UNITED NATIONS ENVIRONMENT PROGRAMME

UNITED NATIONS ENVIRONMENT PROGRAMME/ GLOBAL ENVIRONMENT
FACILITY ASSISTANCE TO SELECTED NON-ANNEX I
PARTIES FOR THE PREPARATION OF INITIAL
NATIONAL COMMUNICATIONS

PREPARATION OF THE INITIAL NATIONAL COMMUNICATION FOR THE IMPLEMENTATION OF THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE (UNFCC) IN VIET NAM

UNEP/GEF Subproject GF/2200-97-54

EVALUATION REPORT

Hideyuki Mori

March 2003

Evaluation and Oversight Unit

Contents

Annexes

Acronyms

ALGAS	Asia Least-Cost Greenhouse Gas Abatement Strategy
ASEAN	Association of South East Asian Nations
DGEF	Division of GEF Coordination, UNEP
DPDL	Division of Environmental Policy Development and Law
GEF	Global Environment Facility
ROAP	UNEP Regional Office for Asia and the Pacific
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
VNCCCT	Viet Nam Climate Change Country Team

ACKNOWLEDGEMENTS

I would like to thank Mr. Bui Van Duc, Deputy Director-General of the Hydro-Meteorological Service of Viet Nam and Mr.Tran Duc Hai, Director of ICD, Hydro-Meteorological Service, for having provided the overall picture of the project for this evaluation.

I also would like to express my gratitude to Mr. Tran Thuc, Acting Director, Institute of Meteorology and Hydrology, for his strong support to this evaluation. This evaluation would not have been possible without the support of the concerned staff of the Institute of Meteorology and Hydrology. I would like to convey my special thanks to Mr. Tran Duy Binh, Project Coordinator, and his staff at the project secretariat, Mr. Nguyen Mong Cuong, Mr. Le Nguyen Tuong and Ms. Le Thi Bao Ngoc for having made arrangements for me to hold the many meetings and constructive discussions with all those concerned with the project.

Last but not least, I would like to thank Mr. R. Sharma, Mr. S. Norgbey, and Mr. V. Ogbuneke for having provided their assistance and orientation for the evaluation.

All efforts have been made to make the evaluation as objective as possible. Some subjectivity, however, is inherent in the process of evaluation. The responsibility for unintended adverse observations thus rests with the evaluator.

EXECUTIVE SUMMARY

Introduction

1. The Climate Change Enabling Activities Project of Viet Nam started in April 1999, when the launching workshop was held in Hanoi. For various reasons, project implementation was delayed by about two years. The project is now coming close to the end. A mission was undertaken from 17 to 25 December 2002 to conduct the final evaluation, as required by the United Nations Environment Programme (UNEP) and Global Environment Facility rules. All the necessary arrangements for meetings and interviews were made in collaboration with the Project Coordinator and his staff stationed at the Institute of Meteorology and Hydrology. The overall guidance was provided by UNEP Task Manager for the project and the Evaluation and Oversight Unit.

2. The evaluation of the project was based on the following broad criteria: accomplishments of the project; project management; impact and sustainability; participation and relevance.

Accomplishments of the project

3. The project had nine activities and all the nine activities were completed almost fully. A few minor components of the activities were not implemented. Such components included awareness-raising activities at the community level and addressing the constraints associated with further improvement of national communications.

4. Almost all the outputs identified for each of the nine activities were attained. The few minor outputs not attained include recommendations on research needs for the improvement of emission factors and the current methodologies of the Intergovernmental Panel on Climate Change (IPCC). The outputs not attained did not significantly affect the achievement of the planned project objective and results.

5. The project had two planned results - the harmonization and updating of the findings of previous studies and the scientific and technical capacity-building for Vietnamese research institutions. The project directly involved all the major national research institutions in Viet Nam. This significantly contributed to further strengthening of the capacity of the experts involved in the project. In addition, most of these institutions had already participated in previous climate change studies. Thus, the previous findings were fully utilized in the harmonization and updating of the necessary data and analyses.

6. The objective of the project was to assist Viet Nam to prepare the Initial National Communication to the United Nations Framework Convention Climate Change. The final draft of the Initial National Communication was successfully produced following lengthy coordination with the various ministries and agencies concerned. It is expected that the Government of Viet Nam will soon officially submit the report to the Framework Convention on Climate Change.

Project management

7. The Project Coordinator, supported by the project secretariat, played the key role. The project management team and the national study team were effective in ensuring the technical quality of the report. However, the Viet Nam Climate Change Country Team (VNCCCT), the inter-ministerial committee on climate change, was far less operational than originally expected.

8. With regard to staffing, a dynamic project coordinator was essential to successfully bring the project to completion. Effective technical backstopping and logistical support were provided by the staff of the secretariat and through in-kind contributions from the Institute of Meteorology and Hydrology.

9. Funds were managed in accordance with government rules. The overall spending was within the original budget. The co-finance from the Institute of Meteorology and Hydrology was substantial, probably surpassing the originally expected level. Bookkeeping was meticulous, although there were a few technical problems regarding financial reporting to UNEP, consultancy contracts and reporting of expenditure by subcontractors.

10. With regard to procurement, non-expendable equipment was purchased through the bidding system. Subcontractors and consultants, however, were selected arbitrarily. Although the selection was instrumental in strengthening the technical capacity of the local institutions involved, more transparency and effectiveness could have been realized through limited introduction of the bidding system.

11. The fact that the project management team managed to have at least one ongoing activity throughout the project period was commendable. However, the two-year delay is difficult to justify. The work plan was agreed on at the beginning of the project but was not seriously observed. It was officially revised only once on the request of UNEP. The work plan lacked clear milestones and a detailed timetable.

12. UNEP provided technical comments throughout the project period, mainly through e-mail. Such communication was frequent and made it possible to address detailed technical issues successfully. VNCCCT did not provide any technical guidance to the project management team. The de facto peer review process among subcontractors and consultants was useful in ensuring the quality of the report.

13. With regard to monitoring and evaluation, the extensive reporting envisaged by the project document did not materialize. Progress reports constituted the only reporting maintained throughout the project period. Even these became less substantial and more irregular as the project progressed. There was no monitoring and evaluation system to ensure better supervision of the project.

Impact and sustainability

14. Considerable scientific and technical capacity was generated for the participating research institutions in terms of expertise, computer modeling, data, methodologies, etc.

15. With regard to the integration of the project outputs into long-term planning, key messages of the Initial National Communication were well incorporated into sectoral plans, i.e., for energy, industry, agriculture, forestry, science and technology, etc. Currently, the National Action Plan for the Implementation of the Framework Convention on Climate Change is under preparation. It will fully incorporate all the important findings of the Initial National Communication.

16. With regard to sustainability, the sectoral long-term plans, complemented by the National Action Plan for the Implementation of the Convention, not only maintain the project impacts but may even amplify them in the future if the plans are put into practice. The capacity built through the project appears substantial and continues to be utilized by various climate change-related projects.

Participation

17. The relevant sectoral ministries and research institutes were fully involved in the project. However, the participation of the private sector, civil society groups and community groups was limited. This could be better addressed by future climate change projects aiming at implementing the concerned plans and policies.

18. No specific gender considerations were included. Two female researchers involved in the project, however, are currently making contribution to a household energy efficiency project for Viet Nam, Cambodia and Laos.

19. A few awareness-creation materials, including five video films on climate change, were produced. The impact created, however, was not as extensive as the project document had anticipated. The promotion of public awareness remains a challenge.

Relevance

20. The project was fully owned by the Government of Viet Nam. The strong country ownership of the project may have contributed to full integration of the findings of the Initial National Communication into many long-term plans. The project contributed to discussions at the level of the Association of South-East Asian Nations (ASEAN) on climate change, particularly by setting a good example for Cambodia and Laos. At the national level, the project helped Viet Nam to meet its international commitment under the Convention.

Rating of project implementation

21. Rating of the project was carried out according to the eight criteria provided by the terms of reference for this evaluation, at five levels, i.e. level 1: "Excellent", level 2: "Very Good", level 3: "Good", level 4: "Satisfactory", and level 5: "Unsatisfactory". The project was rated as follows:

(a) Timeliness: "satisfactory";

(b) Achievement of results/objectives: "excellent";

(c) Attainment of outputs: "very good";

(d) Completion of activities: "excellent";

(e) Execution of the project within the budget: "good";

(f) Impact created by the project: "excellent";

(g) Sustainability: "excellent";

(h) Major problems faced and resolved successfully by the project: "good".

22. Taking into account the above ratings, the overall rating of the project was "very good".

Lessons learned

23. The objectives of the project were clearly understood by those involved in the project. This was a key to the success of the project. The Project Coordinator and the staff of the secretariat located at the Institute of Meteorology and Hydrology implemented the project competently. The participation of the stakeholders was limited to the concerned researchers and government officials. Much broader participation involving the private sector and community groups remains a challenge. In fact, public participation could be better addressed by climate change projects in the future to implement climate change-related policies.

24. The selection of subcontractors and consultants was arbitrary. All key issues were discussed by a limited number of experts. More open project management could strengthen the efficiency and effectiveness of future projects.

25. The relationship with UNEP was in part strained by ineffective communication and inconsistent reporting. A much more constructive relationship could have been created through the use of more informal communication.

Recommendations

26. The "Phase II Climate Change Enabling Activities Project aimed at assessing technology needs should be considered positively in view of the success of the project and the encouraging developments regarding environmental issues and climate change in Viet Nam.

27. Participation in regional climate change projects should be further promoted in view of the fact that interaction with other countries in the region has now become more specific and mutually beneficial.

28. The restructuring of the Government in August 2002 created the Ministry of Natural Resources and Environment. The ministry has overall responsibility for climate change. The Hydro-Meteorological Service and the Institute of Meteorology and Hydrology have been transferred to the ministry. UNEP's immediate support to the ministry would be welcome to further strengthen this encouraging institutional development.

29. Project management procedures could be improved with the introduction of a limited bidding system,

sound time management, improved financial management, wider stakeholder participation and better use of monitoring and evaluation.

30. With regard to partnership with UNEP, the latter could further facilitate improved communication with project management teams in various countries through, for example, an Internet forum, participation in the various workshops held in the region and scheduled multi-country missions.

Introduction

A. General information

31. Surface Viet Nam is located in South-East Asia and has common borders with China, Cambodia and Laos. It has a area of 33,000 km² and stretches 1,650 km from north to south, 600 km at its widest and a mere 50 km at its narrowest from east to west. It has more than 1 million km² of surface water, with 3,260 km of coastline and thousands of small islands, located mainly in the Tonkin Gulf. Three quarters of the land is mountainous but the other quarter consists of fertile plains, where the majority of its 76.6 million (as of 1999) people live. Viet Nam is the twelfth most populous country in the world, with a population growth rate of 1.4 per cent. About 20 per cent of the population lives in urban areas and 80 per cent in rural areas.

32. Viet Nam's economy enjoyed a high growth rate during the 1990s. The gross domestic product (GDP) doubled during the period. The average annual GDP growth rate was 8.2 per cent during the first half of the 1990s. Industry accounted for 28.9 per cent of GDP, agriculture and forestry 27.4 per cent and services 23.7 per cent.

33. Total greenhouse gas emissions from Viet Nam in 1994 were estimated at about 104 million tons CO^2 equivalent. 50.5 per cent was from the agriculture sector, 24.7 per cent from the energy sector and 18.7 per cent from the forestry sector.

34. Viet Nam ratified the United Nations Framework Convention on Climate Change (UNFCC) on 16 November 1994. The Hydro-Meteorological Service was designated by the Prime Minister's Office to take full responsibility for climate change issues and for implementing programmes related to the objectives of the Convention. The restructuring of the Government in August 2002 created the Ministry of Natural Resources and Environment. The Hydro-Meteorological Service was transferred to the ministry.

B. Background of the evaluation

35. The evaluation of the" Enabling Activities for the Preparation of Initial National Communications Related to UNFCCC – Viet Nam" project (GF/2200-97-54) was conducted between December 2002 and March 2003. A field mission was undertaken to Hanoi from 17 to 25 December 2002. During the mission, the evaluator held a series of meetings with the officials of the concerned government ministries and research institutions, including the Ministry of Natural Resources and Environment, the Ministry of Science and Technology, the Ministry of Industry, the Ministry of Agriculture and Rural Development, the Ministry of Transport and the Ministry of Education, as well as the institutes of meteorology and hydrology, energy, agriculture, and forestry. The evaluator also met with experts involved in the project from the University of Hanoi and one non-governmental organization, the Viet Nam Union of Scientific and Technical Associations. The list of meetings and main persons met is contained in annex II of the present report.

36. The first UNEP mission was undertaken in August 1997 to develop the project proposal. The project was approved by the GEF in November 1998 and the project document was formally signed by both UNEP and the Government of Viet Nam in March 1999. The project started in April 1999. A logbook of the project is contained in annex III of the present report.

37. The implementing agency of the project was UNEP. The staff in charge of the project was the UNEP Task Manager, Climate Change Enabling Activities, under the Division of Environmental Policy Development and Law (DPDL). He provided the technical backstopping of the project. Financial matters were handled by a financial management officer in the Division of GEF Coordination (DGEF).

