Ex post evaluation – Brazil

››› Project of the International Climate Initiative (IKI)

IKI funding area: funding area 3: conserving natural carbon sinks/REDD+
Project: Funding for Protected Areas and Sustainable Resource Management in Amazonia — ARPA (project number 209810094, BMUB reference 08_II_061_BRA_G/K_Naturschutzgebiete)
Implementing agency: Ministerio de Meio Ambiente (Ministry of the Environment), WWF Brazil, Fundo Brasileiro para a Biodiversidade (biodiversity foundation)

Ex post evaluation report: 2017

		Planned	Actual
Total costs	USD million	81.5	113.2
Counterpart contribution	USD million	18.1	25.5
Funding	USD million	63.4	87.7
of which IKI budget funds	USD million	4.8	4.7*

* Financing from BMUB's IKI funds amounted to EUR 3.70 million (planned) and EUR 3.63 million (actual).

Summary: Between 2008 and 2010, the project funded the first phase of the Amazon Region Protected Areas programme (ARPA) with EUR 3.63 million which was financed by the Brazilian government, the Global Environment Facility (GEF), the World Wide Fund for Nature (WWF), German Development Cooperation (DC) and German International Climate Cooperation (ICC). The three-phase programme aims for a total of 60 million ha of protected areas in seven states in the Brazilian Amazon region to be effectively protected and managed by the end of 2015. The investment measures of the appraised IKI project included supplying the protected areas with infrastructure and equipment, drawing up management plans, providing signs for the protected areas and establishing advisory councils. The programme was coordinated by the Brazilian Ministry of Environment (MMA). The measures were implemented by the national and state conservation area authorities with the support of WWF and Funbio, a Brazilian biodiversity foundation.

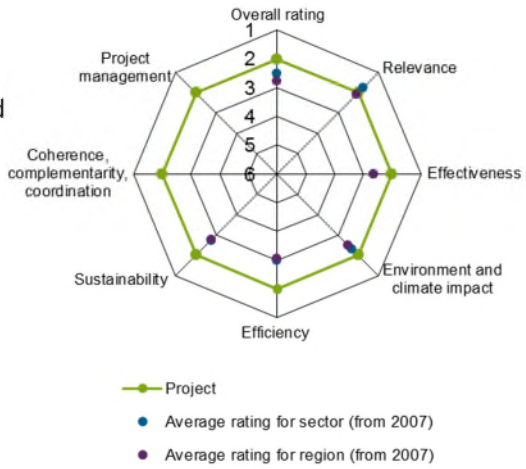
Objectives: Development objectives (impact): containing deforestation in the Amazon, biodiversity conservation and climate change mitigation. Project objective (outcome): expansion and consolidation of the Brazilian system of protected areas in the Amazon.

Target group: Population groups within and along the periphery of protected areas who benefit from tropical forest protection. In addition, climate stability and the environment are global public goods that benefit the world's population.

Overall rating: 2

Rationale: The project was very well integrated into national policies, programmes, implementation structures and processes which resulted in good ratings in all DAC criteria.

Highlights: The designation of protected areas significantly reduces the rate of deforestation in the areas which have been protected. The involvement of the local population in the planning and management of protected areas is given a central role. They are seen as key actors in the effective management of protected areas.



Rating according to DAC criteria

Overall rating: 2

Methodology of the ex post evaluation

The ex post evaluation applied the methodology of a contribution analysis and ascribes impacts to the project through plausibility considerations which are based on a careful analysis of data, facts and impressions, eliminating contradictions and filtering out similarities. The analysis is based on assumed interdependencies and the impact matrix created during project appraisal and updated during the ex post evaluation. In this evaluation report, arguments are presented as to why which influencing factors were identified for the observed impacts and why the appraised project likely made which contribution. Before the evaluation was conducted, a questionnaire based on the document and literature studies was sent to the implementing agency. Semi-structured interviews formed the basis for the discussions during the evaluation. As part of the evaluation of another IKI (Guyana Shield Initiative) project, the project area around the Amapá State Forest (FLOTA) was visited, and key findings were collected about the sector which can be transferred to the ARPA programme. In addition, data from multispectral satellite imagery published by Hansen et al.[1] was used to perform project-specific calculations related to forest cover and deforestation in the project region, and analyses of the Brazilian National Institute for Space Research (*Instituto Nacional de Pesquisas Espaciais - INPE*) and the Ministry of the Environment (MMA) were evaluated.

Country at a glance

	Status of project appraisal/ex post evaluation
Area (Brazil)	8,515,800km^2
Forest area (Brazil)	4,935,380km^2 (2015; 59%)
Forest area (Amazonia)	3,420,273km² (2015; 81.5%)
Population / population growth	*207,652,865 / 0.8% p.a.*
Gross domestic product (GDP) per capita	*10,080 (2015, according to WB data, atlas method)* *14,145 (2015, according to HDI)*
Population below the national pov-	*7.4% (2016)*

[1] Hansen, M. C., P. V. Potapov, R. Moore, M. Hancher, S. A. Turubanova, A. Tyukavina, D. Thau, S. V. Stehman, S. J. Goetz, T. R. Loveland, A. Kommareddy, A. Egorov, L. Chini, C. O. Justice, and J. R. G. Townshend. 2013. “High-Resolution Global Maps of 21st-Century Forest Cover Change.” Science Volume 342, No. 6160 (15 November 2013): 850-53. Data available at: http://earthenginepartners.appspot.com/science-2013-global-forest.

erty line	
Human Development Index	0.754 (79th)
Carbon emissions per capita and year	2.5t (2013) *Source:* http://data.worldbank.org/indicator/EN.ATM.CO2E.PC

