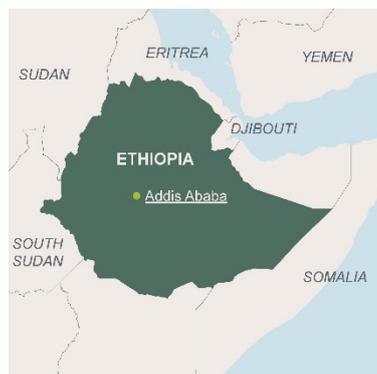


Ex post evaluation

Support for South Sudanese refugees in Ethiopia



| | | | |
|---|--|------------------------------|------|
| Title | Support for Refugees and Host Communities in Ethiopia | | |
| Sector and CRS code | 72010 (material relief assistance and services) | | |
| Project number | BMZ-No.2014 40 726 | | |
| Commissioned by | German Federal Ministry for Economic Cooperation and Development (BMZ) | | |
| Recipient/implementing | UNICEF | | |
| Project volume/ financing instrument | EUR 5.0 million, FC grant | | |
| Project duration | January 2015 to December 2015 (Phase I) | | |
| Year of report | 2020 | Year of random sample | 2019 |

Objectives and project outline

The *objective at outcome level* was to provide improved access to basic services for South Sudanese refugees and host communities in Gambella, Ethiopia. The *objective at impact level* was to improve living conditions for the target group, stabilise the situation in Gambella and lay the initial foundations for sustainable development. The components within the project were water supply and sanitation, health and food security, and education and child protection. The project was implemented together with UNICEF and was closely coordinated with the Ethiopian government and the relevant line ministries.

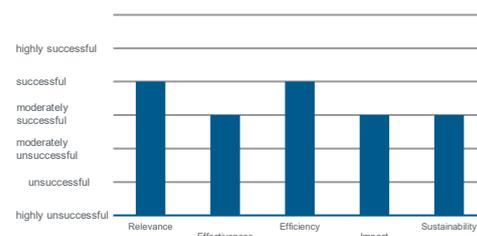
Key findings

During Phase I, the emergency assistance project in a fragile region laid the foundations for a sustainable water supply – and already had an impact in this regard at the implementing organisation (UNICEF). The development effectiveness of the health and education components is at risk in terms of sustainability due to underfunding. The project has been rated as moderately successful for the following reasons:

- Clear identification of relevance based on the developmental challenge of the emergency situation with numbers of refugees increasing every day and the overburdening of the host communities
- The foundations were laid for a long-term water supply system by installing 13 kilometres of pipeline delivering water from the river to the camps and host communities (efficiency)
- Extensive health, nutrition and education measures were sufficient for a limited emergency aid programme, but are not sustainable due to underfunding
- Local construction firms' ability to complete demanding construction measures and the availability of construction materials were underestimated

Important finding: a long-lasting water supply system can help to deliver considerable savings over the long term (initial estimates for 1 cubic metre of water: USD 9 when transported by HGV versus USD 0.50 when conveyed by water supply system).

Overall rating:
moderately successful



Conclusions

- It was possible to quickly deliver effective results in emergency situation thanks to cooperation between KfW and UNICEF
- KfW's technical expertise added to UNICEF's own specialist knowledge (learning effects during planning and implementation)
- Long-term goal for specialised organisations: protection for unaccompanied children/forced child soldiers
- Education for refugees important – often nucleus for development initiatives in region of origin
- Focus on structural sustainability of infrastructure – the successful establishment of a local water authority is an approach that can also be extended to other regions in Ethiopia