38. In Viet Nam, the project was executed by the Institute of Meteorology and Hydrology. Overall guidance was provided by the Hydro-Meteorological Service through VNCCCT. The national study team was organized to conduct detailed studies for the project. Day-to-day activities were managed by the Project Coordinator appointed by the Institute of Meteorology and Hydrology. He was supported by the project management team headed by the Director of the Institute of Meteorology and Hydrology.

39. The terms of reference for the evaluation are attached to the present report as annex 1. The success of project implementation was rated according to the eight criteria specified by the terms of reference. Rating was made on a scale of 1 to 5, 1 being the highest and 5 the lowest.

I. EVALUATION

A. Accomplishments of the project

40. The objective of the project is to "fulfill its (Viet Nam's) commitments and obligations as required by Article 4.1 and 12.1 of the Framework Convention on Climate Change, especially the preparation and the reporting of its Initial National Communication as required by Article 12.1 (a), (b) and (c) of the Convention based on the recommended Second Conference of the Parties guidelines and format for non-Annex 1 Parties". In short, the objective of the project is to assist Viet Nam in preparing its Initial National Communication. It appears that two results (outcomes) are expected from the project, although they are referred to as main objectives in the original project document. They are "to enable the country to harmonize and update the previous results (and) fill in gaps", and "to further enhance its scientific and technical capacity". These two results should be understood in the context of the objective of the project. Although implicit, the first planned result is of a rather short-term nature. It addresses the efficiency of the project by drawing fully on what has already been done. The second expected result addresses the long-term impacts, i.e. capacity-building.

41. The project had nine activities. Each activity was expected to attain outputs. The project document identified a number of outputs for each of the nine activities. These outputs were expected to collectively contribute to the attainment of the results and the objective of the project.

42. In this section, the evaluator will first examine the extent to which the project has completed its planned activities and attained the original outputs. This examination will be detailed for each of the nine concerned activities. Then, on the basis of the assessment of the completion of activities and the attainment of outputs, the evaluator will further determine if the project has achieved the original objective and results. Lastly, the report will assess the cost-effectiveness of the project.

1. Completion of activities and attainment of outputs

(a) Activity 1: Establishment of the project management team and the national study team

43. The project management team was established in April 1999 soon after the project started. The Director of the Institute of Meteorology and Hydrology was appointed as the manager of the project management team. The Project Coordinator, the only full-time staff supported by the project, was also appointed in April. Heading the project secretariat set up within the Institute of Meteorology and Hydrology, the Project Coordinator managed the day-to-day operations of the project. A room inside the Institute of Meteorology and Hydrology headquarters' building was made available in April 1999 to house the project secretariat. Other key staff of the secretariat, most of them part of the in-kind contribution of the Institute of Meteorology and Hydrology, were also recruited in April.

44. VNCCCT held a meeting on 14 April 1999 and discussed the work plan and project implementation. This was followed by the project launching workshop held on 21-22 April 1999 in Hanoi. Eighty-four participants, including the UNEP Task Manger, attended the workshop. This workshop marked the start of the project.

45. In July 1999, the national study team, composed of the four working groups, was set up. The four groups were the Greenhouse Gas Inventory Group, the Mitigation Options Group, the Vulnerability/Impacts Assessment and Adaptation Group and the National Communication Group. The team consisted of thirty national experts from the relevant ministries and research institutes. The sectors covered by those experts were the economy, energy, industry, transport, agriculture, land-use change and forestry.

46. The institutional set-up of the project was, thus, completed within four months from project start-up. This was in line with the original schedule, which covered eighteen months. Indeed, project implementation was fast at the beginning as proposed in the original plan. Given the substantial coordination work involved in getting other ministries and institutions on board, the establishment of the project's institutional structure was as smooth as originally envisaged. All elements under activity 1 were completed on schedule.

47. According to the project document, the major output of activity 1 was the establishment of the project management team and the national study team. Since these two project implementation bodies were established during the first few months of the project as planned, the output of activity 1 was fully attained.

(b) Activity 2: The Greenhouse Gas Inventory

48. This activity mostly took place in 1999. Out of the seventy-five technical reports prepared under the project, twenty-two are related to the Greenhouse Gas Inventory. All the twenty-two sector-specific reports were prepared in 1999. Emphasis was placed on the agriculture and forestry sectors on each of which four technical studies were conducted, followed by the energy and industrial sectors. On 6 December 1999, the workshop on the Greenhouse Gas Inventory was convened. Six presentations were made and fifty-one persons attended. This was in line with the original time frame indicated in the project document.

49. The final version of the Greenhouse Gas Inventory, however, was not prepared for some time. It was not until December 2000 that a draft of chapter 2 of the Initial National Communication, i.e., the National Greenhouse Gas Inventory, was prepared on the basis of the detailed technical work completed by the end of 1999.

50. The existing data were carefully examined by the local experts involved, data gaps were identified and filled as far as possible by adopting appropriate emission factors and statistical data. The updated 1996 IPCC guidelines were used extensively. Although there were a few heated arguments regarding different data and emission factors, particularly related to energy and forestry, intensive discussions amongst those concerned resolved these differences successfully.

51. The smooth implementation of this component could be, at least in part, attributed to previous related work, such as the Asia Least-Cost Greenhouse Abatement Strategy (ALGAS) project. Most of the experts involved in the project had been involved in previous climate change projects and the future greenhouse gas emission projection by major sectors in Viet Nam was fully drawn upon from the ALGAS study. In this sense, the expertise accumulated in the past was properly utilized by the project. All the necessary studies under this activity were completed successfully by the end of 1999 as originally planned.

52. Although the original project document listed many detailed technical items as outputs, the most important output of this activity was the Greenhouse Gas Inventory for Viet Nam based on 1994. This was successfully completed and properly incorporated into the draft Initial National Communication. Harmonization and the filling of gaps was a major feature of this activity. In the forestry and energy sectors, intensive discussions were held to harmonize various data sets and emission factors. In some cases, emission factors in India and Thailand were utilized. The emission factor from rice fields was obtained from an experiment conducted under the Asian Development Bank (ADB) Methane Asia Campaign - 1998-1999. In addition, an experiment was conducted under the project to measure the methane emissions from rice fields in the southern part of the country where no organic fertilizers are applied. Furthermore, a database that includes socio-economic, sectoral, geographical, meteorological and environmental data was established in 1999 at the Institute of Meteorology and Hydrology for developing present and future national greenhouse gas inventories and other studies relating to climate change in Viet Nam. The period covered by that database varies from sector to sector, ranging from the past thirty to 100 years. This database was updated in 2000.

53. Out of the seven major outputs proposed in the project document, the following were not explicitly addressed by the project: a description of any original research needed to develop and to apply new emission factors for specific activities: and recommendations on areas of targeted research to improve future inventories and to suggest revisions to the existing IPCC greenhouse gas inventory methodology. These are important items for the improvement of the inventory in the future. Thus, it is likely that these points were, in fact, addressed in the process of the detailed technical studies, although they were not formally presented as outputs of this activity.

54. It can therefore be concluded that this activity successfully delivered outputs addressing current needs but did not explicitly meet the needs for future improvements of the Greenhouse Gas Inventory.

(c) Activity 3: Programmes to address climate change and its adverse impacts, including abatement and sink enhancement

55. Ten technical reports were prepared under this activity. Besides the cross-sectoral technical reports, three reports were on the energy sector and two each on the forestry and the agriculture sectors. Mitigation options of minor sectors such as waste management were not examined.

56. Two workshops were organized, one on 8 September 1999 and the other on 6 June 2000. The first workshop was on the identification of greenhouse gas mitigation options in Viet Nam and was attended by forty-nine experts. Since no technical papers had been completed by the time the first workshop was held, the workshop was considered the inception meeting for this activity. In fact, all of the subcontracts were concluded at the time of or immediately after the first workshop. On 25 January 2000, an expert meeting was held to review all the data used for developing mitigation options in three major sectors. During this period, two consultants were hired to provide advice on the forestry and agriculture sectors. The second workshop was entitled "Results of activity 3 of the project: Mitigation Options". All technical papers concerning the mitigation options had been prepared by the time the second workshop was held on 6 June 2000. From this brief summary, it is apparent that activity 3 was basically conducted following the completion of activity 2.

57. The project document singled out the need for training to utilize a few computer models to analyze mitigation options. Computer models such as MEDEE-S, EFOM-ENV and COMAP were extensively applied in the energy and forestry sectors. Useful information and lessons were drawn from the ALGAS project. All the activities envisaged by the original project paper were completed.

58. The original project paper listed four outputs for activity 3, i.e., identification and assessment of mitigation options, recommendations for reducing the number and intensity of emissions from various sources and the enhancement of sinks, preparation of the first national mitigation strategy for the Initial National Communication and the workshop report. These four outputs were fully achieved. Overall, eighteen mitigation options were identified and for each option the greenhouse gas mitigation potential was estimated. The findings of the analysis were appropriately incorporated into the draft Initial National Communication. A report was prepared for the second workshop.

(d) Activity 4: Policy options for monitoring systems and response strategies for impacts and activity 5: Policy framework for implementing adaptation measures and response strategies

59. Activity 4 was intended to deal with vulnerability and impact assessment while activity 5 covered adaptation measures and response strategies. These two activities, however, were closely related and were, therefore, implemented together as vulnerability and adaptation assessment. This was also reflected in the draft Initial National Communication. The Initial National Communication dedicates only one section to vulnerability and adaptation, i.e. chapter 4, "Climate Change Impacts and Adaptation Measures".

60. Although a small number of activities started in October 1999, the actual launch of vulnerability and adaptation assessment was July 2000. On 22 July 2000, a meeting was held among the members of the national study team to discuss how to conduct vulnerability and adaptation assessments. This was one month after the concluding workshop on activity 3 had been held. This indicates that activities 4 and 5 actually started after activity 3 had been completed.

61. Assessments were carried out for the following sectors: agriculture; forestry; the coastal zone; water resources; transport; energy; and public health. In addition, climate change scenarios were carefully analyzed since the scenarios lay the foundation for vulnerability and adaptation assessments. Overall, eleven subcontracts were concluded. Technical reports on each sector were prepared during the period November 2000 - May 2001. Subsequently, five consultants were hired to verify the data collected, review the findings of previous research, provide technical advice and prepare the outline of the study. The workshop on vulnerability and adaptation assessment in Viet Nam was held on 29 March 2001.

62. The technical studies conducted under the two activities filled in the gaps identified by the project document. Climate change impacts on medium and small rivers were examined and its impacts on typhoons were also analyzed. Various adaptation measures were identified in each of the seven sectors. In addition to the vulnerability and adaptation assessments, a small study was conducted on the climate observation and monitoring system in Viet Nam. The findings of that study were incorporated into the draft Initial National Communication as chapter 5.

63. Although the project document envisaged the organization of one workshop for each of activities 4 and 5, only one combined workshop was held. Otherwise, all activities envisaged under activities 4 and 5 were completed.

64. All major outputs for activities 4 and 5 were attained. Baseline data for vulnerability assessment were developed using the CSIRO average scenario. Detailed vulnerability assessments were made for seven sectors by filling gaps and by drawing upon the findings of previous studies such as the Coastal Zone Vulnerability Assessment funded by the Government of the Netherlands. Although the project document used several different terms for adaptation, i.e., policy frameworks, policy options, response strategies and adaptation options, the draft Initial National Communication uses only one term, adaptation measures. Under this rubric, the draft Initial National Communication has concisely listed various adaptation actions identified by the project. All the major outputs set forth in the project document were attained.

(e) Activity 6: Building capacity to integrate climate change concerns into planning

65. The major messages of the project have been or will be incorporated into the various long-term sectoral policies and plans in Viet Nam as follows:

(a) In the environment sector, the National Action Plan for the Implementation of the Convention is under development and will be finalized in the middle of 2003. This plan, which covers the period between 2003 and 2012, will fully incorporate major messages of the Initial National Communication of Viet Nam;

(b) One of the major programme items of the National Science and Technology Programme (2000-2005) is the sound and rational use of the environment. In addition, the Ministry of Science, Technology and Environment at that time developed the Master Plan on Energy Conservation (1998-2000), which included a number of climate change-related projects such as energy conservation for small and medium enterprises, the efficiency lighting project and demand-side management;

(c) The Master Plan for Industrial Sustainable Development and Environmental Protection (2000-2010) has incorporated the major messages of the Initial National Communication. It contains, inter alia, the promotion of environmental impact assessment, International Organization for Standardization (ISO) 14000 and eco-industrial development;

(d) The Master Plan for Electricity Development (2001-2020) includes the development of solar, wind, biomass and other renewable energy options. The plan also encourages the use of flexible mechanisms under the Kyoto Protocol, i.e. the Clean Development Mechanism;

(e) The National Forest Rehabilitation Programme (2000-2010) incorporated the major findings of the Initial National Communication. It plans to secure 2 million hectares of natural forest regeneration as well as 3 million hectares of reforestation;

(f) In the agriculture sector, the National Agricultural Development Strategy for 2000-2010 has incorporated climate change-related measures. They include water management of rice paddies, biogas generations and coastal area management projects;

(g) In the transport sector, the Master Plan for National Transportation (2000-2020) has a section on the environment in which more stringent environmental standards and the promotion of public transport are proposed.