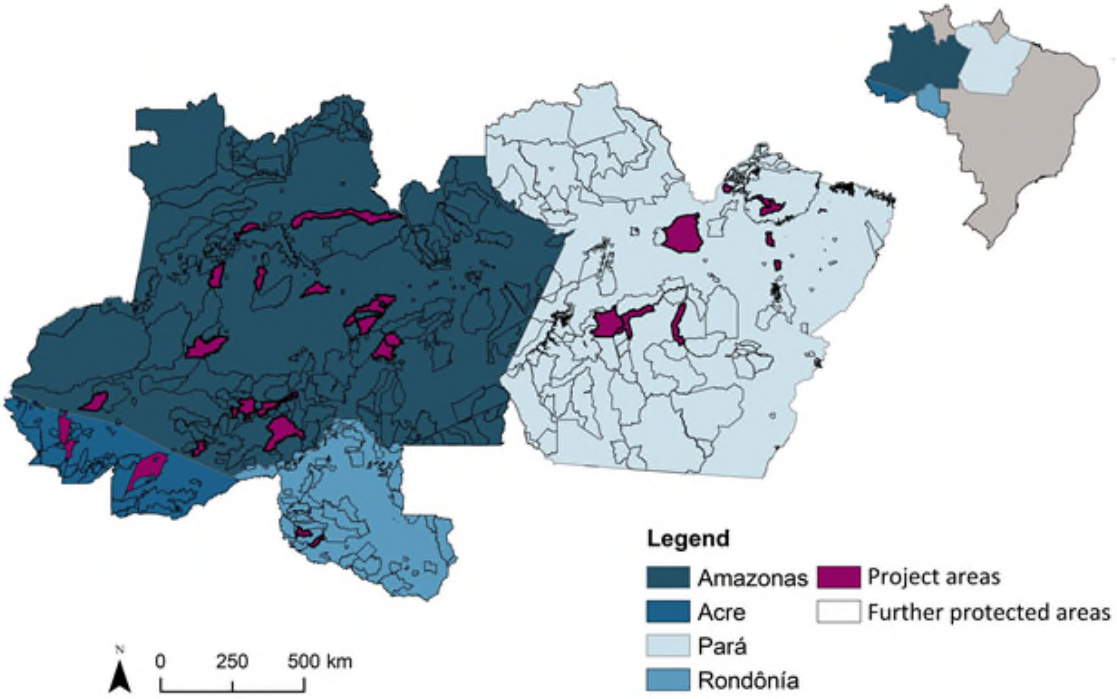
General conditions, classification of the project and project measures

The Brazilian Amazon region is home to the largest interconnected tropical forest in the world, is extremely rich in biodiversity and plays an important role in the regional and global climate. Since the Amazon started being developed in the 1960s, about 18% of the original forest cover has been destroyed. The most important factors driving deforestation are the ongoing expansion of farming and cattle ranching, the spread of towns, road construction and illegal logging. After deforestation was significantly reduced between 2004 and 2011, it has risen sharply in recent years, so that by 2016 again it had reached almost 8,000km². However, it is still below the average for the years from 1988 to 2004, which was just under 20,000ha per year. With international support, Brazil has made significant progress in the last 20 years in identifying protected areas, establishing institutions tasked with the protection and management of tropical forests and developing appropriate political, legal, financial and technical instruments. However, given the immense size of the areas and the logistical challenges involved, it will be extremely difficult to meet the goal of reducing net deforestation in Brazil to 0% by 2030.

From 2008 to 2010, the project made a potential contribution in 28 protected areas of the Amazon Region Protected Areas Program (ARPA) in the following ways:

- Provision of basic infrastructure and equipment for the protected areas administrations
- Creation of management plans and provision of signs demarcating the boundaries
- Establishment of protected area advisory councils
- Training measures and the creation of strategic studies

Overview map of the project area



Map 1: Overview of project region and protected areas. Internal analysis and preparation. *Data source: project and protected areas. UNEP-WCMC and IUCN (2017), Protected Planet: The World Database on Protected Areas (WDPA) [Online], 06/2017, Cambridge, UK: UNEP-WCMC and IUCN. Available at: www.protectedplanet.net.*

Map 1 provides an overview of the project region and protected areas. Table 1 shows the rates of deforestation in the four states of Acre, Amazonas, Pará and Rondônia where the project was carried out. Deforestation[2] in these four states developed unevenly between 2008 and 2016. While it generally increased in Acre, Amazonas and Rondônia, it significantly decreased in Pará in this period. Total deforestation in these four states fell from 7,600ha in 2008 to 5,900ha in 2016. However, deforestation in 2016 increased significantly again compared to previous years in which deforestation was temporarily reduced to less than 4,000ha per year.[3] From 2008 to 2015, annual deforestation rates (%) outside the protected areas were an average of 0.40% in Acre, 0.10% in Amazonas, 0.55% in Pará and 0.37% in Rondônia. The degradation of natural resources is comparatively irrelevant in the Amazon region compared to complete deforestation and conversion into agricultural land.

Detailed maps that show the forest cover and forest loss in the four states of Acre, Amazonas, Pará and Rondônia as well as the supported protected areas are provided in the annex.