Rating according to DAC criteria

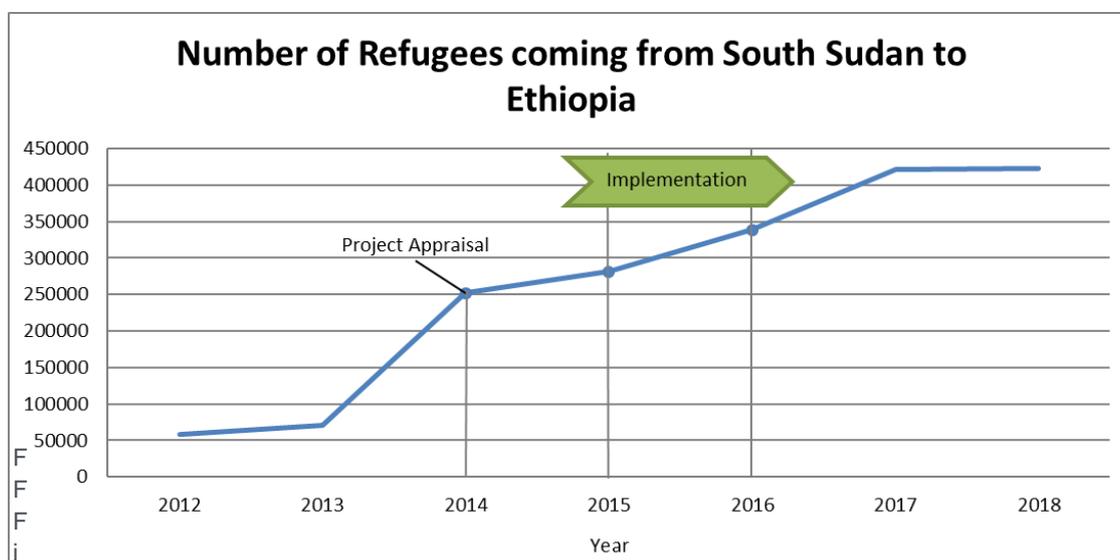
Overall rating: 3

Ratings:

| | |
|----------------|---|
| Relevance | 2 |
| Effectiveness | 3 |
| Efficiency | 2 |
| Impact | 3 |
| Sustainability | 3 |

General conditions and classification of the project

After South Sudan gained independence in June 2011, heavy fighting erupted in December 2013 between the followers of President Salva Kiir and those of his vice-president, Riek Machar, who belong to different ethnic groups. Ceasefires were agreed but not respected. At the time of the project appraisal in 2014, the political conflict had resulted in more than 1.3 million people being internally displaced, 4 million of the 11.3 million people living in the country facing an acute risk of starvation, and more than 400,000 people fleeing to neighbouring countries (with 190,000 seeking refuge in Ethiopia alone). By the end of 2014, this was expected to increase to as many as 300,000 people in Ethiopia. At that time, Ethiopia was the country with the largest refugee population in Africa, hosting 630,000 refugees from South Sudan, Eritrea, Somalia and Kenya. South Sudanese refugees, who belonged to the Nuer ethnic group, primarily fled to Gambella, an Ethiopian region with 307,000 inhabitants and one of the four poorest regions in the country. In comparison with other Ethiopian regional states, the supply of basic services in Gambella was poor.



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Figure 1: Refugees from South Sudan in Ethiopia (source: UNHCR).

Breakdown of total costs

The ex post evaluation focuses on phase I of the project, which is currently in phase III. The specific project under Financial Cooperation receives funding from the special initiative "tackling the root causes of displacement, reintegrating refugees". The Ethiopian government and UNICEF did not provide counterpart contributions towards the project measures that had been decided upon.

| | | Phase I (Planned) | Phase I (Actual) | Phase II (Planned) | Phase II (Actual) | Phase III (Planned) | Phase III (Actual) |
|---------------------------|-------------|----------------------|---------------------|-----------------------|----------------------|------------------------|-----------------------|
| Investment costs | EUR million | 5.0 | 5.0 | 6.5 | 6.5 | 10.0 | —/— |
| Counterpart contribution | EUR million | 0 | 0 | 0 | 0 | 0 | —/— |
| Funding | EUR million | 5.0 | 5.0 | 6.5 | 6.5 | 10.0 | —/— |
| of which BMZ budget funds | EUR million | 5.0 | 5.0 | 6.5 | 6.5 | 10.0 | —/— |

Note on phase III: A portion of the funds for phase III (EUR 1,364,000) is intended to support the location in Benishangul-Gumuz (Gure-Shembola Camp), which will also receive funding from the special initiative „tackling the root causes of displacement, reintegrating refugees“.