66. The fact that major climate change messages have been incorporated into the planning of the various sectors is encouraging. Given that most of the sectoral plans were prepared before the development of the draft Initial National Communication, details of how the Initial National Communication was reflected in each sectoral plan vary from one plan to another. This was pointed out by a representative of the Ministry of Industry at the wrap-up meeting of the evaluator's mission to Hanoi. He commented that the delay in the project made it impossible to reflect fully the messages contained in the draft in the five-year plan of the Ministry of Industry. The important point, however, is the fact that overall directions are, notwithstanding, kept consistent among all sectoral plans. This consistency cannot be solely attributed to the project.

67. The truth appears to be that the overall environmental policy development process was progressing parallel to the project. The Environmental Protection Law was enacted as early as 1994. Subsequently, the National Environmental Protection Strategy was developed on the basis of the 1994 environmental law for the period of 2001-2010. It contains many climate change-related measures such as the improvement of energy efficiency, the promotion of clean energy and expanded reforestation. Although the project must have contributed to a certain extent to the incorporation of the climate change agenda into sectoral policies, it is mainly the overall development of environmental policy that has promoted such environmental awareness at the policy level.

(f) Activity 7: Programmes related to sustainable development, research, public awareness, etc.

68. From January 2000 to June 2001, five videotapes were prepared in collaboration with the Viet Nam Central Television for its television programme known as "Science, Environment and Life". They were as follows:

(a) The Framework Convention on Climate Change and the Kyoto Protocol;

(b) Forestry and land-use change and climate change;

(c) Impacts of climate change and sea level change;

(d) Climate change and its potential socio-economic effects on Viet Nam;

(e) Climate change: impact and adaptation measures.

69. In addition, the following are some of the radio programmes developed by December 2001:

(a) What are greenhouse gas emissions?;

(b) Climate change and its potential impacts;

(c) The Clean Development Mechanism and sustainable development;

(d) Climate change and sea level rise in Viet Nam.

70. Also developed by November 2001were information packages that included the following:

(a) Climate change trends in Viet Nam;

(b) Climate change and agricultural production in Viet Nam in the last 100 years;

(c) Climate change and the implementation of the Convention in Viet Nam;

(d) Review of climate change and human health in Viet Nam;

(e) Climate change impacts and sea level rise in Viet Nam;

(f) Introduction to GEF and its guidelines;

(g) The Kyoto Protocol.

71. In producing the video films and other materials, various materials produced by UNEP and other international organizations were fully utilized.

72. In addition to the above awareness measures carried out through the various media, a workshop was organized on the Convention, the Kyoto Protocol and the Fifth Conference of the Parties in January 2000. Fifty-eight participants attended the workshop. A technical paper on training and education measures for improving awareness on climate change issues was prepared in May 2001. At the same time, a consultancy was conducted on public awareness and training. In addition, each of the two members of staff of the Institute of Meteorology and Hydrology participated in two regional workshops: the ASEAN Workshop on UNFCCC National Communications (1-3 March 2000, Kuala Lumpur) and the United Nations Development Programme (UNDP) Thematic Workshop on Vulnerability and Adaptation Assessment (10-12 May 2000, Jakarta, Indonesia)". These were part of the training component of this activity.

73. Five videotapes, four radio programmes and seven publications on climate change were produced in accordance with the project paper. No community-driven projects, however, were conducted in spite of the suggestion included in the project document. Although substantial efforts were made, this activity did not meet the expectations of the project document. The project document stated that one of the major outputs was enhanced public awareness at all levels and in all villages/districts of the country. What has been achieved under the project was awareness raising through television and radio programmes targeting only the general public. The awareness raising achieved by the project thus remained only at the general level.

(g) Activity 8: Provision of other information

74. The project document includes a number of items ranging from technical and financial needs to constraints associated with further improvement of national communications. The project, however, focused on proposing several concrete project proposals for international support. This was conducted in May 2001 through a subcontract. The findings were summarized as annex II of the draft Initial National Communication. The annex is entitled "Portfolio of some projects on climate change". Overall, twelve projects were proposed, seven of which were energy-related, three forestry-related and two agriculture-related. Basically, those twelve projects constitute a set of cost-effective measures that could be implemented on a short-term basis.

75. The project document does not specify any major outputs for this activity. The project, however, produced an annex out of this activity, mainly based on past climate change studies conducted for Viet Nam such as ALGAS. The inclusion of concrete project proposals in the Initial National Communication is considered useful for facilitating further international support.

(h) Activity 9: Preparation of the Initial National Communication

76. The preparation of the first draft started at the beginning of June 2001. The first workshop was held to discuss the first draft in the middle of the same month. Thereafter, a meeting of VNCCCT was held in August 2001 to consider the outline of the draft Initial National Communication. It is evident from this that activity 9 started after all other activities, i.e. activities 2-8, had been completed.

77. After modifications and updating at two technical meetings from September to November, the second draft was prepared in December 2001. The second draft was discussed in February 2002 at the second workshop. Further modifications and updating followed. The third version was prepared in July 2002. In early August, a meeting was held to revise the draft further for the workshop for stakeholders on the Initial National Communication on 19 and 20 August 2002. Four presentations were made at this third workshop and sixty-eight participants attended. The draft was modified further, taking into account the discussions at the workshop. On the whole, the draft was revised six times.

78. The coordination process was more or less in line with what the project document had envisaged, the only difference being that the project document had not anticipated so many revisions and workshops. Thorough consultations were carried out, in particular among the various institutions and ministries involved in the project. One wonders, however, if this lengthy coordination process could not have been shortened.

79. The final draft of the Initial National Communication was developed and duly processed within the Government for final approval (as of February 2002). It is expected that the final version will soon be submitted to the Convention's Secretariat. The output of activity 9 was fully attained.

(i) Overall achievement

80. As indicated above, the project completed almost all project activities included in the original project document. Only a few minor activities were not carried out. They are, for example, part of awareness-raising activities such as community-level demonstrations. No proposal was made on addressing the constraints associated with further improvement of national communications. In addition, a minor change was made in the implementation of the original activities by combining activities 4 and 5. Overall, however, all substantive activities were successfully completed. Thus, the rating for this criterion is "excellent".

81. Under activity 2, no recommendations were made for the improvement of research needs to develop emission factors for specific activities and to improve the existing IPCC greenhouse gas inventory methodology. With regard to activity 6, the project failed to fully incorporate its messages, at least in one long-term plan. The outputs of activity 7 remained at the general level. Awareness-raising activities did not produce the ambitions outputs suggested by the project paper. Although the outputs that did not materialize were not substantial, the overall rating against this criterion is "very good".

2. Comparison between the project's actual results and planned results

82. The project had two planned results, which were to enable the country to harmonize and to update the previous results and to fill gaps and to further enhance its scientific and technical capacity.

(a) Harmonization and updating of previous results

83. The first expected result basically covers a concern regarding the efficiency of the project. It discourages overlap with the previous projects, and hence aims at the most efficient use of the available funds. This point was one of the major concerns raised during the project development stage. In order to address this concern, a matrix was prepared by the UNEP Task Manager. The matrix indicated which areas were already covered by previous projects such as those listed in the following paragraph, and which areas should be dealt with by the project.

84. In Viet Nam, quite a number of projects had been or were being carried out on climate change at the time the project started in 1999. The major ones include the ALGAS project funded by ADB which had started in 1995, Economics of GHG Limitation –Phase 1 funded by UNEP/GEF, which had started in 1996 and the Viet Nam Coastal Zone Vulnerability Assessment Project funded by the Government of the Netherlands, which had started in 1994.

85. Many discussions were held during the project on how to harmonize differing data sets and information regarding greenhouse gas emissions and carbon sequestration. Many formal and informal meetings were held to resolve differences among the concerned experts. Although the exercise was time-consuming, that approach was thoroughly applied and maintained throughout project implementation.

86. The updating of the previous results was conducted appropriately. Greenhouse gas emissions were recalculated for 1994 under the project. This recalculation was made on the basis of the previous estimation conducted under the ALGAS project for the year 1993. Filling of gaps was also carried out extensively. Examples include the use of methane emission factors from rice paddies obtained from an experiment in northern Viet Nam, and the impact of sea level rise on medium and small river basins.

87. With regard to the harmonization and updating of data and filling of gaps, the project was quite successful. This was mostly made possible by the fact that most of the research institutes involved in the project had participated in the previous projects. The Institute of Meteorology and Hydrology itself had been involved in all the three above-mentioned climate change projects as the lead agency. Project staff knew in detail what had been accomplished before the project and what should be done under the project.

(b) Enhancement of scientific and technical capacity

88. The second expected result deals with the long-term impact. The impacts of a project usually take various forms and this second result thus clarifies, in a sense, that the most important result of the project is the building of the capacity of scientific institutions in Viet Nam.

89. Under the project, eighteen research institutions were directly involved through 72 subcontracts. Such institutions include the following: the Institute of Meteorology and Hydrology; the Institute of Energy; the National Institute for Agricultural Planning and Projection; the Institute of Agricultural Economics; the Centre for Agro-Meteorological Research; the Forest Science Institute of Viet Nam; the Forestry Inventory and Planning Institute; the National Institute of Fisheries; the Institute of Transportation Science and Technology; the Institute of Long-term Development; the National Institute of Water Resources; the Institute of Geography; the Viet Nam Union of Science and Technology Associations; and the Hanoi University of Technology.

90. These institutions had been involved in previous projects conducted in Viet Nam on climate change. Thus, capacity had already been developed in these institutions when the project began. Partly because of this planned result, i.e., technical capacity-building, the selection of institutions and experts was done implicitly on the basis of experience with previous climate change studies.

91. During his mission to Viet Nam in December 2002, the evaluator met with the researchers directly involved in the project and asked if the project had further contributed to enhancing their capacity to conduct climate change-related studies. All those interviewed answered in the affirmative. An expert involved in the project from the University of Hanoi, for example, stated that the project had contributed a great deal to the improvement of his computer modeling skills for examining the potential of various mitigation options in Viet Nam. A retired expert of the Forest Science Institute said that the project was helpful in training young researchers in the institute in climate change-related research. At the Institute of Meteorology and Hydrology, the database for the Greenhouse Gas Inventory was also established. Such a system is another example of the capacity built by the project for similar activities in the future. Now that more climate change projects, including those related to the Clean Development Mechanism, are being implemented in Viet Nam involving these institutions, the capacity built through the project will be further utilized and expanded.

92. Overall, the project fully achieved the two planned results of the project, i.e. the harmonization and updating of the previous results and the enhancement of climate change-related capacity in the concerned research institutions. Thus, the rating for the achievement of results is “excellent”.

3. Attainment of the objective of the project

93. The objective of the project is to assist Viet Nam in preparing its Initial National Communication. At the moment, the final draft of the Initial National Communication of Viet Nam is still being processed within the Government for onward transmission to the secretariat of the Framework Convention on Climate Change. Thanks to the intensive coordination carried out by the Project Management Team, the draft will be approved by the Government. The Initial National Communication will then be sent to the secretariat.

94. Without the project, it is unlikely that the Initial National Communication would already have been produced. Thus, the project fully met its ultimate objective of assisting Viet Nam in developing its Initial National Communication and submitting it to the Convention secretariat. In view of the above, the rating of the achievement of the project objective is "excellent".

4. Cost-effectiveness

95. The cost-effectiveness of the project can be discussed in comparison with enabling activities projects in other countries. The same amount of financial resources is allocated to each country for the enabling activities projects to help in the production of the Initial National Communication.

96. Viet Nam is one of the most populous developing countries and its industrialization is already quite advanced. The analysis involved in the Viet Nam project is, therefore, necessarily more complicated than the analysis necessary for most other developing countries. This implies that more time and resources, in particular advanced expertise, would be necessary for the Viet Nam project. The quality of the draft Initial National Communication has met the expectations of UNEP despite the fact that the amount of the funds provided by GEF for Viet Nam was the same as that provided to other developing countries. In view of this excellent achievement, it is considered that the funds allocated to the project were well spent.

B. Project management

97. Effective project management involves a number of elements. These are effective institutional arrangements, staffing, financial management, time management, technical supervision, procurement and monitoring and evaluation. These are the tools available to the Project Management Team to ensure the most effective implementation in response to the changing circumstances of the project. The most important management function is the application of these tools in a flexible manner to the problems and constraints encountered during project implementation so that the objectives and expected results are achieved to the maximum. In this section, the evaluator will first look at the major problems encountered during the implementation of the project and then discuss each aspect of project management to determine how well the various management tools were applied by the Project Coordinator and his staff.

1. Problems encountered during project implementation

98. There were three major problems. The first one was a considerable delay in project implementation. The second was the lengthy procedures involved in the approval of the Initial National Communication by the Government. The third was that of communication between UNEP and the Project Coordinator. These issues are interrelated. Thus, as indicated in the subsequent sections, several measures were adopted to address these problems in a comprehensive manner.

99. The project document envisaged eighteen months for project implementation. It turned out, however, that the project needed almost four years to complete. The delay in project implementation entailed extra cost. In one sector at least, a long-term national plan could not have incorporated the findings of the Initial National Communication. A few additional studies became necessary to update the data and information originally collected. Budged modifications became necessary to cover cost increases in a few expenditure items. The substantial interest evident at the beginning of the project, i.e., at the time of the inauguration workshop, appears to have dissipated. In addition, opportunities for new climate change studies and projects may have been missed. However, sincere efforts were made throughout the project period to keep the project on track without any interruption. The details are provided in subsection 6 on time management.

