in Component 1, a cooperation agreement between the SPS and SEDUC will be signed and enter into force, under the terms agreed upon with the Bank (paragraph 3.3).
- 3.7 **Procurement of works, goods, nonconsulting services, and consulting services.** Procurements financed from the loan proceeds will adhere to the corresponding Bank policies (document GN-2349-15, Policies for the Procurement of Goods and Works Financed by the Inter-American Development Bank, and document GN-2350-15, Policies for the Selection and Contracting of Consultants Financed by Inter-American Development Bank). In view of the analysis made of the executing agency's capacity, procurement processes will be reviewed ex post, except in cases partially or fully financed by the Bank where ex ante supervision is justified as indicated in the [procurement plan](#). When procurement is executed through the country system, it will also be supervised through that system.
- 3.8 **Retroactive financing and recognition of expenditures.** At the request of the State of Ceará, the Bank may retroactively finance up to US\$10.4 million (20% of the proposed loan amount) from the loan proceeds, and it may also recognize against the local contribution up to US\$2.6 million (20% of the estimated local contribution) in eligible expenditures, in the categories of works, goods, nonconsulting services, and consulting services related to programs, technology, or infrastructure works. To be eligible, these expenses must have been incurred by the borrower prior to the loan approval date and will have satisfied requirements substantially similar to those set forth in the loan contract, including compliance with the Bank's safeguard policies. The expenditures in question will have been incurred on or after the operation's official start date (18 May 2020), but in no case more than 18 months prior to the loan approval date.
- 3.9 **Advance of funds.** Disbursements will be made under the advance of funds modality, based on the coexecuting agencies' actual liquidity needs for a maximum period of six months. Each coexecuting agency may request funds advances and render accounts to the Bank independently of the others, based on the financial planning for the components and activities for which it is responsible. Advances will be administered through an exclusive account in a commercial bank, to make it possible to independently identify the proceeds of the financing corresponding to each coexecuting agency. This account will be

for the exclusive use of the loan resources, as specified in the Financial Management Guidelines for IDB-financed Projects (document OP-273-12).

- 3.10 **Audits.** The program's financial statements will be audited annually by the Ceará Audit Office (TCE/CE) or, if this agency is not available, by an independent firm of external auditors acceptable to the Bank, to be contracted by the executing agency. The audited financial statements will be submitted to the Bank within 120 days after the close of each entity's fiscal year, pursuant to the procedures and terms of reference previously agreed upon with the Bank.

**B. Summary of arrangements for monitoring results**

- 3.11 **Monitoring by the executing agency** will be based on the following: (i) the Results Matrix; (ii) the [multiyear execution plan](#); (iii) the [monitoring and evaluation plan](#); (iv) the [procurement plan](#); (v) the program risk management matrix; (vi) the progress monitoring report; (vii) semiannual status updates; and (viii) the program's audited financial statements. The PMU will prepare consolidated semiannual status reports for review by the Bank, which will be submitted within 30 days after the end of each six-month period.
- 3.12 **Evaluation.** The program will be evaluated against the annual targets and indicators of the outcomes and outputs specified in the program Results Matrix. The [monitoring and evaluation plan](#) provides for an independent midterm and final evaluation. The borrower will prepare a midterm evaluation report and submit it to the Bank, either 90 days after the date on which 50% of the resources have been disbursed, or after 36 months of execution, whichever occurs first, as from the date the loan contract takes effect. It will also send the Bank a final evaluation, to serve as input for the project completion report, 90 days after the date on which 95% of the loan resources have been disbursed.
- 3.13 **Impact assessment.** With the aim of generating knowledge about the effectiveness and impact of the implementation of parenting skill programs in terms of reducing violent behavior that could later lead to delinquent behavior by young people, an experimental impact evaluation will be performed to measure the contribution of PADIN+ to the quality of the relationship between parents and children, and the parental practices carried out in the home. This will seek to identify the program's effect on the Index of Quality of Parenting Practices, based on the Parenting and Family Adjustment Scales (PAFAS) instrument (see [monitoring and evaluation plan](#)).