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[2] Forest definition of the *Serviço Florestal Brasileiro* in accordance with the Food and Agriculture Organization of the United Nations (FAO): Land spanning more than 0.5ha with trees higher than 5 metres and a canopy cover of more than 10%. (see http://www.florestal.gov.br/snif/recursos-florestais/definicao-de-floresta)

[3] See data for the states: http://www.obt.inpe.br/prodes/index.php

	Deforestation in km²				
Year	Acre	Amazonas	Pará	Rondonia	Total
2008	254	604	5.607	1.136	7.601
2009	167	405	4.281	482	5.335
2010	259	595	3.770	435	5.059
2011	280	502	3.008	865	4.655
2012	305	523	1.741	773	3.342
2013	221	583	2.346	932	4.082
2014	309	500	1.887	684	3.380
2015	264	712	2.153	1.030	4.159
2016	372	1.129	2.992	1.376	5.869

Table 1: Overview of deforestation in the project region

Relevance

The project was consistent with the IKI criteria "Contribution to conserving biodiversity" and "Conserving carbon sinks". The project concept addressed the basic prerequisites for effective management of protected areas and thus for a reduction in deforestation in the designated protected areas.

The project explicitly supported the implementation of national policies on protected area management, forest protection and species conservation (including the National Protected Area System Act - *Sistema Nacional de Unidades der Conservacão da Natureza – SNUC)* and contributed to Brazil's subsequent commitment to the United Nations Framework Convention on Climate Change (UNFCCC) to fully halt net deforestation in the Amazon by 2030. In addition, the project contributed to the implementation of the national biodiversity policy (from 2002) and Brazil's obligation to implement the Aichi goals (Biodiversity Convention of 2010) at national level. The project objective was also in line with the *Sustainable Development Goals* (SDGs) agreed later on.

The 28 protected areas were selected centrally by the Ministry of Environment at the request of the respective administrating authorities. The ARPA programme was further extended on the basis of a fixed set of criteria at the initiative of the protected area authorities, taking into account available resources and management capacity.

The implementation structures (see section on project management) were considered appropriately designed by all participating institutions.

Relevance rating: 2

Effectiveness

No indicators for the achievement of the project's objectives were defined in the project proposal. For the ex post evaluation, the indicators outlined in the Separate Agreements with WWF and Funbio were used as an approximation to measure achievement of the objectives.

Indicator	Status (2008)/target value project appraisal	Ex post evaluation (reporting year 2016)
(1) Expansion of the system of protected areas	Status: 9.7 million ha (28 protected areas) Target (2012): 50 million ha	59.2 million ha (114 protected areas)
(2) The protected areas have management plans which are implemented and updated regularly.	Status: 0 Target: 15 of 28	10 of 28
(3) The protected areas are completely demarcated (according to planning)/signs have been provided (according to implementation).	Status: 0 Target: 10 of 28	19 of 28 (indicator was adjusted in the course of the project.
(4) The advisory boards for the protected areas have been set up and meet.	Status: 0 Target: 15 of 28	17 of 28 (overall, advisory boards are established in approx. 80% of the 114 ARPA protected areas.)
(5) The protected areas have basic equipment and infrastructure and they are used.	Status: 0 Target: 10 of 28	24 of 28 (overall, approx. 75% of the 114 ARPA protected areas have basic equipment.)

The degree to which the project has achieved its objectives is therefore good. This was made possible primarily due to the project's very good integration into the ARPA programme. The assessment of target achievement is based on information provided by the Ministry of the Environment and the protected area authorities. Data exists for indicators 2 to 5 that was explicitly reported for the 28 supported protected areas. In addition, for each of these indicators, there is information for all the protected areas currently supported by ARPA (114) which is based on recent assessments and referred to below.

The goal of the ARPA programme (total costs USD 113.2 million) is to establish protected areas that cover an area of 60 million ha. The project aimed (IKI contribution USD 4.7 million) to expand and consolidate the Brazilian system of protected areas in Amazonia, whereby the 28 directly supported protected areas were already legally established at the beginning of the project. The ARPA programme's target at the end of the project was 50 million ha (indicator 1). At the time of the ex post evaluation, 59.2 million ha had been reached in 114 protected areas.

Of the 15 management plans originally planned, 13 had been created (indicator 2). According to the Ministry of the Environment's evaluation, 3 of these need to be updated. In addition to these 13 management plans, there are another 5 protected areas

with management plans that have not been updated. For the 11 protected areas with no management plans, 9 plans are already in different stages of preparation. In total, updated management plans exist in approx. 60% of the ARPA protected areas. Lack of resources is the main obstacle to plans being created or updated.

Due to the remoteness of many protected areas, it is not necessary to demarcate them completely (indicator 3). Complete demarcation is also very cost-intensive. For this reason, the decision was taken to introduce signs for the protected areas at important entry points (roads, rivers, near villages) instead. This has occurred in 19 of the 28 protected areas. In total, around 70% of the 114 protected areas currently supported by ARPA are already signposted. According to data from the Ministry of the Environment, only 8 of the 114 protected areas and 3 of the directly supported areas have been completely demarcated in the relevant areas.

From the project funds, advisory councils were established in 17 of the 28 directly supported protected areas (indicator 4). In total, protected area advisory boards have been established in approx. 80% of the 114 ARPA protected areas. The protected area advisory councils play a central role in the planning and monitoring of conservation measures. In protected areas where sustainable use by local residents is envisaged, all annual work plans must be approved by them. Many of the reports of illegal use stem directly from the residents in and around the protected areas.

24 of the 28 protected areas have been supplied with basic equipment (indicator 5). Overall, about 75% of the 114 ARPA protected areas have a minimum level of infrastructure and equipment.

Despite these very positive results, however, full protection and management of the 28 protected areas can only be achieved with considerably higher resources as a result of their size (9.7 million ha) and difficult accessibility. As early as 2013, a report by the Federal Court of Audit highlighted that only 4% of the 247 protected areas investigated in the Amazon region had a sufficient level of implementation and administration to ensure effective protection.