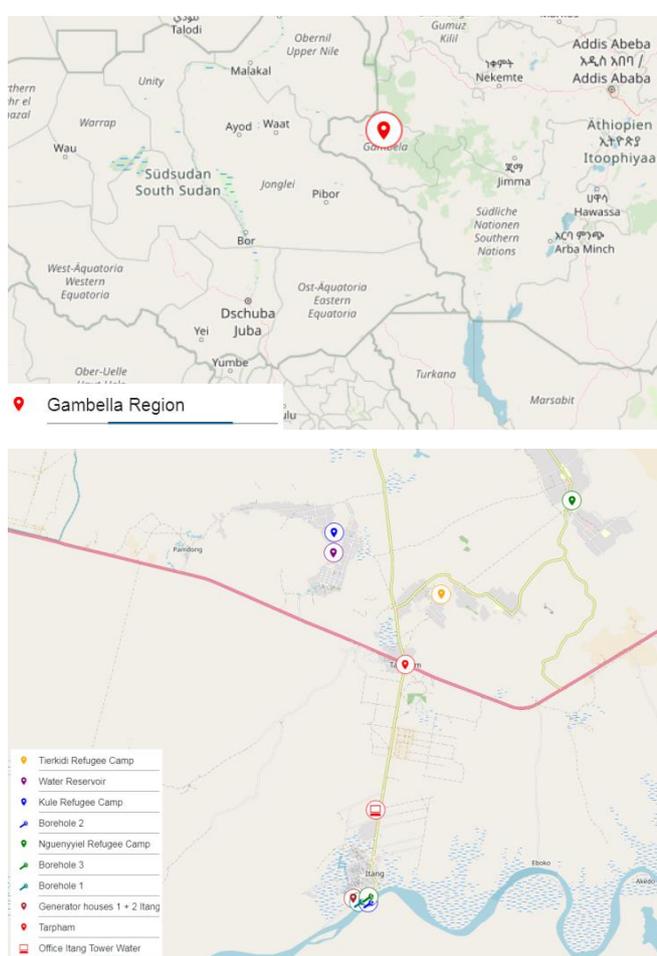


Figure 2: Project region and project locations

Relevance

During the project appraisal in 2014, the developmental challenges of an emergency situation were clearly identified in terms of urgency, developmental relevance, the target groups' need, and the risks to security and the peaceful coexistence of host communities and refugees. The capacity of the local government bodies in Gambella was weaker than in other parts of Ethiopia. Some of the refugees remained in emergency shelters at the border crossings. The risk of outbreaks of waterborne diseases such as diarrhea

and cholera were high due to the sanitary conditions in the camps and emergency shelters. The water supply and availability of latrines was inadequate. Levels of hygiene consciousness were low among the refugees and local residents. The refugees were completely dependent on external assistance. Opportunities to earn income were few and far between. In addition, many refugees were undernourished or malnourished. More than half of the refugees were school-age children whose education was interrupted – including traumatized, forcibly recruited child soldiers. The student-to-teacher ratio was 200:1 at makeshift schools in the refugee camps, and there were unaccompanied children as well as children who were separated from their parents while fleeing. Ex post, the phase I measures – which included three different components (WASH, health/sustenance and education/child protection) – still appear to have been a useful means of addressing the major problems of growing refugee influxes and increasing numbers of host communities. There is still demand for all three components.