#### **IV. ELIGIBILITY CRITERIA**

- 4.1 **Eligibility criteria of the operation.** Under the Pro-Segurança CCLIP (BR-O0011) approved by the Board of Executive Directors through Resolution DE-128/20 and DE-129/20, this is the first operation in the violence prevention sector in the state of Ceará (using the subnational government resource allocation channel). As such, it satisfies the eligibility criteria defined in the policy documents applicable to CCLIPs (document OP-1622-3) and the operational guidelines (document GN-2246-13), as regards this CCLIP: (i) the CCLIP's objectives are among the priorities set in the Country Strategy (document GN-2973); and (ii) the CCLIP liaison entity, the SAIN, has the authority to coordinate and monitor the general work program of all sectors

included in CCLIP. For individual loan operations: (i) a comprehensive analysis of the institutional capacity of the executing agency (AEV), and the coexecuting agencies (SPS, SSPDS, and SEAS) was conducted through the Institutional Capacity Assessment Platform, which confirmed both the existence of implementation capacity and areas for improvement and potential risks (paragraphs 2.4b and 3.1); (ii) the program objective contributes to achieving the CCLIP's multisectoral objectives by strengthening policies for violence prevention, police modernization, and the social reintegration of ASMs (paragraph 1.23); (iii) the operation is covered in the second sector of the CCLIP (violence prevention) (paragraph 1.1); and (iv) actions to be undertaken in the areas for improvement identified in the institutional capacity assessment are included (paragraph 3.1).

Development Effectiveness Matrix		
Summary		BR-L1546
I. Corporate and Country Priorities		
Section 1. IDB Group Strategic Priorities and CRF Indicators		
Development Challenges & Cross-cutting Issues	-Social Inclusion and Equality -Productivity and Innovation -Gender Equality and Diversity -Institutional Capacity and the Rule of Law	
CRF Level 2 Indicators: IDB Group Contributions to Development Results	-Beneficiaries of employment support initiatives (#) -Agencies with strengthened digital technology and managerial capacity (#)	
2. Country Development Objectives		
Country Strategy Results Matrix	GN-2973	Enhance the effectiveness of citizen security services in the control and prevention of violent crimes
Country Program Results Matrix	GN-3034	The intervention is included in the 2021 Country Program Document.
Relevance of this project to country development challenges (If not aligned to country strategy or country program)		
II. Development Outcomes - Evaluability		Evaluable
3. Evidence-based Assessment & Solution		7.0
3.1 Program Diagnosis		2.0
3.2 Proposed Interventions or Solutions		1.9
3.3 Results Matrix Quality		3.1
4. Ex ante Economic Analysis		9.0
4.1 Program has an ERR/NPV, or key outcomes identified for CEA		1.5
4.2 Identified and Quantified Benefits and Costs		3.0
4.3 Reasonable Assumptions		2.5
4.4 Sensitivity Analysis		2.0
4.5 Consistency with results matrix		0.0
5. Monitoring and Evaluation		8.8
5.1 Monitoring Mechanisms		2.8
5.2 Evaluation Plan		6.0
III. Risks & Mitigation Monitoring Matrix		
Overall risks rate = magnitude of risks*likelihood	Medium Low	
Environmental & social risk classification	B	
IV. IDB's Role - Additionality		
The project relies on the use of country systems		
Fiduciary (VPC/FMP Criteria)	Yes	Financial Management: Budget, Treasury, Accounting and Reporting, External Control, Internal Audit.  Procurement: Information System, Price Comparison.
Non-Fiduciary	Yes	Strategic Planning National System.
The IDB's involvement promotes additional improvements of the intended beneficiaries and/or public sector entity in the following dimensions:		
Additional (to project preparation) technical assistance was provided to the public sector entity prior to approval to increase the likelihood of success of the project	Yes	Technical Cooperation ATN/OC-18084-BR whose objective is to support the improvement of citizen security policies and programs in Brazil, as well as the design and supervision of loans and activities related to the CCLIP PROSEGURANCA

The project "Integrated Program for the Prevention and Reduction of Violence (PREVIO) in the State of Ceará (BR-L1546)" is the second individual operation under the Conditional Credit Line for Investment Projects (CCLIP) "Pro-Segurança" (BR-00011). The general objective of the program is to contribute to reducing the level of violent crime in the State of Ceará. The specific objectives are: (i) to promote the quality of violence prevention services focused on youth and vulnerable groups in the prioritized municipalities; (ii) increase police prevention and investigation capacity, mainly in the city of Fortaleza; and (iii) improve the quality of rehabilitation services for Adolescents with Socio-educational Measures (AMS).