100. The coordination of the final document among the various concerned ministries and obtaining of the final approval from the Government needed a lot of time. The expectation that VNCCCT could facilitate the coordination process did not materialize. The political support expected from the Hydro-Meteorological Service did not fully materialize either, partly because of the restructuring of the Government that took place during the last year of project implementation. Formal procedures had to be followed to obtain the final approval from the Government, and it is disappointing that the final document will be approved almost two years after the first draft was prepared. It is important to note that the Institute of Meteorology and Hydrology nevertheless continued making strenuous efforts to get the final draft approved by the Government. This issue is detailed in subsection 2 on institutional arrangements.

101. The project proposal assumed very frequent contacts between UNEP and the Project Management Team. The UNEP Task Manager participated in the project inauguration workshop held in Hanoi in April 1999. No UNEP staff, however, visited Viet Nam thereafter. Quarterly project progress reports and financial reports were submitted regularly in the first year after project start-up. The reporting, however, became less frequent in the course of time. As communication diminished, the original enthusiasm dissipated and suspicions emerged on both sides. This was triggered by a couple of concerns raised by a member of staff of GEF who visited the project in March 2000. It is important, however, to note that communication by e-mail between UNEP and the project management team worked very well in dealing with technical matters. These issues are discussed further in subsections 4 (financial management) and 7 (technical supervision).

102. Many problems were encountered during project implementation. It would not be quite true to say that these problems were completely solved. The reality is that these problems persisted throughout the project cycle. However, the sincere attitude of all those concerned with the project at least alleviated the difficult problems to a manageable level and eventually brought the project to its completion. Thus, the rating for this item is "good".

2. Institutional arrangements

103. The project management structure proposed by the project document is shown in the figure 1. The structure was based on the following assumptions:

(a) That the Hydro-Meteorological Service would be instrumental in taking care of the political aspects of the project;

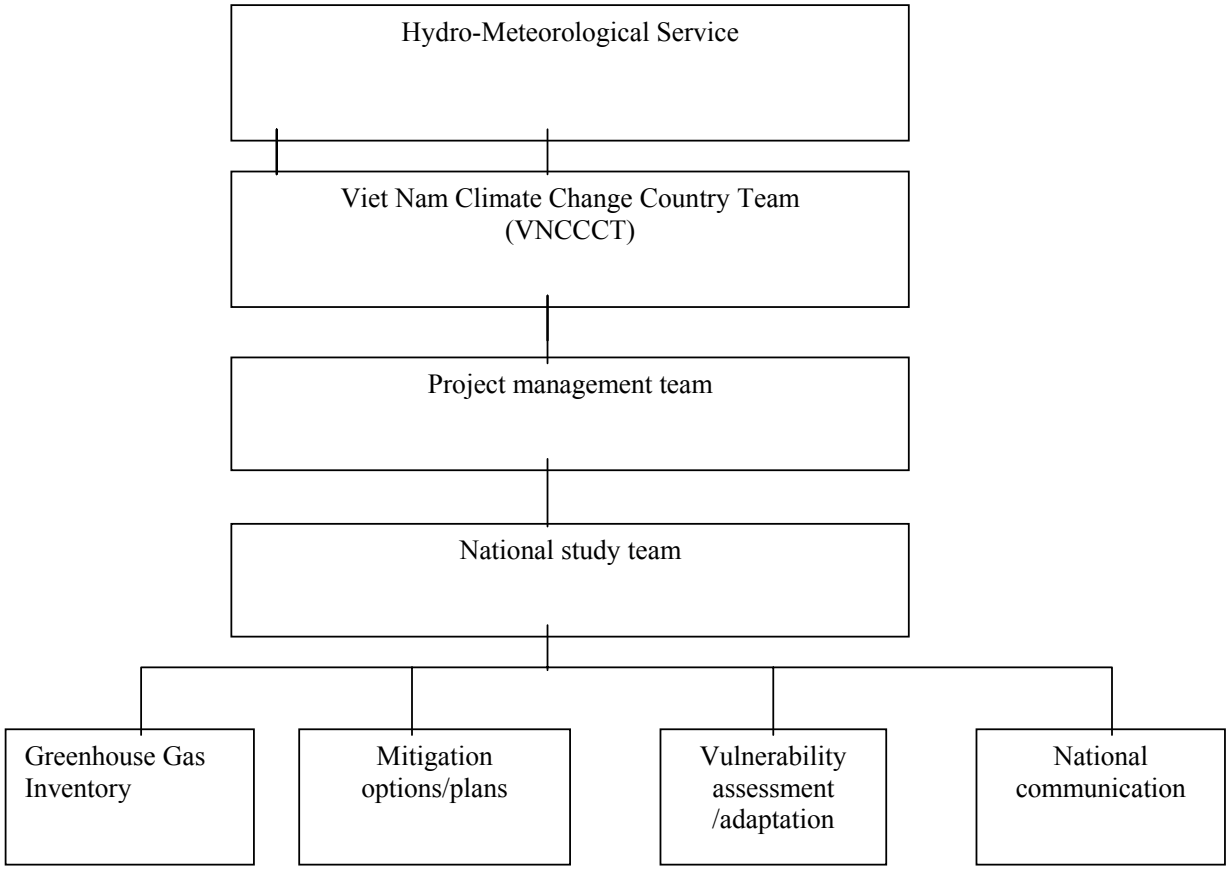
(b) That VNCCCT would ensure coordination amongst the various government ministries and agencies and would therefore be the main body involved in the supervision of the project;

(c) That the project management team and the national study team would be the main bodies involved in the implementation of activities;

(d) That secretarial support to the Project Coordinator would not be substantial.

104. These assumptions were in many ways not compatible with the reality. VNCCCT was not instrumental in coordinating the various ministries and agencies. Contrary to the expectations mentioned in the project document, VNCCCT hardly oversaw and advised on the implementation of the project. The Hydro-Meteorological Service, as the lead agency of the project, did not take proactive action to reactivate VNCCCT as the coordinating body within the Government.

Figure 1. The Project management structure



105. VNCCCT met only three times during project implementation. Its first meeting was held on 14 April 1999 to discuss the initial work plan and the original project outline. The second meeting was held on 21 March 2001 to consider the revised work plan. The third meeting took place on 15 August 2001 to consider the outline of the draft Initial National Communication. This contrasts sharply with the agreed timetable of the meetings of VNCCCT. According to the project document, VNCCCT would hold a meeting every three months. In essence, the purpose of VNCCCT was only to provide a token recognition of what project experts had already submitted. Lack of strong political support may have reflected the waning of the overall international interest in climate change issues after the Third Conference of the Parties in 1997. The little political attention paid to the project was one of the main causes of the considerable delay in project implementation.

106. Instead, the project management team and the national study team took over the role of VNCCCT by providing oversight and technical advice. A number of meetings were held among the members of the project management team and the national study team to discuss various issues, including the overall implementation of the project. In total, the project management team/national study team held 10 formal meetings during project implementation.

107. The bulk of the workload was borne by the secretariat. The secretariat consisted of six members of staff provided by the Institute of Meteorology and Hydrology in kind. Three of them were senior researchers of the Institute of Meteorology and Hydrology. One was in charge of administrative matters while the other two were assistants. The project document had assumed that only one secretary would be necessary to support the Project Coordinator. In reality, however, he was supported by a substantial secretariat. This arrangement was considered necessary in view of the fact that there were almost one hundred subcontracts and consultant contracts. In addition, quite a number of expert meetings and workshops had to be convened. All of the administrative, logistical and technical work was handled by the secretariat.

3. Staffing

108. Originally, the Project Coordinator was the only person assigned to the project on a full-time basis. The rest of the experts and personnel had been expected to provide their time and expertise on a part-time basis, basically through subcontracts or consultant contracts, or as in-kind contribution. The reality, however, was that six members of staff of the Institute of Meteorology and Hydrology had to be involved in the project almost full time.

109. The Project Coordinator was a director of the Institute of Meteorology and Hydrology. He retired from the Institute of Meteorology and Hydrology in the middle of 2002. He, however, continues to act as Project Coordinator without pay. He had been directly involved in previous climate change studies coordinated by the Institute of Meteorology and Hydrology and is, therefore, a very experienced project manager. He was well known and respected by climate change experts belonging to other institutions. He and his team in the secretariat took the responsibility of coordination with other ministries and agencies. He received his full salary until the end of 2001. He, however, did not stop working for the project and was still serving as the Project Coordinator as of February 2003.

110. Three senior scientists in the secretariat managed all subcontracts, consultancy and expert meetings and workshops. They controlled the technical quality of all reports produced by contracted experts and institutions. They provided technical backstopping for the project. All of them had been directly involved in previous climate change projects. Thus, they are all knowledgeable about the project. In some cases, they were contracted and paid by the Project Coordinator to produce technical papers. Another member of staff provided administrative services. She handled all the paper work with the assistance of two junior clerks. She was also helped by two members of staff from the finance section of the Institute of Meteorology and Hydrology to keep track of all project expenditure.

111. The Project Coordinator and all the staff in the secretariat have contributed significantly to the completion of the project with substantial results, although the completion came four years after the commencement.

4. Financial management

(a) General financial management

112. All government financial rules regarding internationally supported projects were applied to the project. The salary level of the Project Coordinator was well within the range recommended by the United Nations Resident Coordinator in his memorandum dated 27 February 1995 addressed to all United Nations agencies in Viet Nam. All subcontract papers prepared contained details such as specific assignments, experts to be involved, cost breakdowns and time schedule. Subcontract papers were all duly signed. Payment was made after the final technical report was prepared. The financial report of each subcontract was also submitted at the end of the contract. It appeared, however, that such financial reports on the subcontracts were in many cases not accompanied by vouchers and receipts.

113. Consultancy contracts were awarded together with a document stipulating the terms of reference. Basically, the role of consultants within the project was to provide advice and comments by attending expert meetings and workshops, but no final products were produced. There is, therefore, no evidence to indicate whether or not the consultant actually delivered the expected services as stipulated in the terms of reference.

114. Procurement, travel, meeting and other costs were all handled in accordance with the relevant government rules and regulations. All the project expenditure was meticulously recorded in the account books. One account book was produced for every fiscal year. Bookkeeping was done by the accounts section of the Institute of Meteorology and Hydrology. Vouchers and receipts were mostly kept together with the account book according to normal accounting practice. All project expenditure was reported to the Ministry of Finance for examination at the end of every fiscal year.

(b) Overall spending

115. Overall, project spending was considered mostly sound, as all the expenditure was meticulously recorded and all the relevant government rules were strictly applied. The original amount of funds allocated to the Institute of Meteorology and Hydrology was $191,000. Although some changes had to be made in the budget lines, mainly due to the delay in project implementation, the overall spending remained within the original budget. The budget increase due to the delay was in part absorbed by the Institute of Meteorology and Hydrology in accordance with the project document. Such efforts are commendable. However, the project is rated only "good" with regard to the "project executed within the budget" criterion.

(c) Problems observed

116. The first problem relates to reporting to UNEP. Three laptops were purchased towards the end of 2001. This was recorded in the account book and supported by the bidding documents submitted by three suppliers. The expenditure report to UNEP, however, recorded that all non-expendable equipment had been purchased by the end of 2000. The explanation provided by the Institute of Meteorology and Hydrology was that the payment had been made after delivery of the computers. The fact that the bidding was made on October 2001, however, makes that explanation unacceptable. The evaluator, however, believes that there are not many such variances. The original account book appears to have accurately recorded all the expenditure. The differences could, therefore, be attributed to some constraints that might have discouraged accurate reporting.

117. Other problems include services provided by consultants that were not properly specified and the breakdown of subcontracts which did not necessarily reflect actual spending. The first point has already been mentioned above. Since as many as twenty-three consultants were hired under the project, a proper accounting procedure should have been applied. The second point relates to the fact that no costs for travel, meetings, communication and printing were recorded in the final expenditure report produced at the end of each subcontract. All subcontract funds were, at least in the few cases the evaluator examined, divided among experts directly involved in the preparation of the report.

118. Another issue that deserves special attention is the salary paid to the Project Coordinator. As explained above, he received his full salary until the end of 2001. The budget for his salary was increased in September 2001 to take care of the extension of the project. That increase covered his salary until the end of December 2001. From then on, he received no salary although he continued to spend considerable time on the project. This illustrates the fact that the actual payment did not really reflect the actual inputs. When he became the Project Coordinator, he was officially released by the Institute of Meteorology and Hydrology to devote all his time to the project. After December 2001, however, he returned to his original position as a director of the Institute of Meteorology and Hydrology. From the beginning of 2002, therefore, his salary came from the Institute of Meteorology and Hydrology. This means he had to devote all his time to the Institute of Meteorology and Hydrology as the director of his division from January 2002. He, however, continued to spend considerable time on the project.

119. Although this practice could be understood on the basis that his salary was in fact a lump-sum payment, such an argument is not sustainable because from a financial standpoint, his salary after January 2002 is considered a cost overrun because it was not included in the original cost estimate. The project document states that any cost overruns should be absorbed by the Institute of Meteorology and Hydrology unless otherwise agreed with UNEP. In this case, UNEP did not agree to cover that cost beyond December 2002. Thus, in accordance with paragraph 114 of the project document, this cost was absorbed by the Institute of Meteorology and Hydrology. In a sense, this could be considered as additional in-kind contribution from the Institute of Meteorology and Hydrology.