The annual deforestation figures (see "Relevance") also show that the protected areas in Amazonia continue to be severely threatened. Farming and cattle ranching are the main drivers of deforestation here. According to the IBAMA (*Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais* — Federal Environment Agency), they account for 90% of deforestation.

The residents in and around the protected areas were intensively involved in all planning and implementation of the protective measures. The protected area authorities see them as key actors to ensure the effective protection and sustainable management of the protected areas.

Effectiveness rating: 2

Efficiency

With a total of disbursed funds amounting to EUR 3,630,072, 28 protected areas were supported. The combined management costs of WWF and Funbio totalled EUR 345,000 and were thus less than 10% of the total costs. The limited resources were far

from sufficient to achieve effective conservation area management at the end of the project in all of the protected areas concerned, but are to be viewed in the context of the total investment of USD 113 million in phase 1 of the ARPA programme. The project outcome and thus the production efficiency can be rated as good, taking into account the resources used

The selected approach to consolidate the supported areas made economic sense since (1) the measures relevant to sustainable management of protected areas were supported, (2) all relevant national and federal institutions were sufficiently involved, (3) the measure was implemented within the framework of an overarching national programme (ARPA) with the corresponding "implementing structures" and (4) appropriate external assistance was obtained for technical support and financial management of the project (WWF, Funbio).

The allocation efficiency is assessed as good. The protected areas with the highest need and highest implementation capacities at the beginning of the project were selected. There were no sensible alternatives to the selected project approach.

Efficiency rating: 2

Overarching climate and environmental impacts

The project's overarching development objective was containing deforestation in the Amazon, biodiversity conservation and climate change mitigation. The project thus contributed to the following goals of the IKI in particular: conservation, restoration and sustainable use of natural carbon sinks and the conservation of biodiversity.

Consolidating the system of protected areas in the Amazon region at outcome level was intended to help maintain ecosystem services at impact level, in particular by reducing greenhouse gas emissions from deforestation and preserving biodiversity and habitat diversity.

No indicators were defined during project preparation for the overall project objective. The indicators listed in the table below which can be supported by data from the Ministry of Environment were defined for the ex post evaluation. Indicators on biodiversity were not selected since the collection of data such as biodiversity indices and the population of key species is still in its early stages and no comprehensive information is yet available for these indicators. The figures relate to the total of 114 protected areas currently supported under the ARPA programme (59.2 million ha).

Indicator	Status/target value project appraisal	Ex post evaluation
(1) Change in gross annual deforestation in protected areas vs. deforestation outside protected areas	Status 2008: 16,833ha	13,180ha (2015) (see text for comparison with deforestation rates outside protected areas)

(2) Carbon emissions prevented in the project	Not collected	8.41 million t/year
(3) Income effects relating to the project[4]	--	Cannot be depicted

The annual deforestation rate in the 114 protected areas of the ARPA programme is 13,180ha per year (indicator 1), which represents around 0.02% of the total area of the protected areas. This is significantly lower than the annual deforestation rate on the total area of the respective states (Acre 0.40%, Amazonas 0.10%, Pará 0.55%, Rondônia 0.37%). The designation of protected areas thus clearly contributes to reducing anthropogenic pressure on these resources and preserves biodiversity and endemic species.

Assuming an average deforestation rate of 0.36% in the four states (unweighted average), the annual reduction in carbon dioxide emissions from deforestation prevented in the 114 protected areas of the ARPA programme amounts to 8.41 million tonnes.[5]

When evaluating these indicators, it should be kept in mind that they were achieved not only through the relatively low German contribution, but also in the framework of the overall ARPA programme and through the basic funding of the participating institutions from budget funds outside the programme. In addition, these figures are rough approximations and cannot represent impacts such as increased deforestation pressure on forests outside protected areas ("leakage" effects) caused by the displacement of deforestation drivers to other areas. Information on this subject is not yet available. Nevertheless, these figures represent the substantial contribution that effective management of protected areas can make to reducing deforestation and carbon emissions.

The ARPA programme is considered by all the participating institutions to be a fundamental pillar for financing the Brazilian system of protected areas. With its contribution to the first phase of the ARPA programme, the project was able to make an important contribution to the further expansion of the system of protected areas.

The protected area authorities consider the population in and around the protected areas to be the most important actors in their effective protection and sustainable management. Core elements of protected area management are therefore the participation of the local population, the balance of interests between the needs of the local population and the protection objectives as well as the consideration of existing rights of use in accordance with the protection objectives. This is also reflected in the role of the

[4] Projects relating to nature conservation are characterised by a potential clash of objectives between the protection of resources and alleviation of poverty. Regardless of the project objectives, this indicator should be used for information purposes.

[5] Formula: (deforestation rate in the total area – deforestation rate in the protected areas) * (percentage of forest in the protected areas) * (carbon emissions per hectare of deforestation) * total area of the ARPA protected areas
Assumptions: percentage of forest in the protected areas = 80%; above-ground biomass in the forest: 300t/ha; carbon content of the biomass 47%; conversion factor of C to CO_2 = 3.67)

protected area advisory councils (see section on effectiveness). There are already a number of initiatives in place to generate income for the local population from the sustainable use of the protected areas. However, they have not yet shown any substantial impact on stabilising the living conditions of the local population in the long term. This would require considerable additional resources for training measures, investments in productive projects and the establishment of value chains.

Overall, the overarching impacts on climate are assessed as good.

Overarching climate and environmental impacts rating: 2

Sustainability

The project's contributions are used by the partners beyond the term of the project. The protected area authorities and the Ministry of the Environment consider the provided outputs to be urgently necessary and use them as intended.