As the key causes of the problem of high levels of violence in Ceará, the program has identified: (i) the lack of integrated, focused and evidence-based violence prevention policies; (ii) community settings that promote conflict resolution through violence; (iii) specific family and gender environments (e.g. mothers unprepared for child-rearing); and (iv) vulnerabilities at the individual level that increase the risk of engaging in crime and violence (e.g. low school participation rates, high rates of youth unemployment).

The diagnosis of the program is clear, and the determinants of the main problem are identified and quantified; however, the criteria for the selection of participants, and hence the scope, are not yet described in detail for all of the sub-components of the program. The Results Matrix reflects the vertical logic described in the diagnostic and includes nine specific objective indicators that allow for the measurement of the achievement of the three specific objectives. In the case of some of those indicators, the targets are not fully supported by evidence.

The cost-benefit analysis of the project indicates a positive net result, both in the central scenario as well as in a range of scenarios presented in the sensitivity analysis. However, in the case of one of the components, there is a lack of consistency with the values in the Results Matrix. For the evaluation of the general and specific objective indicators, the monitoring and evaluation plan proposes a combination of methodologies: (i) an experimental methodology (randomized control trial) for the assessment of one the programs that are part of the project, which will provide evidence with attribution; and (ii) a before-and-after analysis for the remaining indicators.

## RESULTS MATRIX

<b>Project objective</b>	The general objective is to contribute to reducing the level of violent crime in the state of Ceará. The specific objectives are to: (i) enhance the quality of violence prevention services, targeting youth and vulnerable groups in the prioritized municípios; <sup>1</sup> (ii) increase police prevention and investigation capacity, primarily in the city of Fortaleza; and (iii) improve the quality of rehabilitation services for adolescents with socioeducational measures (ASMs).
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### GENERAL DEVELOPMENT OBJECTIVE

Indicators	Unit of measure	Baseline	Baseline year	Final target	Final target year	Means of verification	Comments
<b>General development objective 1. Contribute to reducing the level of violent crime in Ceará</b>							
Annual youth and adolescent homicide rate in the 10 prioritized cities	Rate per 100,000 inhabitants ages 12 to 29	100.7	2015-2020 average	127.2	2025	Superintendency of Public Security Research and Strategy (SUPESP) system	Homicides involving victims ages 12 to 29 years in the following cities: Fortaleza, Caucaia, Juazeiro do Norte, Maracanaú, Sobral, Crato, Itapipoca, Maranguape, Iguatu, and Quixadá.  See monitoring and evaluation plan ( <a href="#">MEP</a> ).
Annual rate of intentional lethal violent crimes with adult victims in Fortaleza	Rate per 100,000 inhabitants ages 18 or older	21.5	2015-2020 average	25.9	2025		Intentional lethal violent crimes include: homicide with intent, robbery followed by death, and bodily injury followed by death. See <a href="#">MEP</a> .
Annual proportion of youth recidivists in the Ceará socioeducational system	% of youth currently in the system	37.5	2020	30.8	2025	CRV data	Young people currently in the socioeducational system who had been admitted for another crime in the 24 months prior to their current admission are considered recidivists. See <a href="#">MEP</a> .

<sup>1</sup> The prioritized municípios are: Caucaia, Crato, Fortaleza, Iguatu, Itapipoca, Juazeiro do Norte, Maracanaú, Maranguape, Quixadá, and Sobral. They were chosen because they are the 10 most heavily populated in the state and in 2019 accounted for 60% of all homicides of adolescents and young people recorded in the state's 184 municípios (SUPESP). In Fortaleza, given its size, the focus will be on the territories prioritized by the Pact for a Peaceful Ceará (Genibau, Barra do Ceará, Granja Lisboa, Vicente Pinzón, and São Miguel/Curio). Accordingly, the focus is on 14 territories (nine municípios outside the capital plus the five Fortaleza territories).