(d) Co-financing

120. The project document had indicated that the Government of Viet Nam would contribute $50,000 in kind. The in-kind contribution was expected to include salaries for technicians and other support staff, vehicles for field trips and their maintenance, office rentals, library and information facilities, insurance and others. Basically, in accordance with this agreement, in-kind contributions were made by the Institute of Meteorology and Hydrology and others. A spacious room was secured for the secretariat within the Institute of Meteorology and Hydrology building. Seven members of staff of the Institute of Meteorology and Hydrology (six full-time and two half-time) worked as members of the secretariat. One vehicle and a driver were made available to the project. In addition, some office equipment, including a photocopier, a fax machine, and filing cabinets were provided free-of-charge. Electricity, petrol and water were also provided as in-kind contribution. All these in-kind contributions are estimated at about $61,560. Although the accuracy of this figure is disputable, the fact remains that considerable in-kind contributions were made to support the project.

(e) Relationship with UNEP

121. The project document states that quarterly financial statements should be presented to UNEP within thirty days from the end of each quarter. This financial reporting, however, was done punctually only for five quarters, i.e., from April 1999 to June 2000. After that, no quarterly expenditure reports were prepared. The financial report covering the second half of 2000 was submitted in July 2001 and the report covering the first half of 2001 was received only in November 2001. The next financial report, which covered a period of more than one year, from July 2001 to October 2002, reached UNEP one year later, in November 2002.

122. It is important to note that in the middle of 2000, UNEP and the Project Coordinator had a misunderstanding concerning the second cash advance for the project. The original request was made on 8 May by the Institute of Meteorology and Hydrology. UNEP, however, requested the expenditure breakdown, a revised work plan and other related information. The misunderstanding was not resolved until 20 of September when the second cash advance was finally approved. Comments made by a GEF secretariat mission on the project complicated the matter. The mission raised, inter alia, the issue of the selection of consultants. After that misunderstanding, no quarterly reports were prepared.

123. In January 2001, the Project Coordinator suddenly declared that the project had been completed. This triggered another misunderstanding between UNEP and the Institute of Meteorology and Hydrology. In March 2001, the project was extended until the end of 2001. The work plan was revised accordingly. The Institute of Meteorology and Hydrology requested a reallocation of funds among the various budget lines. This reallocation was basically in response to the extension of the project, i.e. an increase in the Project Coordinator's salary, office supplies and telecommunication costs. In the process, differences had emerged between UNEP's record of the expenditure for 2000 and the record of the Institute of Meteorology and Hydrology. In the end, a few modifications were made to the previous financial statements submitted by the Project Coordinator. UNEP approved the reallocation on 19 September 2001.

124. These differences over the cash advance and the reallocation of funds may have contributed to the non-submission of the quarterly expenditure reports by the Project Coordinator. On the two occasions, UNEP naturally acted as the financier of the project and the Institute of Meteorology and Hydrology as the fund recipient. A more positive relationship supported by mutual trust and frequent communication could have helped resolve the differences between UNEP and the Institute of Meteorology and Hydrology. The project document had assumed that the two organizations would work as partners in the project.

5. Procurement

125. There are two separate issues regarding procurement, purchase of non-expendable equipment and purchase of consulting services. Both are related to the question of whether or not the procurement was made without wastage of funds while keeping in mind the planned results and objective of the project. The evaluator examined the purchase of three laptops in December 2001. The Institute of Meteorology and Hydrology contacted three local suppliers to submit their estimates and the purchase was made from the lowest bidder. The record of the original quotations provided by the three suppliers was kept in the accounts section. This procedure, which is in line with standard international practice, is in fact required by the financial rules of the Government.

126. One of the planned results of the project was capacity-building at relevant research institutions in Viet Nam. This means that experts of such institutions had to be directly involved in the project. This was done through subcontracts. On the whole, 73 subcontracts were awarded. Subcontractors were expected to prepare a technical paper on the assigned topic. They were individual experts, mostly belonging to the concerned research institutions or government offices. Some, however, mostly retired researchers or retired university lecturers, did not belong to particular institutions. In addition, the project employed a number of consultants. In total, twenty-three consultancy contracts were awarded. Consultants were hired mainly to review the technical papers produced by subcontractors, to verify data and to review the outline of reports and previous studies. They worked as experts and provided comments and advice at technical meetings or workshops.

127. According to standard international practice, subcontractors and consultants should be contracted through bidding. UNDP has introduced the National Execution Modality (NEX) in Viet Nam, which requires competitive bidding for the selection of subcontractors and consultants. No bidding, however, was practised under the project, mainly because of the planned result of the project, i.e., capacity-building. In order to further enhance expertise in the concerned government institutions, selection was made at the beginning of the project, upon the establishment of the national study team, in consultation with the concerned ministries and agencies on the basis of, inter alia, experience with past projects. The same applied to the selection of consultants, which was done internally without bidding.

128. The result of this selection method was that the same persons were selected more than once either as subcontractors or consultants and a few persons were selected both as subcontractors and consultants. Consequently, different project activities could not take place simultaneously as one activity had to be completed before the next one could start because one person could not deliver two different technical reports at the same time. In addition, given that the technical quality of the papers produced by subcontractors was supposed to be controlled by consultants, the fact that the same persons simultaneously acted as subcontractors and consultants made it impossible to ensure quality control. Even colleagues of the same institute in many cases cannot provide objective and critical comments on each other's work.

129. Most of the interviewees responded that across the board, the bidding system was not suitable for the project. In addition to the expected project result, they indicated that the number of climate change experts in Viet Nam was still very limited. For this reason, bidding for this type of project would be meaningless. A few interviewees, however, strongly supported the introduction of the bidding system. They argued that climate change experts in Viet Nam were on the increase and that even when there was no competition, the bidding would in many cases enhance the commitment of subcontractors and consultants.

6. Time management

130. The duration of the project was originally eighteen months. In view of the time needed in other countries for similar projects, this assumption was somewhat too optimistic. The actual time needed for the completion of the project was four years. There was a significant delay for which those directly involved in the project listed many reasons. The reasons range from the large number of institutions involved in the project; updating and harmonization of data which were very difficult, to obtaining approval from all related ministries and agencies which was time-consuming. In addition, the Government's interest in climate change issues dropped significantly after the Third Conference of the Parties in 1997. The original request for the project was made in August 1997 but it took almost one and a half years to get GEF approval for it. The issue here is whether there might have been ways of addressing these underlying causes so as to shorten the delay. It should be noted that the project document had indicated that the project might encounter such a delay.

131. The first work plan was developed at the beginning of the project. It was discussed with the UNEP Task Manager who visited Viet Nam to attend the inauguration workshop. This work plan assumed that almost all activities would be implemented concurrently. All substantive activities, i.e., activities 2 to 5, were expected to start by August 1999 and finish by March 2000. Soon after the project start-up, it became clear that that assumption was unrealistic. In 1999, twenty-two subcontracts were concluded. Most of them were related only to the Greenhouse Gas Inventory and no subcontract was prepared for activities 4 and 5, vulnerability and adaptation. Major activities were carried out from the beginning but in series rather than parallel to one another. Activity 3 started in earnest only after activity 2 had been completed in December 1999. Activities 4 and 5 started in July 2000 after the completion of activity 3. Despite the delays noted, no discussion took place to modify the original work plan**.**

132. The work plan was changed only once during the project duration, in March 2001, when the second VNCCCT meeting was held to discuss it. It was, however, formally revised only in July 2001. This modification was made in response to UNEP's approval of the extension of the project until the end of 2001. However, it was very superficial. It had been envisaged that substantive activities would be conducted parallel to one another despite the fact that in reality these main activities had been conducted in series at the time of the modification of the work plan. This shows that the project management team did not comply with the work plan. In addition, the work plan lacked details regarding the outputs to be attained under each activity.

133. The preparation of the first draft of the Initial National Communication started in June 2001. By that time, all the data, information and other elements necessary for the communication had been collected and compiled. The Project Coordinator revised the work plan for the first time in July 2001 and proposed that the Initial National Communication be finalized by December 2001. The final draft, however, was not discussed until late August 2002 at the final workshop. In July 2001, when the work plan was revised, the Project Coordinator seemed to be unaware of the lengthy process required for a series of expert meetings and workshops to finalize the draft. The revised work plan prepared by the Project Coordinator and agreed to by UNEP, however, did not mention any of these meetings.

134. It was certainly true that VNCCCT was not available to provide support to the project, as originally expected, when the project came into the final stage in 2001. For this reason, it was all the more important for the project team to obtain full agreement from the relevant government agencies concerning the procedures for obtaining the final approval of the Initial National Communication. No such effort, however, was explicitly made. Nevertheless, it is commendable that the Project Coordinator, together with the secretariat, maintained the momentum of the project throughout the long project period. They always kept at least one activity on track and there was no dormant period during the project cycle. In this sense, the one-activity-at-a-time management conducted by the project management team was successful. In view of the foregoing, the rating for the timeliness of the project is "satisfactory".

7. Technical supervision

135. The project document stated that UNEP's Atmosphere Unit would play a technical support and advisory role to ensure the successful implementation of the project. This responsibility has since been transferred to DPDL. UNEP's Regional Office for Asia and the Pacific (ROAP) was expected to provide some assistance.

136. This assistance took place even before the project started. The UNEP Task Manager attended the inauguration workshop and made presentations on specific technical methodologies to be applied to the project. After that period, constant communication was maintained through e-mail, mainly between the Task Manager and the Project Coordinator. Issues communicated through e-mail included UNEP/IPCC standard practices, modelling techniques and data interpretation. There were more than 100 e-mail exchanges. This means that on average, there were at least two e-mail exchanges per month.

137. The last round of technical communication took place in 2002. The second draft of the Initial National Communication was prepared in December 2001 and sent to UNEP/DPDL in January for comments. There were a number of e-mail exchanges thereafter between UNEP and the project management team. On average, it took almost two months to resolve one technical concern. The Task Manager provided technical comments on all chapters of the draft report. These comments were properly incorporated into the subsequent revisions of the draft. UNEP's comments were accommodated in their totality in the version prepared after the stakeholders' workshop held in August 2002. With the incorporation of these comments, it was ensured that the final report would be of the internationally acceptable quality. ROAP was not involved in this process.

138. With regard to technical supervision within Viet Nam, VNCCCT was expected to provide overall guidance. VNCCCT, however, was almost dormant and, therefore, not in a position to provide technical inputs. Instead, the consultants were supposed to review the technical papers produced by the subcontractors. However, it turned out that that was not totally feasible because in some cases, some subcontractors also served as consultants. It appears that subcontractors and consultants reviewed their own technical reports together through expert meetings and workshops. In a sense, a local peer review system was established in the course of project implementation and this happened to have functioned rather well. One shortcoming was that this system took rather long to resolve differences. On the other hand, this approach contributed to further strengthening of the local technical capacity.

8. Monitoring and evaluation

139. In this section, monitoring and evaluation are considered as a mechanism to better supervise and implement the project through the lessons learned. The project document detailed the monitoring and evaluation tools to be used for the project. First, the Project Coordinator was supposed to prepare a monthly progress report and share it with the Institute of Meteorology and Hydrology, VNCCCT and UNEP. This never happened. Second, the project document advocated the circulation of electronic newsletters among the participating institutions. No newsletters, however, were produced. Furthermore, the project document suggested that VNCCCT should meet every three months to review project implementation and to provide technical, policy and strategic guidance. The minutes of the meetings of VNCCCT were to be prepared and shared with the participating institutions. VNCCCT was then to provide recommendations to the Institute of Meteorology and Hydrology on the basis of which quarterly progress reports were to be prepared. None of these suggestions was implemented.

140. Quarterly progress reports were prepared on time only for the first fifteen months. After that, they were produced only once every six months or even once a year. VNCCCT made no contributions. The quality of the progress reports was rather disappointing as they simply recorded activities that took place during the reporting period and never critically reviewed the implementation of the project. They simply supplemented the quarterly financial reports. The evaluator is of the view that the current system of progress reports is neither suitable for project supervision nor for technical advice. The project document further indicated that there would be a midterm desk evaluation of the project. Again this did not take place. In view of the above observations, it is clear that monitoring and evaluation were poorly executed.

C. Impact and sustainability

1. Impact

141. The fact that the Initial National Communication was prepared for submission to the Convention secretariat has itself created a significant impact. The Initial National Communication is the formal commitment of the Government that sets a framework within which Viet Nam could implement climate change-related measures in the future. In addition, with the submission of the Initial National Communication, the internal procedure for producing future national communications has been established. This will help the preparation of future national communications, as responsibilities among the various government agencies are clarified and the steps to be followed are agreed upon within the Government. Moreover, the fact that the database for updating the national communications was established within the Institute of Meteorology and Hydrology is noteworthy.

142. The Initial National Communication had a significant impact on the various master plans prepared in related sectors. As mentioned in the subsection on activity 6, the National Action Plan for the Implementation of the Convention is now being prepared by the Ministry of Natural Resources and Environment. The Plan will be fully compatible with the Initial National Communication. In other sectors, climate change-related measures have been incorporated into long-term plans. It is expected that the measures included in the sectoral master plans will be implemented over the planned period. The extent to which such measures are to be implemented depends on many external factors, for example, the overall economic performance of Viet Nam, the international importance of the Convention and the Kyoto Protocol, etc. If they are implemented, however, the impact created or at least catalyzed by the project will be multiplied in the future.