Today, the agreement on the protection and sustainable use of ecosystems plays an overriding role in Brazilian environmental protection policy ("*preservar e produzir*"), since a population living in, around and from the forest maintains and protects it from deforestation and transformation. This was highlighted by all the national and civilian institutions involved in the evaluation missions. In this respect, various projects in the states of Amapá and Pará as well as of the national institutions are currently supporting and implementing approaches and initiatives to promote sustainable production and improve the living conditions of the residents in and around the protected areas, with the explicit aim of keeping the population in the project areas. For example, environmental compensation payments from companies and state funds are used to set up and promote what are known as *Escolas Famílias* for rural populations and residents of protected areas.

One indicator that the awareness of the population for the protection of ecosystems has been successfully raised in the project areas is that many of the reports of illegal interventions are made directly by people living in and around the protected areas.

Effectively protecting the Brazilian protected areas is at risk, particularly in light of the current budget restrictions which mainly pertain to ICMBio (Federal Protected Areas Authority) and IBAMA (Federal Environment Agency). Deforestation, which has increased again in recent years, is largely attributed to a lack of funding by the protected area authorities. In particular, they can no longer sufficiently implement control and sanction measures. The ARPA For LIFE strategy aims to provide sustainable funding for protected areas: to this end, a donor fund has been established from which the management of protected areas is to be financed. The amount contributed by the fund will gradually decrease over time until 2039, while financing from the Brazilian state is set to be increased in the same amount. The form in which the funds of the Brazilian (supported by German development cooperation) Amazon Fund will be included in this financing strategy is still under discussion. Of the approximately USD 1.1 billion pledged to date, only USD 600 million is currently tied up in specific projects, which means that there is still further financing potential here.

A major threat to the forests of the Amazon region is the political pressure from the agricultural lobby, which manifests itself in laws that drive further deforestation. Illegal land seizures on public land up to a size of 2,500ha, which have been proven to have taken place until 2011, can now be retroactively legalised. A legislative initiative is also threatening the existing indigenous territories. Evidence of the presence of indigenous peoples in these areas in 1988 must be furnished ex post in order to secure the current protection status. Ultimately, the law recently initiated by the president to lower the conservation status of protected areas in the Amazon region by 350,000ha sends political signals to yield to the demands of the agricultural industry. There is a considerable risk that forests and biodiversity will continue to be lost in the future.

In this context, it becomes clear just how important the already-established conservation mechanisms and designation of protected areas are for the conservation of forests and biodiversity. The sustainability of the project is therefore considered to be good despite the limitations mentioned above.

Sustainability rating: 2

Coherence, complementarity and coordination

Planning and implementation coordination with other bilateral and multilateral donors, organisations and federal ministries was good. The project was integrated into the existing national ARPA programme and the contribution from IKI funds complemented those of other donors such as the World Bank/GEF and WWF as well as those of BMZ and the contributions of German development cooperation carried out by GIZ. The measures were selected according to the priorities and work plans of the implementing institutions and integrated into their operational planning.

Coherence, complementarity and coordination rating: 2

Project management

From today's perspective, project management by the implementing organisation was appropriate and effective in achieving the project's goals.

The measures were implemented by the national and state conservation area authorities with the support of WWF (technical advisory services and capacity-building) and the Brazilian Biodiversity Foundation Funbio (administrative handling of donor funding). The ARPA programme was coordinated by the Brazilian Ministry of Environment MMA which set up a special implementation unit for this purpose. It also provided the most important data on which the evaluation report is based.