| Annual refugee numbers and percentage changes in Kule and Tierkidi | | | | | | Diarrhoeal disease cases (incidence of waterborne diseases) | | |
|--|--------|----------|---------------------------|---------------|------------|---|---------------|------------|
| Year | Kule | Tierkidi | Combined: Kule & Tierkidi | Annual Change | Change (%) | Total | Annual Change | Change (%) |
| 2014 | 49,306 | 45,462 | 94,768 | – | – | 8,122 | – | – |
| 2015 | 46,859 | 50,883 | 97,742 | 2,974 | 3.14 | 9,530 | 1,408 | 17.33 |
| 2016 | 48,996 | 54,144 | 103,139 | 5,397 | 5.52 | 16,165 | 6,635 | 69.62 |
| 2017 | 53,342 | 71,093 | 124,435 | 21,296 | 20.65 | 16,933 | 768 | 4.75 |
| 2018 | 55,000 | 72,722 | 127,722 | 3,287 | 2.64 | 13,086 | -3,847 | -22.72 |
| 2019 | 43,540 | 62,055 | 105,595 | -22,128 | -17.32 | 19,553 | 6,467 | 49.41 |
| Average | 49,507 | 59,393 | 108,900 | 2,165 | 2.92 | 13,898 | 2,286 | 23.68 |

Sources for refugee numbers: UNHCR and Reliefweb. To determine the annual figures for the subsequent years, an average value was calculated from data provided in several monthly UNHCR reports: 2014 (Tierkidi: [July, August, October](#); Kule: [July, August, October](#)), 2015 (Tierkidi: [March, May, July](#); Kule: [January, March, May, July, August](#)) 2016 (Tierkidi: [May, June](#); Kule: [May, June](#)) and 2019 (Tierkidi: [September, October, November, December](#); Kule: [September, October, November, December](#)). Only one figure was released for Tierkidi in a single report (Camp Profile) in [2017](#) and [2018](#), respectively. A report was created for Kule in [2017](#), although there is no report available for 2018. The figure for 2018 was therefore estimated based on the number provided in a [press release](#) from early 2019. Source for diarrhoeal disease case numbers: MSF Holland, Department for Epidemiological Statistics in Gambella, March 2020

The financing for water supply and sanitation makes sure that the target groups' vital need for water is met and prevents waterborne diseases. The health care and food security measures ensure stable health for mothers and children in particular, as well as preventing the spread of infectious diseases and curing acute malnutrition. Education, child protection, and training and continuing professional development for teachers in refugee camps could have a sustainable long-term impact on refugee communities, especially once refugees return to their homes. These are then often the key foundation for development initiatives in their region of origin. The objective at impact level was to improve the target groups' living conditions and stabilize the situation in Gambella. The health and education measures and financing for water supply and sanitation had the potential to improve the target group's living conditions. The approach of working in both refugee camps and host communities had the potential to prevent possible conflicts. Overall, this meant that the measures were targeted with the aim of stabilizing the refugee situation in Gambella. The project was intended to play a direct role in Millennium Development Goals 1 (poverty and hunger), 2 (primary education) and 6 (combating disease), which correspond to the current Sustainable Development Goals 1, 2, 4 and 6, as well as the basic principle of leaving no-one behind. It is worth noting that this is a

12-month programme with the potential, if necessary, to lay foundations and assess initial trends in terms of impact.

It was possible to quickly deliver effective results in this emergency situation thanks to the cooperation with UNICEF. At the end of 2014, the German FC project represented a seamless continuation of support measures essential to refugees' survival that had previously been part-funded by the UK's Department for International Development (DFID). UNICEF had an official agreement with the Ethiopian government regarding health, women and children. This enables UNICEF to cooperate directly with the communities through its regional structure (regional offices), which is not possible for UNHCR under its mandate (providing humanitarian aid for refugees). UNICEF works closely with the Ethiopian Agency for Refugee and Returnee Affairs (ARRA) and UNHCR.