143. One of the most important expected impacts of the project was the capacity-building of the relevant research institutions in Viet Nam. This was very well reflected in the project design. No international experts were hired despite the fact that they could have completed the work more effectively and expeditiously. The project encountered many technical challenges in the process of harmonization and updating of data and information, applying computer modelling and interpreting the modelling outcomes. All of these challenges were in one way or another resolved by the local experts involved in the project, although sometimes the process was very time consuming.

144. One may wonder if the project has indeed enhanced the local capacity, given the fact that technical capacity already existed in Viet Nam before the project started. The project has not duplicated what had been done under the previous projects. In addition to what had already been accomplished, the project made a more critical review of data and information, allowed the improvement of modelling techniques to adapt them to local conditions and addressed the difficult issue of how all the findings are to be translated into national policy options.

145. The evaluator met many local experts during his mission to Viet Nam. All the experts agreed that the project had further strengthened the technical capacity of the experts and institutions involved. The fact that external technical advice was not significant and that political support to the project was weak could have forced the experts involved to do more on their own to get the Initial National Communication completed. Thus, the extent to which national technical capacity was strengthened could be greater than originally expected. Overall, the impact originally expected through the implementation of the project has been fully achieved. Thus, the rating of the impact created by the project is “excellent”.

2. Sustainability

146. The project document states that the project is intended to enable Viet Nam to fulfil its obligations and commitments to the Convention on a sustainable basis. Thus, the project placed emphasis on the strengthening of the scientific, technical and institutional capacities of Viet Nam and the strengthening of the Institute of Meteorology and Hydrology to play the leading role in the implementation of the project. As stated in the previous subsection on the impact, both aims have been fully achieved. Although it took a considerably long time to complete the project, the entire objective and the intended results were fully achieved in a sustainable manner.

147. Project impacts could be reduced, maintained or expanded after the completion of the project. Sustainability means that the impacts created by a project should be at least maintained. The evaluator is of the view that the impacts of the project could even be amplified in the future. There are three reasons for this. The first is the development of new institutions. The Government of Viet Nam restructured the Government in August 2002. Environmental issues had been handled by the Ministry of Science, Technology and Environment until the restructuring took place. With the restructuring, the Ministry of Natural Recourses and Environment was created. The ministry handles, inter alia, global environmental issues, including climate change. Accordingly, both the Hydro-Meteorological Service and the Institute of Meteorology and Hydrology have been put under the new ministry. This is a very positive development because before the restructuring, environmental matters were considered in the context of the scientific and technical agenda, while all environmental issues are now treated according to their own merit. Being the most important international environmental issue, climate change is likely to receive more political attention than before.

148. As mentioned above, the Ministry of Natural Resources and Environment is now preparing the National Action Plan for the Implementation of the Convention. The plan will fully incorporate the findings in the Initial National Communication. This master plan process is, in a sense, the internalization of the international commitments that the Government has made by submitting the Initial National Communication. Through this internalization process, the messages contained in the national communication will be further digested and operationalized. Indeed, the modest impacts generated by the project are to be expanded though this process.

149. The second is the capacity of the Institute of Meteorology and Hydrology. The project has undoubtedly strengthened the technical and administrative capability of the Institute of Meteorology and Hydrology in tackling climate change issues at the policy and cross-sectoral level. Many of the experts interviewed by the evaluator expressed strong expectations that the Institute of Meteorology and Hydrology would take further lead in this respect. The Institute of Meteorology and Hydrology experts now form the core group within the Government to deal with climate change issues in general. Their database and the systems established under the project have laid the foundation for regular update of national communications. The database has already been updated to the year 2000 by the Institute of Meteorology and Hydrology at its own initiative. Their network, together with other relevant institutions, ensures quality work on climate change to which major stakeholders could agree. With the transfer of the Institute of Meteorology and Hydrology to the Ministry of Natural Resources and Environment, it is likely that the role of the Institute of Meteorology and Hydrology in taking the lead on climate change policy development will be further strengthened. As a recognition of the capability of the Institute of Meteorology and Hydrology, it is worth noting that one of the members of staff of the Institute of Meteorology and Hydrology originally involved in the project secretariat is now working at the ministry to, inter alia, develop the master plan mentioned above.

150. The third is the confidence of the local experts involved in the project in the quality of their work. On the whole, the Vietnamese experts were proud of the quality of the Initial National Communication. Indeed, some of the experts stated that they were now internationally or at least regionally competitive in undertaking specific climate change-related analysis. Computer modelling to analyze feasible energy options, for example, has been improved during the project so that the modelling could reflect the economic realities of the country more accurately. This illustrates the high level of technical capacity developed by the project in the relevant institutions in Viet Nam. If opportunities arise regionally, subregionally or even nationally where expertise accumulated during the project is utilized, the strengthened technical capability in the participating institutions will evolve further. Given the foregoing, the rating of the sustainability of the project is “excellent”.

D. Participation

151. In this section, the participatory aspect of the project is considered under the following three aspects: stakeholder participation; gender considerations; and public awareness.

1. Stakeholder participation

152. The project document states that "the whole project management structure is designed in such a way that full participation by local experts in all aspects of activities is ensured." Indeed, it seems that many national experts were involved in the process as subcontractors, consultants or participants at various meetings and workshops. As mentioned in the section on procurement, the selection of subcontractors and consultants was not necessarily as extensive as it should have been. In fact, several persons were contracted more than once. One person had as many as six contracts under the project. This indicates that the participation of experts as direct contributors to the report was somewhat limited.

153. With regard to participation through meetings and workshops, there are two facts worth pointing out. Overall, 21 major meetings were held during the project and all of them were held in Hanoi. Out of 21 meetings, eight were workshops. Workshops are considered an open forum in which basically anybody interested in the project can participate. Thus, it can naturally be expected that the participants of workshops were significantly more than those of closed expert meetings. On average, there were 58 participants at workshops, while there were 25 participants at expert meetings. The average number of workshop participants is certainly more than twice that of participants at expert meetings.

154. From the two facts mentioned above, it is quite probable that even workshops were limited to climate change experts living and working in Hanoi. Nationwide participation of relevant scientists may not have taken place and key stakeholders (non-researchers) from various sectors may not have participated in any of the workshops convened. Although the project claimed that two non-governmental organizations fully participated in the project, these non-governmental organizations were mostly scientific organizations comprising leading Vietnamese scientists in various fields. Although few representatives from civil society organizations and the private sector participated in two workshops, their level of participation was quite limited.

155. The evaluator became aware of the lack of stakeholder participation during a meeting with representatives of Electricity of Viet Nam. Electricity of Viet Nam is the only electricity supplier in the country and thus one of the biggest stakeholders in climate change issues yet the three members of staff interviewed, all from the international division of that company, were not aware of the project. They emphasized the need to involve more stakeholders in future climate change projects.

156. In conclusion, the project largely attained the outputs of the participation of local experts. Such participation, however, was limited to rather small numbers of scientists residing in Hanoi. There was no significant participation of non-researcher stakeholders.

2. The gender issue

157. The project document did not mention the gender issue, the project did not pay any attention to it during implementation and the draft Initial National Communication does not touch on it. This does not necessarily disparage the achievements realized under the project. It simply reflects the fact that gender considerations are at the moment not among the most critical issues in devising national climate change strategies in Viet Nam. There is no denying, however, that women play a significant role in household energy consumption. As average energy consumption in Viet Nam will increase further in the future, with a substantial shift from traditional fuelwood to electricity and gas, the role of women in dealing with greenhouse gas emissions will doubtless become increasingly important. The evaluator was informed of a new project initiated in October 2002 by the Government of the Netherlands to promote household energy efficiency by women in the Cambodia, Laos and Viet Nam. It is worth noting that two female researchers who directly participated in the project are now involved in the Dutch project. On the whole, 38 women researchers were involved in the project as subcontractors.

3. Public awareness

158. The project document states that a cost-effective public awareness programme should be developed so that campaigns can be undertaken throughout the project cycle, when and where possible, and that these campaigns should reach all levels in all villages/districts of the country. As reported in the subsection on activity 7, five videotapes were developed in collaboration with the Viet Nam Central Television. Furthermore, a few publications and radio programmes were produced for general awareness raising. It is quite certain, however, that the campaigns conducted under the project did not reach all villages and districts of the country. The project was very much a researcher-driven exercise and not much attention was paid to public awareness.

159. During the interviews, a number of experts stressed the need to disseminate the findings of the Initial National Communication to various stakeholders, including farmers and local communities. The public awareness efforts made by the project were not very significant. All awareness-creation materials produced were of a general nature and did not contain any specific political messages arising from the project. The evaluator, however, is of the view that the original thinking in the project document was over-ambitious. Any national campaign is an important undertaking that merits an independent project spanning many years.

160. There is certainly a need to make more efforts to raise public awareness. Such a national campaign should probably start now as the National Action Plan for the Implementation of the Convention will be developed in the middle of this year. Public awareness campaigns should not be a one-time exercise. They should be conducted continuously jointly by the Ministry of Natural Resources and Environment and the other concerned ministries.

E. Relevance

161. In this section, the evaluator examines the significance of the project at the national, regional and international levels.

1. Significance at the national level

162. The project document was developed by a member of staff of UNEP who visited Viet Nam in August 1997. It took more than one year to get approval from the GEF Secretariat. Although the Government officially endorsed the proposal, it may have felt alienated from the project development process. Thus, at the project launching workshop, the Deputy Minister of Natural Resources and Environment expressed strong concerns regarding the GEF process. That sentiment still remains strong and the evaluator was asked many questions regarding the frustrating GEF processes at the wrap-up meeting of his Hanoi mission with many experts and government officials involved in the project. The project, however, was designed with the intention of involving local climate change experts fully. This has greatly contributed to the enhancement of the country's ownership of the project. As indicated in chapter II section B on project management, the project was mostly executed by national institutions.

163. This strong ownership of the project may have resulted in significant delays in project implementation but in the process, it facilitated the incorporation of climate change messages in various sectoral master plans and effectively enhanced the technical capacity of the concerned local institutions. Furthermore, quite an encouraging follow-up to the project, the preparation of the National Action Plan for the Implementation of the Convention, has been initiated by the newly established Ministry of Natural Resources and Environment. This kind of internal integration could not have happened had the project not been implemented in a manner that favoured the inclusion of local experts and institutions. Indeed, the strong country ownership of the project increased the significance of the project to Viet Nam.

2. Significance at the regional level

164. Viet Nam is an ASEAN country. ASEAN has promoted a number of regional environmental cooperation activities. Climate change is one of the areas where ASEAN countries have been working together over the years. During the early stages of the project, two experts from the Institute of Meteorology and Hydrology participated in the ASEAN Workshop on UNFCCC National Communications. In addition, there was a regional workshop on vulnerability and adaptation assessment held in Jakarta in May 2000 at which two Vietnamese experts attended.

165. There have also been a number of technical seminars and workshops in the region concerning climate change-related studies. These regional interactions facilitate the transfer of expertise across countries in the region. One researcher involved in the project obtained a computer model free-of-charge from the Asian Institute of Technology. He adapted that model to the local Vietnamese conditions so that feasible energy options could be analyzed objectively.

166. The researchers involved in the project were confident that the quality of the Initial National Communication was almost equal to the Initial National Communications of the large ASEAN countries. These regional contacts certainly gave Vietnamese experts a strong motivation to improve their capability. Moreover, the findings of the project must have contributed to the broadening of the knowledge base on climate change in the region as a whole. A few experts mentioned that they could now assist their sister countries in the subregion, i.e. Cambodia and Laos. In fact, this is already happening, for example, through the Dutch project on household energy projects.

3. Significance at the international level

167. The project is a standard climate change enabling activity supported by GEF. The objective is to assist developing countries in preparing initial national communications. Viet Nam has achieved the project objective successfully. This has an international implication since the submission of initial national communications is an obligation under the Convention.

168. The project document suggested that recommendations be made on areas of targeted research to improve future greenhouse gas inventories and to suggest revisions of the existing IPCC greenhouse gas inventory methodology. It also suggested that the constraints associated with the further improvement of national communications be eliminated, including the reduction of the margin of uncertainty in emissions and removal variables. None of these issues were raised and no recommendations were made in the Initial National Communication. In this respect, the project did not make any specific contribution to the improvement of the current international guidance on national communications. The significance of the project at the international level lies in the fact that Viet Nam has now joined some other developing countries that have their own capability to examine various climate change policies and measures based on objective data and sophisticated computer-based analyses.

II. RATING OF PROJECT IMPLEMENTATION

169. The terms of reference for this evaluation singled out the following eight items for rating: timeliness; achievement of results/objectives; attainment of outputs; completion of activities; project executed within the budget; impact created by the project; sustainability; and major problems faced and resolved successfully by the project. Ratings of the project against these criteria have been made in the relevant sections above. The average score of the eight ratings above is 2.0, thus the overall project rating is “very good”.

170. The project was highly rated in terms of achievement of results/objectives; attainment of outputs; completion of activities; impact created by the project; and sustainability. All these aspects are related to the accomplishments of the project. Almost all project activities have been implemented and most of the outcomes have been generated, which has resulted in the total achievement of the objective and results of the project. The intended impacts were created and are likely to be sustained.