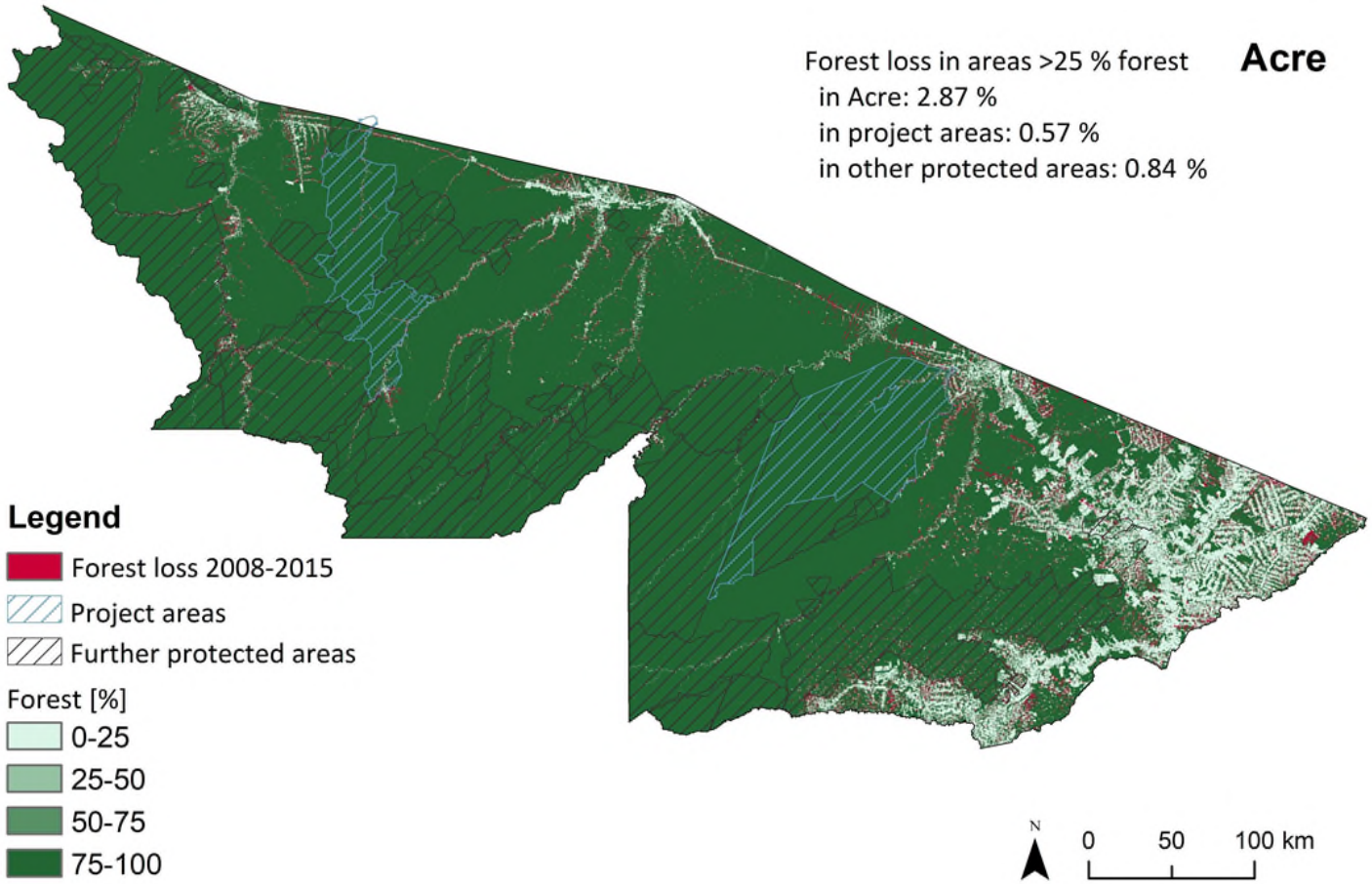
Project management rating: 2

List of abbreviations

ARPA	Amazon Region Protected Areas
BMUB	Bundesministerium für Umwelt, Naturschutz, Bau und Reaktorsicherheit (German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety)
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (German Federal Ministry for Economic Cooperation and Development)
CO_2	Carbon dioxide
EPE	Ex post evaluation
EUR	Euro
Funbio	Fundo Brasileiro para a Biodiversidade
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
ha	hectare
IBAMA	*Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis* (Brazilian Institute of the Environment and Renewable Natural Resources)
ICMBio	*Instituto Chico Mendes de Conservação da Biodiversidade* (Chico Mendes Institute for Biodiversity Conservation)
IKI	Internationale Klimaschutzinitiative (International Climate Initiative)
INPE	Instituto Nacional de Pesquisa Espaciais
m	million
MMA	Ministerio de Meio Ambiente - Brazilian Ministry of the Environment
bn	billion
PA	Project appraisal
SDGs	Sustainable Development Goals
UNFCCC	United Nations Framework Convention on Climate Change
USD	US dollars
WWF	World Wildlife Fund

Annex: Illustration of forest cover

Definition of forest cover of the data used here (Hansen et al. 2013): 25% cover of trees at least 5 metres tall measured with a spatial resolution of 30m x 30m.



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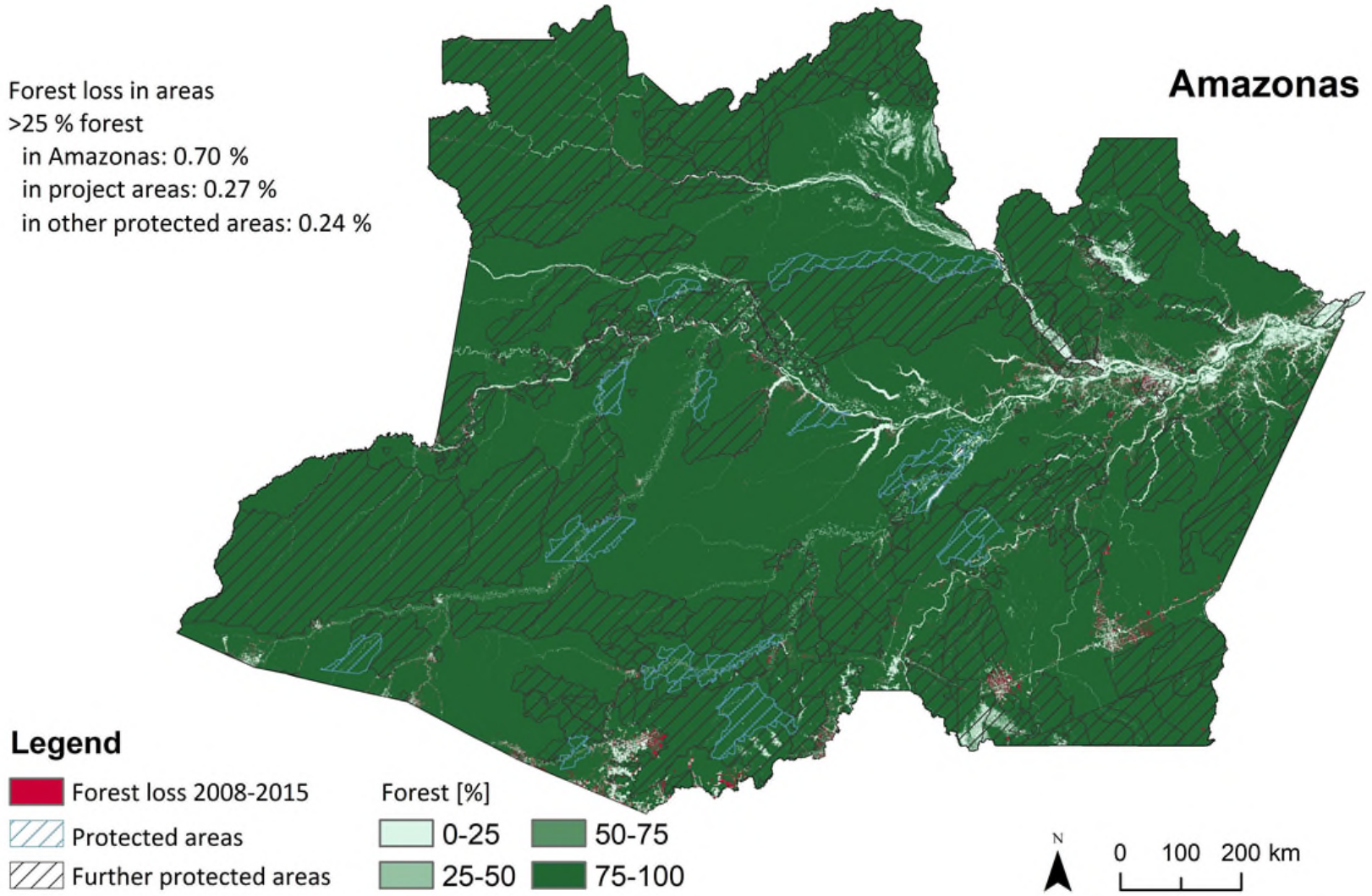