The project took the strategy adopted for the Federal Ministry for Economic Cooperation and Development's (BMZ) special initiative „tackling the root causes of displacement, reintegrating refugees“ into account. UNHCR and UNICEF are the main international organizations playing an active role in supporting refugees in Gambella, Ethiopia. The relevance therefore fully met expectations for an emergency situation and is rated as good.

Relevance rating: 2

Effectiveness

The FC project's objective at outcome level was to provide improved access to basic services for South Sudanese refugees and host communities in Gambella, Ethiopia. At the output level, the measures for Outcome 1 (WASH) included water supply, sanitation, hygiene awareness and waste management. Outcome 2 (health/sustenance) measures encompassed equipment for health services, procurement and needs-based distribution of drugs, training, food security through nutritional intervention, support with identifying severe malnutrition, and treatment. Outcome 3 (education and child protection) measures spanned access to primary education and child protection services, including infrastructure measures such as semi-permanent school buildings, child-friendly spaces in which to play and deal with trauma, as well as training. Child protection is important in refugee communities with high numbers of unaccompanied children, children separated from their parents and traumatized, forcibly recruited child soldiers. A series of measures to this effect were implemented at the output level during phase I. In addition, a series of construction measures were also undertaken at the output level, both in the refugee camps and the host communities.

Target achievement at the outcome level is summarized in the table below.

As far as methodology is concerned, it is worth noting that the indicators for outcomes 1 and 2 fall between outcome and impact level. They were consistently employed in this manner by UNICEF and KfW and will therefore be used at outcome level in this evaluation as well:

| Indicator | Status PA, target PA | Ex post evaluation |
|--|--------------------------------------|---|
| Outcome 1 – water, sanitation and hygiene (WASH): No significant outbreak of waterborne diseases in camps and communities (spreading beyond individual cases) | Baseline value: 0 Target value: 0 | Target achievement unclear: Diarrhoeal disease infections in the camps increased by 17.33 %, 69.62 % and 4.75 % in 2015–17, then fell by 22.72 % in 2018; statistics are unavailable for the host communities. Different data collected by UNICEF and Médecins Sans Frontières (MSF). High open defecation rate in both camps and host communities; use of latrines requires behavioural change and understanding of sanitation facilities. Despite |

| | | |
|--|--|---|
| | | a clean drinking water supply, this may have still resulted in the diarrhoeal disease rate increasing. The indicator for a 6- to 12-month-long programme was overly optimistic in a socio-cultural environment involving additional influxes of refugees. |
| <p>Outcome 2 – health and sustenance: No increase in the mortality rate for children under five.</p> | <p>Baseline value: <5/10,000/day Target value: <5/10,000/day</p> | <p>Achieved, according to the information obtained. Studies conducted by UNICEF and UNHCR showed that the mortality rate of <5-year-olds was 0.28 in Itang Woreda and 0.54 in Kule Refugee Camp. The experts agree with UNICEF’s assessment that the figures remained within an acceptable range.</p> |
| <p>Outcome 3 – education and child protection: 1. Increase in school enrolment rate</p> | <p>Baseline value: 28 % (24,991) Target value: 60 % (45,000)</p> | <p>Almost achieved (57 %) due to increasing refugee numbers. This indicator underestimated the dynamic trend in refugee numbers. The total school enrolment rate for South Sudanese refugee children between the ages of 3 and 18 was 45 %, while the same figure was 58 % for Kule Camp. The enrolment rate for 7- to 14-year-olds was 67 %.</p> |
| <p>2. Increased participation in psychosocial programmes by children requiring psychosocial support</p> | <p>Baseline value: 0 Target value: 2,000</p> | <p>Presumably achieved. According to the information obtained, the benchmarks for indicators 2–5 were achieved with minor upward and downward variation. Additional facts:</p> |
| <p>3. Increased number of children between the ages of 7 and 14 attending Year 1–4 classes at school and going to schools that meet the minimum schooling standard</p> | <p>Baseline value: 15 % Target value: 40 %</p> | <p>37,900 lower and upper primary school-children in Kule, Tierkidi and Pugnido have benefited from the training received by their teachers.</p> |
| <p>4. Increased number of children in Years 5–8 that have access to schools meeting the standard quality level</p> | <p>Baseline value: 0 % Target value: 30 %</p> | <p>105 host community teachers (8 of whom were women) underwent training.</p> |
| <p>5. Increased number of schools providing education under improved conditions</p> | <p>Baseline value: 0 % Target value: 24 %</p> | <p>10,500 children from host communities benefited indirectly from this training.</p> |