### SPECIFIC DEVELOPMENT OBJECTIVES

Indicators	Unit of measure	Baseline	Baseline year	Final target	Final target year	Means of verification	Comments
<b>Specific development objective 1: Promote the quality of violence prevention services targeting youth and vulnerable groups in the prioritized municipios</b>							
O.1.1 Percentage of 15-19 year-olds benefiting from the Changing the Game ( <i>Virando o Jogo</i> ) program who return to the school system within six months of program completion	% of 15-19 year-olds enrolled	0	2020	69	2025	<i>Virando o Jogo</i> monitoring system (Department of Social Protection, Justice, Citizenship, Women, and Human Rights – SPS)	See <a href="#">MEP</a> .
O.1.2 Index of the quality of parenting practices (Dimension: Quality of parent-child relationship)	Index (0-15 points)	TBD	2021	Increase of 0.25 standard deviations		SPS	Uses the Parenting and Family Adjustment Scales (PAFAS) instrument to measure, before and six months after the intervention. See <a href="#">MEP</a> .
O.1.3 Annual number of people who have suffered violence and received support in the Victims of Violence Support Groups (GAVV) and Referral and Support Centers for Victims of Violence (CRAVV), disaggregated by vulnerable groups	Number of people	8,844	2019	10,812		GAVV (SUPESP) and CRAVV (SPS) monitoring system	Pro-Gender indicator
O.1.4 Annual number of people who have suffered violence and received support at the LGBT Referral Center	Number of people	0	2020	3,200		LGBT Center monitoring system (SPS)	Pro-Gender indicator
O.1.5 Percentage of 14-25 year-olds who change their risk level for involvement in crime after passing through the referral centers in Fortaleza	% of 14-25 year-olds enrolled	0	2020	25		Referral centers' monitoring system (SPS)	See <a href="#">MEP</a> .

Indicators	Unit of measure	Baseline	Baseline year	Final target	Final target year	Means of verification	Comments
Specific development objective 2: Increase police prevention and investigation capacity, primarily in the city of Fortaleza							
O.2.1 Proportion of the police force assigned to preventive activities in Fortaleza each year	%	14	2020	18	2025	SSPDS	Preventive policing is calculated as the number of police officers involved in preventive activities such as the GAVV, the Community Safety Group (GSC), the School Safety Group (GSE), the Targeted Prevention Group (GPF), or in the Community Policing Base, over the total number of police officers operating in the state. See <a href="#">MEP</a> .
O.2.2 Annual proportion of homicides in Fortaleza in which the perpetrator is identified	%	11.3	2019	13	2025		See <a href="#">MEP</a> .
Specific development objective 3: Improve the quality of rehabilitation services for ASMs							
O.3.1 Annual percentage of young people in the socioeducational system whose risk of recidivism changes after completion of measures	% of youth active in the socio-educational system	0	2020	25	2025	SocioEduK system	A standard measurement of general risk of recidivism is the LSI-YV test or similar. See <a href="#">MEP</a> .
O.3.2 Rate of adherence to the cognitive-behavioral program	% of released persons	0	2020	40	2025	SocioEduK system	The adherence rate is operationally defined as the proportion of youth who complete the cognitive-behavioral program in

Indicators	Unit of measure	Baseline	Baseline year	Final target	Final target year	Means of verification	Comments
							their individual care plan, relative to the total number of cases in which the individual care plan includes the cognitive-behavioral program. See <a href="#">MEP</a> .

### OUTPUTS

Outputs	Unit of measure	Baseline 2020	2021	2022	2023	2024	Final target 2025	Means of verification	Comments
<b>Component 1: Prevention of youth and gender-based violence<sup>2</sup></b>									
1.1 Municipal prevention plans designed	Plans	0	2	4	2	2	10	Program management unit (PMU) semiannual progress report	-
1.2 Municipal prevention plans being monitored in the territory	Plans	0	2	6	8	10	10		-
1.3 Training programs implemented for managers and public officials	Programs	0	0	1	1	0	2		See <a href="#">MEP</a> .
1.4 Community prevention interventions financed	Interventions	0	0	2	1	0	3		
1.5 Youth empowerment projects financed	Projects	0	2	6	8	10	10		
1.6 Prioritized territories that incorporate programs for the prevention of violence against women	Territories	0	0	4	6	8	10		Pro-Gender indicator See <a href="#">MEP</a> .