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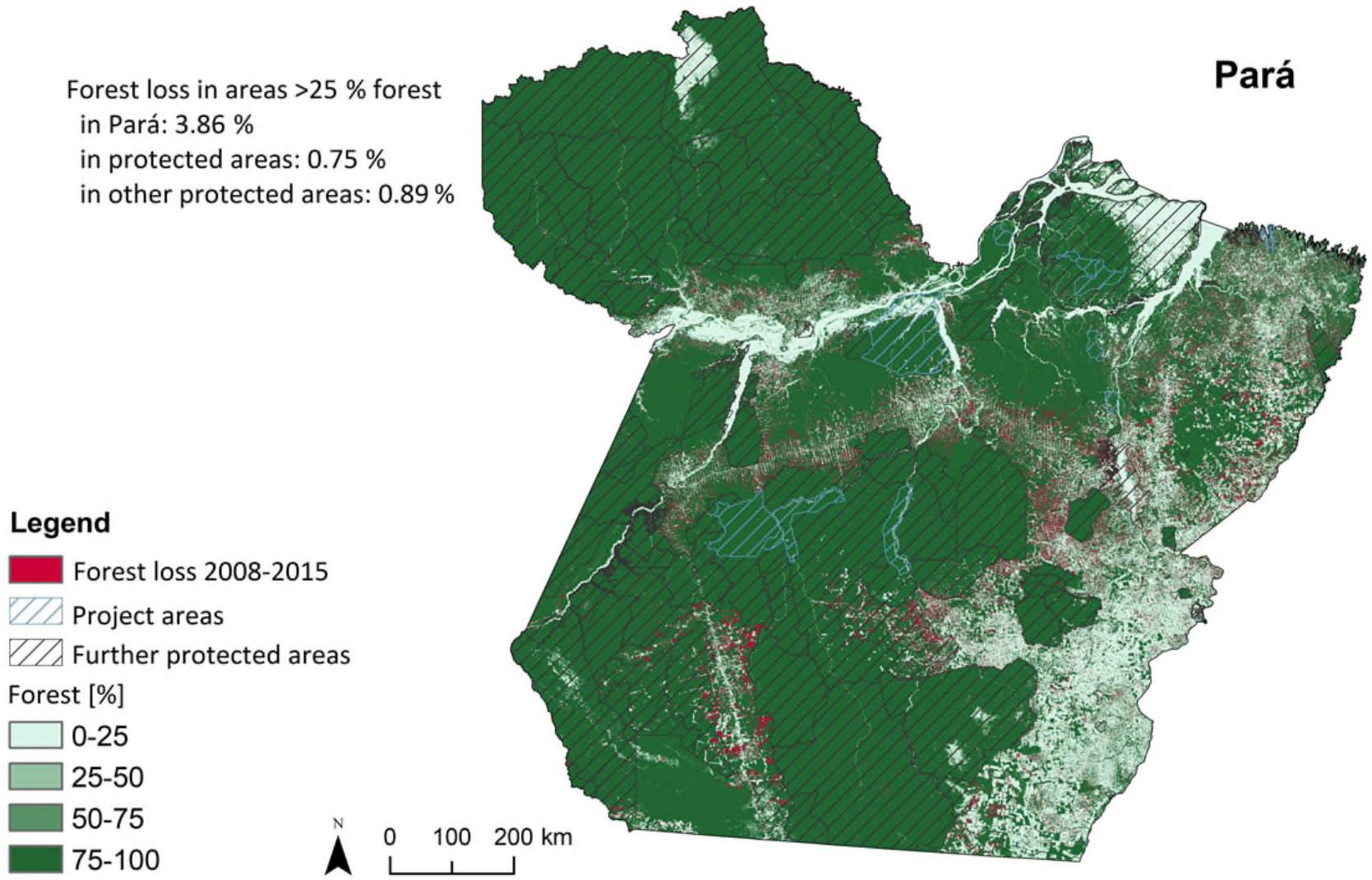