UNICEF does not comprehensively collect basic data for short-term measures, meaning that only certain target values can be measured. Basic data are collected in the host communities at the start of the measures.

There are differing views on how to evaluate WASH target achievement. Epidemiological statistics from MSF show that the diarrhoeal disease rate rose by 17.33 % from 2014 to the end of 2015, followed by further increases of 69.62 % and 4.75 % in 2016 and 2017, respectively, and a 22.72 % drop in 2018.

Meanwhile, UNICEF and the final follow-up stated that the target had been achieved (no significant outbreak of waterborne diseases). As far as the MSF data is concerned, it should be noted that affected refugees from Nguenyiel Refugee Camp may be included in the statistics from when the facility was set up in October 2016. One of the factors responsible for the falling numbers in 2018 was a reduction in the number of visits made to the health stations due to conflict. The experts have proposed that the trend could plausibly be explained by the high open defecation rate in both host and refugee communities, as well as a lack of hygiene awareness.

At the start of phase I, there were only water sources for the communities from which the water had to be obtained. By the end of phase I, the water pipelines had reached the communities. Water no longer needed to be transported by heavy-goods vehicles from the river to the communities and refugee camps. According to UNICEF, water is now only transported by donkey-drawn carts for the purpose of washing clothes and dishes. As a result, the host communities will benefit most from this measure in the long run. The decisions on water-related activities in phase I were mutually agreed by UNICEF/UNHCR, the host communities and the Ethiopian refugee agency (ARRA).

Despite impressive and extensive measures being undertaken at the output level within 12 months, the indicators and measurements for the outcome target level only show a satisfactory result. This falls below expectations in some respects, albeit with predominantly positive results for a large number of people (refugees as well as locals). Some 150,000 people were reached in the camps and host communities.

Effectiveness rating: 3

Efficiency

There was no major deviation from the planned investment costs during project implementation. There were only minor changes in the allocation of total costs to different components due to needs-based adjustments. There were delays to the construction measures, caused in part by sometimes inadequate building materials and the limited skill levels of local construction companies. Insufficient planning due to the short time horizon for design and lack of construction supervision also contributed to these delays. Yet overall, the quality of the construction measures largely met the minimum standards applicable for the specific context. The delays to construction measures were absorbed during phase I. Overall, the project was extended from an initial 6 months to 12 months.

The installation of 13 kilometres of water pipeline from the Baro River, along with distribution infrastructure, has laid the foundations for the establishment of a sustainable water supply system, which will help to provide significant long-term cost reduction potential in the water supply system. Initial estimates for the cost of 1 cubic metre of water transported by HGV came to more than USD 9. However, a water supply system would reduce this to USD 0.50 in the long term. The system reduced operating costs by over 90 %. Supplying water to more than 100,000 people with the funds provided is a successful achievement from an efficiency standpoint.

UNICEF Ethiopia's administrative costs (overhead) were 9 % (programme management, including monitoring, logistics and personnel), which are rated as appropriate.

Overall, we can assume that the allocation efficiency was good within a very tight time frame.

Efficiency rating: 2

Impact

The objective of the measures at impact level was to improve living conditions for the target groups, stabilize the situation in Gambella and lay the initial foundations for sustainable development.