<sup>2</sup> See footnote 1 for the list of prioritized municipios and territories.



Outputs	Unit of measure	Baseline 2020	2021	2022	2023	2024	Final target 2025	Means of verification	Comments
1.7 Victim services strengthened	Services	0	0	2	8	10	10		Pro- Gender indicator. See <a href="#">MEP</a> .
1.8 Prioritized territories that incorporate actions to prevent youth violence	Territories	0	0	2	10	14	14		See <a href="#">MEP</a> .
1.9 Prioritized territories that implement the Virando o Jogo school-work program	Territories	0	0	2	10	14	14		
1.10 Prioritized territories that implement programs to reduce school dropout	Territories	0	0	6	10	14	14		
Component 2: Strengthening police prevention and investigation capacity									
2.1 Projects to improve criminal analysis, with a technical team hired	Projects	0	0	1	2	4	4	PMU semiannual progress report	See <a href="#">MEP</a> .
2.2 SUPESP equipped with furniture and information technology for its operations	Office	0	0	1	0	0	1		-
2.3 Mobile devices (mobile bases or vehicles) available in the prioritized territories	Devices	0	12	52	0	0	64		-
2.4 Integrated security units (UNISEGs) built, equipped, and in operation	Unit	0	4	8	0	0	12		-
2.5 Data center equipped for big data analysis	Data center	0	-	1	0	0	1		-
2.6 Expert laboratories strengthened with equipment and training	Laboratory	0	2	4	0	0	6		Pro- Gender indicator. See <a href="#">MEP</a> .

Outputs		Unit of measure	Baseline 2020	2021	2022	2023	2024	Final target 2025	Means of verification	Comments
<b>Component 3: Strengthening of the socioeducational measures system</b>										
3.1	Socioeducational units that offer the comprehensive and entrepreneurial education program for young people in the system	Socio-educational unit	0	0	6	6	6	18	PMU semiannual progress report	-
3.2	Socioeducational units offering the program		0	0	6	6	6	18		-
3.3	Socioeducational units that offer the humanization of socioeducational rights program		0	0	6	6	6	18		-
3.4	Socioeducational units that offer the vocational training program for adolescents		0	0	6	6	6	18		-
3.5	Young people released from detention and open environment units who receive training and/or a scholarship	Young people	0	50	100	150	200	500		-

Country: Brazil

Division: IFD/ICS

Operation number: BR-L1546

Year: 2021

## FIDUCIARY AGREEMENTS AND REQUIREMENTS

**Executing agency:** The borrower, through the Special Vice Gubernatorial Advisory Unit. Coexecuting agencies: Department of Social Protection, Justice, Citizenship, Women, and Human Rights (SPS), Department of Public Security and Social Protection (SSPDS), and Superintendency of the State Socioeducational Assistance System (SEAS).

**Project name:** Ceará State Integrated Violence Prevention and Reduction Program (PREVIO). Second Individual Operation under the Pro-Segurança Conditional Credit Line for Investment Projects (CCLIP) (BR-O0011).

### I. THE EXECUTING AGENCY'S FIDUCIARY CONTEXT

1. Use of country systems in the project (any system or subsystem that is approved later could be applicable to the operation, pursuant to the Bank's terms of validation).