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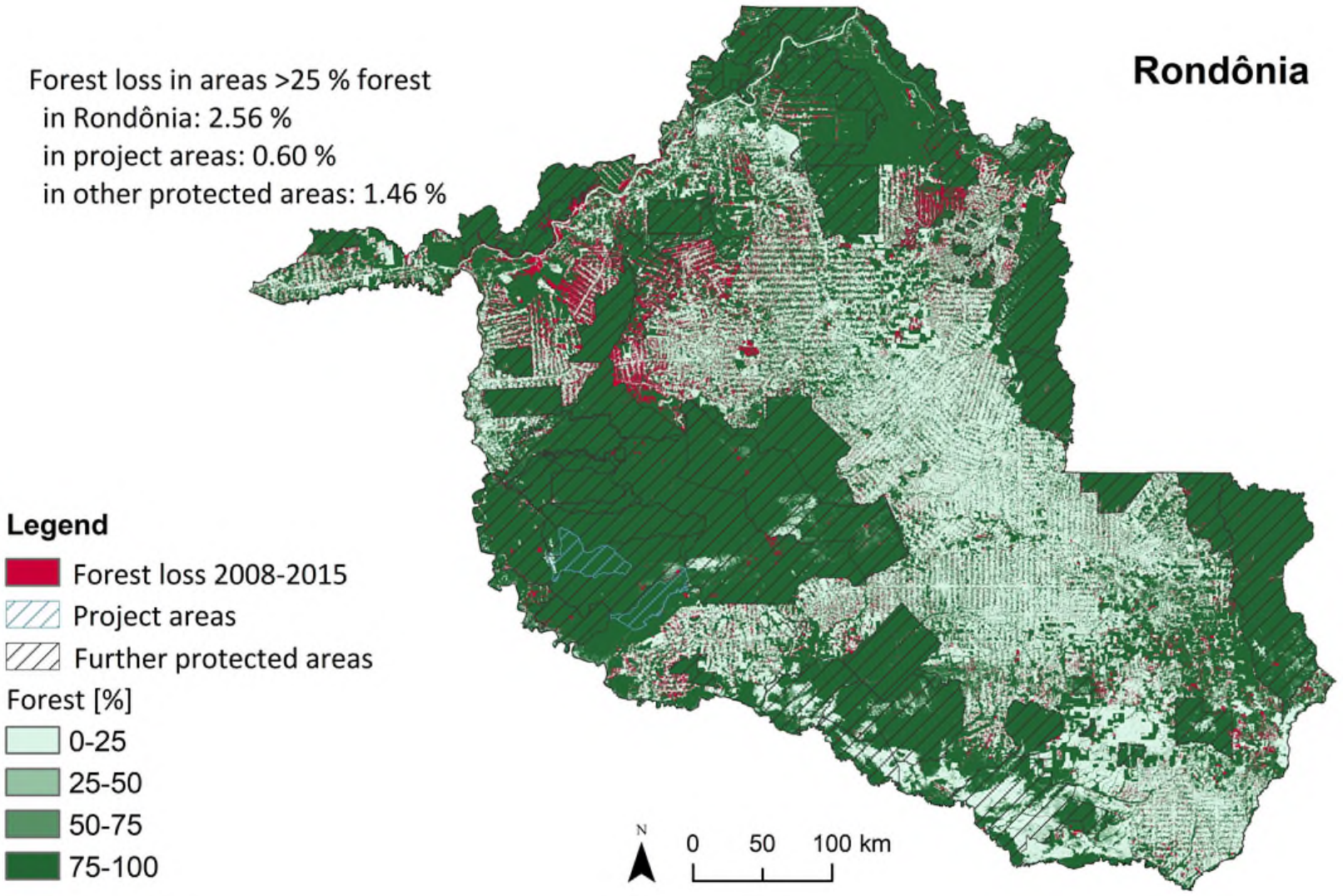

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Notes on the methods used to evaluate project success (project rating)

Projects (and programmes) are evaluated on a six-point scale, the criteria being **relevance, effectiveness, efficiency, overarching developmental impact, coherence, complementarity and coordination rating and project management.** The ratings are also used to arrive at a **final assessment** of a project's overall developmental efficacy. The scale is as follows:

Level 1	Very good result that clearly exceeds expectations
Level 2	Good result, fully in line with expectations and without any significant shortcomings
Level 3	Satisfactory result – project falls short of expectations but the positive results dominate
Level 4	Unsatisfactory result – significantly below expectations, with negative results dominating despite discernible positive results
Level 5	Clearly inadequate result – despite some positive partial results, the negative results clearly dominate
Level 6	The project has no impact or the situation has actually deteriorated

Rating levels 1-3 denote a positive assessment or successful project while rating levels 4-6 denote a negative assessment.

Sustainability is evaluated according to the following four-point scale:

Sustainability level 1 (very good sustainability): The developmental impact of the project (positive to date) is very likely to continue undiminished or even increase.

Sustainability level 2 (good sustainability): The developmental impact of the project (positive to date) is very likely to decline only minimally but remain positive overall. (This is what can normally be expected).

Sustainability level 3 (satisfactory sustainability): The developmental impact of the project (positive to date) is very likely to decline significantly but remain positive overall. This rating is also assigned if the sustainability of a project is considered inadequate up to the time of the ex post evaluation but is very likely to evolve positively so that the project will ultimately achieve positive developmental efficacy.

Sustainability level 4 (inadequate sustainability): The developmental impact of the project is inadequate up to the time of the ex post evaluation and is very unlikely to improve. This rating is also assigned if the sustainability that has been positively evaluated to date is very likely to deteriorate severely and no longer meet the level 3 criteria.

The **overall rating** on the six-point scale is compiled from a weighting of all seven individual criteria as appropriate to the project in question. Rating levels 1-3 of the overall rating denote a "successful" project while rating levels 4-6 denote an "unsuccessful" project. It should be noted that a project can generally be considered developmentally "successful" only if the achievement of the project objective ("effectiveness"), the impact on the overall objective ("overarching developmental impact") and the sustainability are rated at least "satisfactory" (level 3).