From a methodological standpoint, the indicators (see Effectiveness section) fall between outcome and impact level. In this evaluation, they have been assigned to the outcome level, although they are used as a benchmark for target achievement at both levels. Assessing the project's effects at impact level in purely qualitative terms, mainly based on conversations with various interviewees, the achievement of the objective at impact level can be summarised as follows:

Stability:

Around 50 % of all the refugees in Ethiopia are housed in Gambella. There were 400,000 refugees in Gambella in February 2020 – a number similar to the region’s resident population. As a consequence, the host communities were under considerable pressure. The Ethiopia Country Refugee Response Plan notes that the number of refugees in the region will remain stable despite informal border crossings and including traditional border crossings in the tribal areas on both sides of the border. The security situation in the region is considered unpredictable and affects refugees, local residents, and humanitarian aid workers. The refugees experience gender-based violence from the host communities. There are also conflicts between the clans in the refugee communities (theft, looting of livestock, rape). Tensions with the local population are usually triggered by individuals and private relationships between two people, which then escalate to clan level. As a result, there is still a need to promote safety in the communities, social cohesion, and peaceful coexistence between refugees and host communities. The natural environment is in a fragile state. The conflicts between the Anuak and Nuer – two of the main ethnic groups in Gambella, which collectively make up 70 % of the population – will shape the future of the region (politics, economy, stability). In 2018 during the Anuak-Nuer conflicts, internally displaced persons were also assisted by four Kebeles (administrative units) in Itang but have since returned to their areas of origin. The Anuak consider themselves native residents of Gambella and regard the Nuer as more recent arrivals. For the most part, the Nuer began to move into Anuak territory in the 1950s. The Nuer mainly fled to Gambella during the civil war between the Southern Sudanese people and the army of the Sudanese government. During the inter-ethnic war in Southern Sudan in 2014, the Nuer influx to Gambella intensified. This expansion has made the Nuer the majority population. Many long-term Nuer residents in Gambella have clan and blood ties with a number of refugees who have arrived from South Sudan since 2014. The project has consistently made a plausible contribution towards stabilising the situation with its approach, which involves measures to simultaneously support refugees and surrounding communities – even if this is difficult to quantify in greater detail and despite limited setbacks in the region that cannot be attributed to the project.

WASH:

Taking into account the fast-moving conditions and rapid-action measures, the clean drinking water supply can be assessed as positive overall, despite falling 23.68 % below target achievement on average between 2014 and 2019 (see Effectiveness section). The risk of transmission of life-threatening diseases in the host communities was high. However, this risk has not materialised. The initial foundations for a sustainable long-term water supply have been laid. Latrines were installed in host communities and refugee camps. In accordance with the National Hygiene and Sanitation Strategy, the measures have been carried out in the host communities so that the community members themselves can implement them. This has not always worked out in practice.

Local private construction companies needed intensive support and monitoring as they were below basic quality standards.

In total, 107,000 people in the refugee camps and 43,000 people in the host communities benefited from the water supply. The numerical discrepancy between the two end user groups can be explained by the urgency of ensuring that needs were met during phase I.

Health:

The local health authority, which is responsible for both refugees and the host communities, stated in 2015 that it has benefited from the measures (vaccination programmes, clinical support with childbirths, distribution of anti-malaria nets). It received little support from the Ethiopian government at the time. A total of 150,000 people in camps and host communities benefited from health interventions. 150 people were trained as health workers. However, it is difficult for the health authority to continue the measures on its own due to a lack of financial resources. There is a high turnover rate among experienced and well-trained staff, who often switch to better paying non-governmental organisations. As a result, the health authority is forced to hire new staff for vacant positions and train them to the same standard.

Education:

Overall, the education system in Gambella is underfunded. The funds provided for education in refugee camps, education in host communities and teacher training were helpful. However, due to a lack of funding, a number of measures cannot be continued or can only be continued to a very limited extent.