<input checked="" type="checkbox"/> Budget	<input type="checkbox"/> Reports	<input checked="" type="checkbox"/> Information system	<input type="checkbox"/> Partial national competitive bidding (NCB)
<input checked="" type="checkbox"/> Treasury	<input checked="" type="checkbox"/> Internal audit	<input checked="" type="checkbox"/> Shopping	<input type="checkbox"/> Advanced NBC
<input checked="" type="checkbox"/> Accounting	<input checked="" type="checkbox"/> External control	<input type="checkbox"/> Individual consultants	<input type="checkbox"/> Other

2. Fiduciary execution mechanism

<input checked="" type="checkbox"/>	Coexecuting / Subexecuting agencies	The three coexecuting agencies have satisfactory institutional capacity to execute the actions in each of their respective components. The SPS has relevant experience in executing Bank programs, since it has been implementing the Ceará Social Reforms Support Program (PROARES) for 10 years, which is currently in its third stage with loan 3408/OC-BR. Although the SSPDS and SEAS do not have experience with the Bank, they have demonstrated the necessary institutional capacity through the institutional capacity assessment platform (ICAP).
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3. Fiduciary capacity

The executing agency's fiduciary capacity	<ol style="list-style-type: none"> <li>The State of Ceará will be the borrower and will also serve as executing agency through the Special Vice Gubernatorial Advisory Unit, where the program management unit (PMU) will be located. The PMU will be responsible for the overall coordination of the program, including financial and procurement planning, and technical monitoring and results evaluation. It will have a core full-time team for the following functions: general coordination, procurement management, technical management, monitoring and evaluation management, and financial-administrative management. The PMU will also receive support from an environmental and social advisor for the program. The Office of the Vice Governor does not have previous experience with the Bank but has demonstrated the required institutional capacity through the ICAP framework.</li> <li>The project will use the interagency coordination mechanisms already established in the Pact for a Peaceful Ceará (PCP). The Special Vice Gubernatorial Advisory Unit serves as the Pact's executive secretariat and will coordinate the PREVIO management committee. This will facilitate the</li> </ol>
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	<p>processes of interagency coordination with other government bodies, when necessary. The SPS and the Education Department (SEDUC) will sign a cooperation agreement to implement actions to prevent school dropout and promote nonviolent parenting practices under Component 1.</p> <p>3. The following entities will serve as coexecuting agencies: the SPS for Component 1, the SSPDS for Component 2, and the SEAS for Component 3. The ICAP results indicate that both the SPS, which has previous experience with the Bank, and the SSPDS and SEAS which do not, have the capacities needed to implement the actions envisaged for their respective components. It was found that project management capacity will need to be strengthened in all the coexecuting agencies, particularly in the technical, procurement, financial, and socioenvironmental safeguards areas. Accordingly, once the heads from each coexecuting agency have been appointed, they will receive training in the Bank's financial procedures and procurement policies, to ensure streamlined procurement processes and effective financial management. They will also receive training in communication strategies, community outreach, and integrity, to ensure quality in technical execution.</p> <p>4. Each coexecuting agency will have a technical execution unit (TEU), consisting of at least one procurement specialist, a financial specialist, and a technician, who will coordinate the actions needed to achieve the planned outputs. These functions may be performed by staff existing within the structure of each coexecuting agency.</p> <p>5. The executing agency and the coexecuting agencies have experience in carrying out purchasing processes using the <i>Pregão Eletrônico</i> online auction system, which is acceptable to the Bank for the procurement of goods and nonconsulting services.</p> <p>6. The internal control of the coexecuting agencies is performed by the State Comptroller General's Office (CGE). External control is exercised by the Ceará State Audit Office (TCE/CE), a strategic partner of the Bank for audits of projects financed with Bank resources in Ceará.</p>
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4. Fiduciary risks and mitigation actions

Area(s)	Mitigation measures and/or strengthening actions	Responsible entity(ies)	Deadline
No medium-high or high fiduciary risks were identified.	N/A	N/A	N/A

5. Policies and guidelines applicable to the operation: Documents GN-2349-15 and GN-2350-15.

6. Exceptions to policies and guidelines: N/A.

## II. CONSIDERATIONS FOR THE SPECIAL PROVISIONS OF THE CONTRACT

**Exchange rate for rendering accounts as agreed upon with the coexecuting agencies:** The exchange rate agreed upon with the coexecuting agencies for rendering accounts on advances of the loan proceeds will be the first-in first-out exchange rate. For the purpose of determining equivalence for the reimbursement of expenses under the loan, the exchange rate agreed upon will be the buying rate set by the Central Bank of Brazil on the day before the reimbursement request is submitted to the Bank. To determine the equivalence of expenses incurred in local currency charged to the program counterpart, the exchange rate agreed upon will be the buying rate set by the Central Bank of Brazil on the day before the date of submission of the expense justification to the Bank.