171. One may wonder if the impacts created are limited to a small number of experts and if, due to lack of participation by other stakeholders, their sustainability is questionable. Such criticism would be justified if the project was going to be the only climate change project for many years to come in Viet Nam. The project is small and has a very clear objective - preparation of the Initial National Communication under the Convention. It is, by its nature, policy- and science-oriented. Thus, the way the project was designed and implemented strongly reflected this characteristic. A selected group of core scientists was deeply involved in the project and the project ensured lengthy coordination within the Government. As a result, key messages of the Initial National Communication have been significantly incorporated into the various government plans.

172. The government policies and long-term plans catalyzed by the project will be the basis for multiplying the impacts created by the project in the future. Certainly, the participation of stakeholders in the project, i.e. the private sector, community groups, non-governmental organizations, etc., is currently inadequate. Stakeholder participation, however, will be better addressed by future projects aimed at the implementation of policies and plans. Thus, as indicated above, it is reasonable to give a higher rating to the five criteria related to the accomplishments of the project.

173. On the other hand, three criteria related to project management, i.e. timeliness, project executed within the budget and major problems faced and resolved successfully by the project, received rather low ratings. The project was considerably delayed. It managed to stay within the budget but only by being complemented by considerable co-financing and cost overruns absorbed by the Institute of Meteorology and Hydrology. The project addressed these management issues only partially. It is important to recognize, however, that project management issues including time and financial management, have been contained to a level where their negative effects would not affect the actual outputs of the project. The overall rating of the project is, therefore, as the arithmetic mean indicates, considered “very good” because the project has fully achieved its objective and the planned results and thereby created significant impacts that are sustainable, despite a few problems relating to the manner in which the project was implemented.

174. The alternative rating of the project is presented in annex IV. This rating is consistent with the comprehensive analysis conducted in this report in light of the five broad evaluation criteria, i.e. project achievement, project management, impact and sustainability, participation and relevance. The project was also rated “very good” in the alternative rating.

III. LESSONS LEARNED

175. Several lessons could be learned from the project. In this section, the evaluator lists lessons useful for future projects of the same nature in Viet Nam.

176. The most important factor contributing to the success of the project was the clarity of the objective and of the planned results. The major intentions of the project were fully reflected in the implementation arrangements and all those involved in the project had a common idea about the deliverables of the project. This is at least in part attributable to the fact that the project was a typical enabling activity applied to all GEF-eligible developing countries. This is an important lesson to be learned from the project.

177. The project was implemented by the Institute of Meteorology and Hydrology, strongly supported by the national study team and the project management team. Political support within the country was not strong and administrative support from UNEP was inadequate. Consequently, almost all the responsibility fell upon the Institute of Meteorology and Hydrology. Fortunately, the staff of the Institute of Meteorology and Hydrology assigned to the project and those directly involved in the project as members of the national study team and the project management team were all strongly committed to the project. In addition, the director of the institute was supportive of the project. Furthermore, the staff involved were all experienced in conducting climate change projects in Viet Nam because they had been directly involved in similar projects in the past. A capable project team was essential for the success of the project.

178. The project was conducted with a limited number of experts who were members of the National Study Team. The participation of major stakeholders was inadequate. The level of participation of the private sector, non-governmental organizations and community groups was quite limited. Public awareness efforts were not strong enough. This limited participation has weakened the importance of the project outcome, i.e. the Initial National Communication. The outcome is not adequately shared with the general public. This, however, should be understood in the political and social context of the country. Broader stakeholder participation is considered essential for future climate change projects in which climate change-related policies are implemented on the ground. In future projects, workshops could be organized in various parts of the country involving a much broader spectrum of people, and small demonstration projects could be considered for local communities.

179. Subcontractors and consultants were selected arbitrarily. No clear guidelines were provided for the selection of subcontractors and consultants and this reduced the transparency of the selection exercise. Given that climate change is an issue that concerns everybody, more efforts should be made to make the implementation of the project more open and transparent. In addition, it is important to introduce the bidding system in a flexible manner on a project-by-project basis, by paying attention to the particular nature and objectives of each project.

180. The relationship between UNEP and the project management team was that of "master and servant". As project implementation progressed, communication became difficult and to bureaucratic. This resulted in inadequate communication and at times inconsistent reporting. The project document had assumed frequent reporting from the project management team and prompt and generous advice from UNEP. Both the project management team and UNEP should have understood that changes in the budget, the work plan and the implementation arrangements are not uncommon and negative, but something rather positive that usually happens if the project is implemented to maximize the impact under ever-changing project circumstances. More informal communication by e-mail has worked well with regard to technical supervision. It may be useful to use more informal and frequent communication in addition to formal quarterly reporting.

IV. RECOMMENDATIONS

181. On the basis of the overall performance of the project and the lessons learned from the implementation of the project, the evaluator would like to make the following recommendations for future climate change enabling activities in Viet Nam:

(a) Although the completion of the Phase I enabling activity was considerably delayed, it was successfully implemented. All the objectives and planned results were fully achieved and the technical and administrative capacities of local institutions, particularly that of the Institution of Meteorology and Hydrology, have been strengthened significantly. Viet Nam is now ready for the next climate change enabling activity. The timing is correct as a number of sectoral projects related to climate change are now being developed for the country with substancial donor support. Such projects include projects aiming at promotion of energy efficiency on small and medium-size management of electricity, energy recovery from boilers and cement kilns, promotion of biogas generators and introduction of rational water management to reduce Greenhouse Gas emissions from rice fields. The second enabling activity for Viet Nam will complement these new developments. The Phase II Climate Change Enabling Activities project to assess needs should be considered positively in view of the success of the present project and the encouraging developments regarding environmental issues and climate change in Viet Nam;

(b) Viet Nam has already participated in a number of regional climate change-related activities. The project enabled two Vietnamese experts to participate in two regional workshops on climate change. The country has benefited considerably from participation in regional climate change activities and now that it has developed an appropriate technical capacity, the benefits to be gained through various regional activities will become more specific and reciprocal. The country should, therefore, be more directly involved in regional climate change activities;

(c) The Ministry of Natural Resources and Environment was created within the framework of the restructuring of the Government in August 2002. With this restructuring, it is likely that more political attention will be paid to environmental issues. The ministry has overall responsibility for climate change. The Hydro-Meteorological Service and the Institute of Meteorology and Hydrology have been moved to the new ministry. The ministry is now preparing the National Action Plan for the Implementation of the Convention, fully taking into account the findings of the Initial National Communication. This is a very encouraging initiative taken by the Government and the Ministry of Natural Resources and Environment. More specific policies and measures should be spelt out in the process and VNCCCT should be strengthened. It is important that UNEP give immediate support to the Ministry of Natural Resources and Environment as a follow-up to the current project;

(d) The project management team encountered a number of problems during project implementation. In future, at least some of those problems should be better tackled by introducing improved management systems. The bidding system, for example, could be adopted at least for some components of the project for purposes of transparency and efficiency. Judging from the practice of UNDP and other international organizations, it seems that there are, in general, enough climate change experts in Viet Nam to justify competitive bidding. It is important to recognize that the bidding and subsequent conclusion of formal contracts will make the selected institutions and consultants more accountable for their assignments. Furthermore, the project management team should make sure that documentation is always produced for every service provided by subcontractors and consultants. In addition, for more time-conscious management, a clear work plan with major milestones and timetable has to be prepared, shared and updated whenever necessary. The most important thing is to have all major stakeholders agree to the work plan and respect it as far as possible. Lastly, a lean but effective monitoring and evaluation system is essential for improved project supervision;

(e) UNEP has provided good supervision and advice to the project management team. It could, however, further facilitate communication with project management teams in various countries in view of the fact that it is the most important partner of the project. It could, for example, initiate an Internet forum or other mechanisms in which Project Coordinators of UNEP's climate change activities in various counties could exchange their views and experiences with each other. Alternatively, UNEP could contact each country's project management team once a month by e-mail to take stock of the project's progress. Furthermore, it would be quite helpful if UNEP could provide clear guidance on various aspects of project management, i.e., selection of consultants, procurement of non-expandable equipment, bookkeeping, etc. More opportunities for direct contact with the members of the national project management team should be created through, for example, an Internet forum, participation in climate change-related workshops in the region and scheduled multi-country supervision missions.

Annex I

TERMS OF REFERENCE
EVALUATION OF THE UNEP/GEF SUBPROJECT GF/2200-97-54
"Enabling Activities for the Preparation of Initial National Communications
Related to UNFCCC – VIET NAM"

Under the guidance of the Chief of the Evaluation and Oversight Unit and in close collaboration with the UNEP Task Manager for Climate Change Enabling Activities (CCEA), the evaluator shall undertake an evaluation of the UNEP/GEF subproject "Viet Nam: Enabling Activities for the Preparation of Initial National Communications Related to the UN Framework Convention on Climate Change GF/2200-97-54)". This evaluation will be conducted during the period 16 December 2002 to 15 February 2003.

I. BACKGROUND

The project to be evaluated is being implemented internally by the UNEP Task Manager of Climate Change Enabling Activities, currently located in the Division for Policy Development and Law (DPDL) of UNEP. Nationally, the project is executed by the Project Coordinator at the Hydro-Meteorological Service, Institute of Meteorology and Hydrology, Viet Nam. The project provided financial assistance necessary for the following activities:

(a) Updating the Greenhouse Gas Inventory for the year 1994;

(b) Identification and assessment of mitigation options;

(c) Development of comprehensive vulnerability/assessment measures for various sectors;

(d) Identification of Stage I adaptation options;

(e) Building of capacity to integrate climate change concerns into planning;

(f) Provision of public awareness and other information.

II. SCOPE OF THE EVALUATION

The evaluation will cover the activities UNEP conducted to implement the project and the Hydro-Meteorological Service carried out to execute it nationally. The consultant will conduct the following activities:

(a) Compare the planned outputs of the project to the actual outputs and assess the steps taken to follow up in the country in view of maintaining the capacity built;

(b) Highlight the lessons learned from the implementation of climate change activities and assess the appropriateness of the project in meeting the longer-term objectives of the country, UNEP, GEF and the Framework Convention on Climate Change;

(c) Review the national institutional and technical capacity built by the UNEP/GEF project and the linkages established with related ongoing activities in the country, such as the United States Country Study Programme (USCSP), the Asia Least Cost Greenhouse Gas Abatement Strategy (ALGAS) project implemented by the Asian Development Bank and the Viet Nam Coastal Zone Vulnerability Assessment project funded by the Government of the Netherlands specifically;

(d) Recommend corrective and other practical steps required to strengthen and improve the institutional framework, specifically to ensure successful implementation of the following activities:

(i) Official submission of the Initial National Communication to the Convention;

(ii) Phase II Climate Change Enabling Activities to Assess Technology Needs;

(iii) Participation in regional climate change projects such as capacity-building for systematic observation systems and development of local emission factors.

III. TERMS OF REFERENCE

The evaluator shall:

(a) Analyze the quality and usefulness of the planned and current project outputs and determine how these contribute to the attainment of the results and overall objectives identified in the approved project proposal in meeting its Convention commitments. It should determine whether the project has been able to satisfy the identified needs and to solve the identified problems in Viet Nam;

(b) Measure the impact of the planned and current results of all the activities to prepare the Initial National Communication to the Convention. The consultant will consult most of the 20 members of the Viet Nam Climate Change Country Team (VNCCCT), which includes the National Agency of Environment, the Ministry of Science and Technology and Environment, the ministries of industry, transportation, agriculture, training and education, public health, finance, trade and an non-governmental organizations, the Viet Nam Union of Scientific and Technical Associations.

(c) Assess the decision-making process and the criteria used to attract qualified consultants for the implementation of the various project components and identify the lessons learned, making recommendations on how such involvement could be improved;

(d) Assess the role the project played in building the capacity of the participating national institutions in the area of reporting to the Convention and assess the long-term sustainability of the benefits of this capacity-building;

(e) Determine the future assistance required from UNEP and GEF, specifically in ensuring successful implementation of future GEF-funded projects identified in section II. Identify the lessons learned and make recommendations that might improve the delivery of similar assistance in similar projects;

(f) Review the adequacy of national and international monitoring and evaluations system developed to supervise and implement the project and, on the basis of the lessons learned, make recommendations that could improve current procedures related to monitoring and evaluation;

(g) Review the effectiveness of the institutional structure, management and financial systems, which played an important role in the implementation of the project, investigating the staffing, the administrative arrangements and the operational mechanisms with emphasis on coordination within and outside UNEP. The evaluator will solicit the views of relevant UNEP staff members on the usefulness of the project in enhancing the work of UNEP and GEF in the area of climate change;

(h) Identify any technical and/or operational constraints encountered during project implementation, including those that contributed to delays in implementing the approved work plan. Identify further the actions required by UNEP and the national executing agency to overcome the constraints and any appropriate alternative measures that need to be taken;

(i) Identify and assess any measures that national institutions have initiated to integrate the results and recommendations of the Initial National Communication into national policy making and/or planning. The evaluator should also make specific recommendations regarding follow-up measures that would enable longer-term benefits and sustainability of project activities;

(j) Determine the potential contribution of the project to furthering the objectives of the relevant global, regional and national environmental assessments, policy frameworks and action plans, and to strengthen the Convention;

(k) Determine whether the actual results of the project compare with the long-term and short-term results identified in the project document and what needs to be done further;

(l) Determine the extent to which gender considerations were incorporated into the various technical and operational aspects of the project;

(m) Propose concrete suggestions or recommendations, to the Hydro-Meteorological Service and UNEP and advise them on implementing them, as appropriate.