A total of 37,000 refugee children and 10,500 children from host communities had access to new and improved school facilities; 500 teachers benefited from receiving training. A total of 8,000 children with additional needs were identified and given psychosocial treatment. Extra measures were provided in host communities to facilitate self-organisation, including support for vulnerable individuals. The impact of education on both children and teachers can only be assessed over a longer period of time and depends strongly on the quality of the educational provision. More detailed data on this and the additional self-organisation measures is unavailable. The needs remain high.

Impact rating: 3

Sustainability

One of the ways to assess the sustainability of a programme in the fragile context of one of the poorest regions in Ethiopia, initially scheduled to run for 6 months (later extended to 12 months), is by evaluating the project's interplay with further measures in subsequent phases. The project was appraised based on Note 47 of the TC/FC guidelines (expedited appraisal) with limited sustainability requirements.

By involving host communities in WASH, the foundations for a sustainable water supply have been laid. The establishment of a local water utility (Itang Water Utility; ITWU) in phases II and III with the help of UNICEF/KfW is intended to strengthen the structures put in place during phase I for the long term. Against this background, phase III is also viewed as an exit strategy. As a result, capacity building is also a key focus of the activities until the end of phase III, which will receive support from an international consultant (Sachsen Wasser). However, there is still a risk in this situation. It is important for managers at the water utility to be appointed based on meritocratic criteria to the greatest extent possible, rather than on the basis of residential location or ethnic background. There are high expectations for the ITWU board, whose members include various government bodies and ARRA, to run the utility professionally. However, further intensive efforts are needed to convince the local government that it must safeguard the sustainability of the water system by using skilled personnel for maintenance and repairs.

The executing agency (UNICEF) also achieved long-term impacts in the area of water supply. Unlike other donors, KfW supported the international organisation. It has stated that this assistance was mainly provided in the areas of technical project planning and implementation as well as contract management. In the long term, this approach could have similarly positive effects on other UNICEF locations. UNICEF, in turn, stresses that work in and with communities and refugees goes beyond simply "engineering". UNICEF's decentralised implementation structures, fast pace of implementation, and strong connections with local authorities in the water, health and education sectors are important requirements for its work.

The installation and use of latrines require longer-term monitoring, including hygiene measures and an understanding that latrines also need to be maintained to ensure that minimum standards of hygiene are upheld.

According to UNICEF, refugee camps and facilities are built in partnership with the communities for a period of 10 years, so it can be assumed that the communities will also benefit from the collaboration.

Overall, we can conclude that KfW's technical expertise and comparative advantage in terms of infrastructure have helped to lay the foundations for sustainable development within the water sector – both in an international organisation such as UNICEF and in the host communities. There has already been evidence for this during the subsequent phases; specifically, with the development of a regional water utility. This utility company is intended to be a long-term role model for other regions of Ethiopia. KfW's comparative advantage in building/expanding infrastructure and its experience in international contract negotiations prompted the BMZ to use KfW financing instead of a direct financing package from UNICEF.

Sustainability in the other two areas (education and health) depends in part on national and international funding, which was not available in a sufficient quantity over the subsequent phases. Vaccination programmes and maternal health have long-term effects but must be monitored over time. Education and child protection help to promote peace and security, both in the refugee camps and the host communities. Returning refugees are often the key foundation for development initiatives in their region of origin. But in terms of this development, children who are unaccompanied, traumatised, unsupervised or were forcibly recruited as child soldiers can be a "ticking time bomb".

Despite these limitations in two areas, we should also take into account phases II and III, which saw progress with basic structures from phase I in at least one area (water infrastructure). Consequently, we currently rate the level of sustainability as satisfactory – even if there are still shortcomings in the development and expansion of the water system.

Sustainability rating: 3

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

Projects are evaluated on a six-point scale, the criteria being **relevance, effectiveness, efficiency** and **overarching developmental impact**. 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 efficacy of the project (positive to date) is very likely to continue undiminished or even increase.

Sustainability level 2 (good sustainability): The developmental efficacy 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 efficacy 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 efficacy 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 five 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).