**Audited financial statements:** During program execution, annual audited financial statements will be submitted no later than 120 days after the close of each fiscal year. The program's external audit will be performed by the TCE/CE or by an external firm acceptable to the Bank. The program's final audited financial statements will be presented no later than 120 days after the date of the last disbursement.

## III. AGREEMENTS AND REQUIREMENTS FOR PROCUREMENT EXECUTION

☒	<b>Bidding documents</b>	The procurement of works, goods, and nonconsulting services executed in accordance with the Bank's procurement policies (document GN-2349-15), subject to international competitive bidding (ICB), will use the Bank's Standard Bidding Documents (SBDs), or others as may be agreed upon between the executing agency and the Bank for a specific procurement. The selection and contracting of consulting services will be conducted pursuant to the Policies for the selection and contracting of consultants financed by the Inter-American Development Bank (document GN-2350-15), and the Standard Request for Proposals (RFP) issued by the Bank will be used.						
☒	<b>Retroactive financing and recognition of expenditures</b>	At the request of the State of Ceará, the Bank may retroactively finance up to US\$10.4 million (20% of the proposed loan amount) from the loan proceeds, and it may also recognize against the local contribution up to US\$2.6 million (20% of the estimated local contribution) in eligible expenditures, in the categories of works, goods, nonconsulting services, and consulting services related to programs, technology, or infrastructure works. To be eligible, these expenditures must have been made by the borrower prior to the loan approval date and will have satisfied requirements substantially similar to those set forth in the loan contract, including compliance with the Bank's safeguard policies. The expenditures in question will have been made on or after the operation's registration date (18 May 2020), but in no case more than 18 months prior to the loan approval date.						
☒	<b>Procurement supervision</b>	<p>Procurement will be supervised ex post, except in cases where ex ante supervision is justified. When procurement is executed through the country system, it will also be supervised through that system. The supervision method will be determined for each selection process. Each ex post review will adhere to the project supervision plan, which may be changed during implementation. The threshold amounts for ex post review are as follows:</p> <table border="1" data-bbox="532 1633 1380 1728"> <tr> <th data-bbox="532 1633 816 1680">Works</th><th data-bbox="816 1633 1101 1680">Goods/Services</th><th data-bbox="1101 1633 1380 1680">Consulting services</th></tr> <tr> <td data-bbox="532 1680 816 1728">US\$25 million</td><td data-bbox="816 1680 1101 1728">US\$5 million</td><td data-bbox="1101 1680 1380 1728">US\$1 million</td></tr> </table>	Works	Goods/Services	Consulting services	US\$25 million	US\$5 million	US\$1 million
Works	Goods/Services	Consulting services						
US\$25 million	US\$5 million	US\$1 million						

Main procurement items

Description of procurement	Selection method	Estimated date	Estimated amount (US\$ thousand)
<b>Goods</b>			
Equipment for expert laboratories for police intelligence and investigation	Country system	2021-IV	3,230
<b>Works</b>			
Construction of integrated security units (UNISEGs)	NCB	2021-III	2,960
<b>Nonconsulting services</b>			
Qualification and hiring of technical teams to support families	ICB	2021-II	10,920
<b>Individuals</b>			
Information technology development team for criminal analysis projects	3CVs	2022-I	1,440
General technical team for the community referral centers (CRCs)	3CVs	2021-III	1,129

The 18-month procurement plan can be accessed [here](#).

Procedures	Justification of use
Notice of intention to award and standstill period.	As applicable, in ICB or in international consultant selection processes.
Value for money.	In accordance with applicable policies.

#### IV. FINANCIAL MANAGEMENT AGREEMENTS AND REQUIREMENTS

<input checked="" type="checkbox"/>	<b>Programming and budgeting</b>	The annual programming and the program budget will be prepared by the PMU in coordination with the coexecuting agencies, and in conjunction with the Planning and Management Department (SEPLAG). The proposed annual budget allocated to the program will be incorporated into the State's Annual Budget Law (LOA), which will provide the funds needed for timely execution of both the loan proceeds and the local counterpart funding.
<input checked="" type="checkbox"/>	<b>Treasury and disbursement management</b>	The loan proceeds will be managed through an exclusive account held at a commercial bank, which will make it possible for the funding pertaining to each coexecuting agency to be independently identified and also allow for timely bank reconciliations. Disbursements will be made in United States dollars, under the advance of funds modality. The amount of each advance of funds will be based on a projection of financial execution for up to 180 days. After the first advance of funds, subsequent advances will require at least 80% of the total funds previously advanced to have been accounted for. Each coexecuting agency may request advances of funds and report to the Bank, independently of the other coexecuting agencies, based on the financial planning of the components and activities for which it is responsible. Expenses considered ineligible by the Bank will be reimbursed with funds from the local contribution or from other sources, at the borrower's discretion and with the Bank's approval, depending on the nature of the ineligibility.
<input checked="" type="checkbox"/>	<b>Accounting information systems and reporting</b>	The coexecuting agencies will use the S2GPR integrated state financial management system for budget and financial execution and for the accounting records of program activities. This system is unable to generate the basic financial reports requested by the Bank. The program planning and management system (SPGP), currently being used by the SPS for the execution of PROARES III, has the capacity to issue financial reports in line with the Bank's requirements. However, the SSPDS and the SEAS will need to

		develop a specific module within the S2GPR to generate the disbursement requests and financial reports required by the Bank. Alternatively, these coexecuting agencies may: (i) use the same software as used by the SPS; (ii) use the SIAFI integrated financial management system used by the State Finance Department (SEFAZ) in the execution of the PROFISCO II CCLIP (loan 4436/OC-BR); or else (iii) contract some other similar commercial software.
<input checked="" type="checkbox"/>	<b>Internal control and internal audit</b>	The State Comptroller General's Office will head up and implement the Ceará government's internal control system.
<input checked="" type="checkbox"/>	<b>External control: external financial audit and project reports</b>	The program's external audit will be performed by the TCE/CE or, if this agency is not available, by an external audit firm acceptable to the Bank. During program execution, annual audited financial statements will be submitted no later than 120 days after the close of each fiscal year. The program's final audited financial statements will be submitted no later than 120 days after the date of the last disbursement.
<input checked="" type="checkbox"/>	<b>Project financial supervision</b>	The operation requires ex post financial supervision of disbursements, using the audited financial reports as the main inputs. Desk reviews will also be performed on a continuous basis by the financial specialist, based on an analysis of the executing agency's disbursement requests. Annual on-site fiduciary supervision visits will also be made.

DOCUMENT OF THE INTER-AMERICAN DEVELOPMENT BANK

PROPOSED RESOLUTION DE-\_\_\_/21

Brazil. Loan \_\_\_\_/OC-BR to the State of Ceará. Integrated Violence Prevention and Reduction Program (PREVIO) of the State of Ceará. Second Individual Operation under the Conditional Credit Line for Investment Projects (CCLIP) BR-O0011 – PRO-SEGURANÇA

The Board of Executive Directors

RESOLVES:

That the President of the Bank, or such representative as he shall designate, is authorized, in the name and on behalf of the Bank, to enter into such contract or contracts as may be necessary with the State of Ceará, as Borrower, and with the Federative Republic of Brazil, as Guarantor, for the purpose of granting the former a financing aimed at cooperating in the execution of the Integrated Violence Prevention and Reduction Program (PREVIO) of the State of Ceará, which constitutes the second individual loan operation under the Conditional Credit Line for Investment Projects (CCLIP) BR-O0011 – PRO-SEGURANÇA, approved by Resolution DE-129/20 on 18 of November of 2020. Such financing will be for the amount of up to US\$52,156,000, from the resources of the Bank's Ordinary Capital, and will be subject to the Financial Terms and Conditions and the Special Contractual Conditions of the Project Summary of the Loan Proposal.

(Adopted on \_\_\_\_\_ 2021)