IV. FORMAT OF THE EVALUATION REPORT

The evaluator shall prepare the report in full consultation with the Hydro-Meteorological Service and UNEP. He/she shall also prepare his/her report in the form of the following:

(a) A concise executive summary (four pages);

(b) A detailed evaluation report (about thirty pages) addressing chapters II and III.

The success of the implementation of the project will be rated on a scale of 1 to 5, with 1 being the highest rating and 5 being the lowest. The following items will be considered for the purpose of rating:

(a) Timeliness: How the project met the schedules and implementation timetable cited in the project document;

(b) Achievement of results/objectives with regard to the following:

(i) Attainment of outputs;

(ii) Completion of activities;

(iii) Project executed within the budget;

(iv) Impact created by the project;

(v) Sustainability;

(vi) Major problems faced and resolved successfully by the project.

Each of the items should be rated separately and then an overall rating given. The following rating system is to be applied:

1 = Excellent	(90% -100% achievement)
2 = Very Good	(75% - 89% " " ")
3 = Good	(60% to 74% " " ")
4 = Satisfactory	(50% to 59% " " ")
5 = Unsatisfactory	(49% and below " ")

V. SCHEDULE OF THE EVALUATION

The evaluation should begin on 16 December 2002 and last for a period of approximately two months. While conducting the evaluation, the consultant should communicate by telephone or e-mail with the relevant staff in UNEP, i.e.,DPDL and the Evaluation and Oversight Unit.

The consultant will discuss aspects of the project with the national Project Coordinator and selected members of the Viet Nam Climate Change Country Team (VNCCCT) and the staff of the Hydro-Meteorological Service in Viet Nam.

The consultant will submit the draft evaluation report by 30 January 2003. The UNEP Task Manager of Climate Change Enabling Activities in DPDL will provide written comments on the draft evaluation report to the consultant through the Evaluation and Oversight Unit to the consultant by 10 February 2003.

The consultant will incorporate responses to these comments in the report and present a final version of the evaluation report to UNEP in English by 15 February 2003. This report should be presented in written form and in electronic (MSWord) format. The core report should not exceed thirty pages. All annexes should be typed.

VI. THE CONSULTANT

The consultant should preferably be on the roster of experts of the scientific and technical appraisal Panel of GEF, have an advanced university degree in a relevant discipline and have demonstrated expertise in the area of climate change and GEF projects. Previous experience in the evaluation of United Nations programmes will be an advantage. The candidate should have at least ten years experience in the field of climate change or in a related environmental field.

Key contacts at UNEP-Gigiri, Nairobi:

Mr. Ravi SHARMA
Task Manager, Climate Change Enabling Activities, Division of Policy Development and Law (DPDL),
Tel.: (254-2) 624215
E-mail: ravi.sharma@unep.org

Mr. Ahmed DJOGHLAF
Executive Co-ordinator
Global Environment Facility
Scientific & Technical Advisory Panel, UNEP/GEF-STAP,
Tel.: (254-2) 624166
E-mail: ahmed.djoghlaf@unep.org

Mr. Segbedzi NORGBEY
Chief, Evaluation and Oversight Unit (EOU)
Tel.: (254-2) 624161
E-mail: segbedzi.norgbey@unep.org

Annex II

LIST OF MEETINGS AND MAIN PERSONS MET

18 December 2002 (Wednesday)

09:00 Meeting with the Institute of Meteorology and Hydrology: Mr. Tran Duy Binh, Mr. Tran Thuc, Mr. Nguyen Trong Hieu, Mr. Nguyen Mong Cuong, Mr. Le Nguyen Tuong, Ms. Le Thi Bao Ngoc and Ms. Mguyen Thi Thanh Hai.

14:00 Meeting with the Ministry of Natural Resources and Environment: Mr. Tran Duc Hai and Mr. Nguyen Khac Hieu.

19 December (Thursday)

08:30 Meeting with Electricity of Viet Nam: Mr. Hoang Quoc Vuong, Mr. Nguyen Tien Thanh.

09:30 Meeting with the Ministry of Industry: Mr. Nguyen Gia De, and Mr. Le Tuan Phong.

10:30 Meeting with the Ministry of Transport: Mr. Nguyen VanSiem, Mr. Vu Tru, and Mr. Hoang Van Thach.

14:00 Meeting with the Research Centre of Energy and Environment (non-governmental organizations): Mr. Nguyen Duc Minh and Mr. Nguyen Tien Nguyen.

15:00 Meeting with the Ministry of Education and Training: Mr. Hoang Ngoc Ha and Mr. Chu Duc Nha.

16:00 Meeting with the Viet Nam Union of Science and Technology Association (VUSTA): Mr. Nguyen Mnh Don, and Mr. Ngo Thuan Khiet.

20 December (Friday)

08:30 Meeting with the National Environment Agency/ GEF Focal Point: Ms. Hoang Thanh Nhan.

09:30 Meeting with the Department of Science, Technology and Product Quality Management: Mr Dinh Vu Thanh.

10:30 Meeting with the Ha Noi University of Technology: Mr. Tran Van Binh, Ms. Pham Thu Ha, Ms. Nguyen Thi Mai Anh and Ms. Phan Dieu Huong.

14:00 Meeting with the Institute of Forestry Science: Mr. Do Dinh Sam, and Mr. Trieu Van Hung.

15:30 Meeting with UNDP: Ms. Mihoko.

23 December (Monday)

08:30 Meeting with the Energy Conservation Programme, Ministry of Science and Technology: Mr. Nguyen Ba Vinh.

09:30 Meeting with the Department of International Cooperation, Ministry of Science and Technology: Mr. Le Dung

10:30 Meeting with the Institute of Energy: Mr. Pham Khanh Toan and Mr. Do Thiet Hung.

14:00 Meeting with the National Institute of Agricultural Planning and Projection, Ministry of Agriculture and Rural Development: Mr. Vu Cong Lan.

15:00 Meeting with Technology Expert Team and Television Programs (Wrap-up meeting).

24 December (Tuesday)

09:00 Meeting with the Hydro-Meteorological Service: Mr. Bui Van Duc.

10:00 Wrap-up meeting with the Institute of Meteorology and Hydrology.

Annex III

LOGBOOK OF THE VIET NAM CLIMATE CHANGE ENABLING ACTIVITY PROJECT

Preparation of draft proposal (August 1997 – May 1998)

9-13 August 1997: UNEP Fact-finding mission to Viet Nam

27 May 1998: Endorsement letter from the Government of Viet Nam

17 June 1998: Comments from the GEF Secretariat

4 November 1998: Ministry of Science, Technology and Envrionment's agreement on budget adjustments

6 November 1998: GEF approval

Internalization (December 1998- March 1999)

8 December 1998: Request to the Institute of Meteorology and Hydrology to sign the project document

3 March 1999: Project document signed by Director of the Institute of Meteorology and Hydrology

8 March 1999: First disbursement

12 March1999: UNEP's notification that the project document formally signed

Project implementation phase 1:Greenhouse Gas Inventory (April 1999 – December 1999)

14 April 1999: First VNCCCT meeting to discuss the initial work plan and the original project outline

21-22 April 1999: National Workshop on the Preparation National Communications to UNFCCC (Project Launching Workshop)

12 July 1999: First quarterly expenditure and progress reports (1 April – 30 June 1999)

8 September 1999: First workshop on the identification of greenhouse gas mitigation options in Viet Nam convened.

1 November 1999: Second quarterly expenditure and progress reports (1 July –30 September)

6 December 1999: Workshop to finalize the Greenhouse Gas Inventory convened (Completion of Activity 2)

Project implementation phase 2: Mitigation options (January 2000 – June 2000)

24 January 2000: Third quarterly expenditure and progress reports (1 October-31 December)

1-3 March 2000: Participation of Institute of Meteorology and Hydrology staff in the ASEAN Workshop on UNFCCC National Communications held in Malaysia.

? March 2000: GEF Secretariat's Mission to Viet Nam to see the project progress

? April 2000: Fourth quarterly expenditure and progress reports (1 January- 31 March)

8 May 2000: The Institute of Meteorology and Hydrology's request for the second cash advance

10-12 May 2000: The staff of the Institute of Meteorology and Hydrology staff participated in the vulnerability and adaptation workshop in Jakarta, Indonesia, organized by UNDP

6 June 2000: Concluding workshop on "Results of Activity 3 of the Project: Mitigation Options" (Completion of Activity 3)

Project implementation phase 3: Vulnerability and adaptation assessment and the other activities (July 2000-May 2001)

22 July 2000: National Study Team expert meeting to initiate vulnerability and adaptation assessments.

11 August 2000: Fifth quarterly expenditure and progress reports (1 April- 30 June)

20 September 2000: Approval of the second cash advance and the extension of the project until July 2001

15 March 2001: Approval of second extension until December 2001.

21 March 2001: Second VNCCCT meeting to consider the revised work plan

29 March 2001: Concluding workshop on vulnerability and adaptation assessment in Viet Nam (Completion of activities 4 and 5)

Project implementation phase 4: National Communication (June 2001- December 2002)

15 June 2001: Start-up workshop on Initial National Communication (Draft)

26 July 2001: Sixth expenditure report (July-December 2000)

15 August 200: Third VNCCCT meeting to consider the outline of the draft Initial National Communication

19 September 2001: UNEP's approval on reallocation of budget lines

5 November 2001: Seventh quarterly expenditure and progress report (January-June 2001)

? January 2002: Request to UNEP to comment on the second draft of the Initial National Communication

12 February 2002: Second workshop to discuss the Initial National Communication (Draft)

8 April 2002: Comments on chapter IV on vulnerability and adaptation options by UNEP's Task Manager,

19-20 August 2002: Concluding workshop for stakeholders on the Initial National Communication (Completion of activity 9)

5 September 2002: The Institute of Meteorology and Hydrology's response to UNEP's comments of 8 August with the revised Initial National Communication document.

25 November 2002: Eighth quarterly expenditure and progress report (July 2001-October 2002)

Annex IV

ALTERNATIVE RATING OF THE PROJECT

In this report, the evaluator attempted to evaluate the project broadly from the set of five criteria, i.e., project achievement, project management, impact and sustainability, participation, and relevance. This categorization is basically in line with the evaluation criteria contained in the document entitled the "GEF Monitoring and Evaluation Policies and Procedures" prepared in January 2002. Since this document was agreed to by the GEF secretariat and the three implementing agencies, i.e., UNDP, UNEP and the World bank, the evaluation criteria proposed by the document must have wider acceptance. They are considered more comprehensive and systematic than the criteria suggested by the terms of reference for this evaluation. It is important, however, to note that all the eight original criteria have been appropriately accommodated into the five broad evaluation criteria adopted by this evaluation.

How is the project evaluated against the broader five criteria adopted by this evaluation? The following is the preliminary result.

(a) Accomplishments of the project

(i) Rating

Excellent 1 90-100 per cent	Very Good 2 75-89 per cent	Good 3 60-74 per cent	Satisfactory 4 50-59 per cent	Unsatisfactory 5 < 49 per cent
x				

(ii) Weight: 50 per cent

(iii) Reasons: This is equivalent to "achievement of results and objectives". The main concern here is "how effective the project was in achieving the intended outcomes". As indicated in the previous sections, the project was quite effective and useful in achieving its objective and intended results. Therefore, it is rated "excellent".

The relative importance of this criterion to the project is obviously considered the most important. Thus, it is suggested that the weight assigned to this criterion be 50 per cent of the total score.

(b) Project management

(i) Rating

Excellent 1 90-100 per cent	Very Good 2 75-89 per cent	Good 3 60-74 per cent	Satisfactory 4 50-59 per cent	Unsatisfactory 5 < 49 per cent
			x	

(ii) Weight: 25 per cent

(iii) Reasons: The project has problems with institutional arrangements, financial management, time management, procurement and monitoring and evaluation, as detailed in the previous sections. All of these problems were managed by the project team in such a way that they did not affect the quality of the outcomes of the project. There was ample room, however, to address these problems in a much more timely and effective manner. Thus, the proposed rating for project management is "satisfactory".

The major concern of this criterion is efficiency. The second intended result of the project was also the efficiency of the project. Thus, the weight given to this criterion should be significant. Twenty-five per cent of the total score is suggested.

(c) Impact and sustainability

(i) Rating

Excellent 1 90-100 per cent	Very Good 2 75-89 per cent	Good 3 60-74 per cent	Satisfactory 4 50-59 per cent	Unsatisfactory 5 < 49 per cent
x				

(ii) Weight: 10 per cent

(iii) Reasons: The impacts created by the project are, of course, a very important point for this evaluation. The assessment of the sustainability of such impacts is also considered quite crucial. As indicated in the section on impact and sustainability, the project has successfully produced sustainable impacts by meeting the project objective and the planned results. Thus, it is rated "excellent".

This criterion, however, is not totally independent of the first criterion, "accomplishments of the project. As a matter of fact, the two intended results were equal to impacts. Thus, the weight given to this criterion is 10 per cent of the total score.

(d) Participation

(i) Rating

Excellent 1 90-100 per cent	Very Good 2 75-89 per cent	Good 3 60-74 per cent	Satisfactory 4 50-59 per cent	Unsatisfactory 5 < 49 per cent
		x		

(ii) Weight: 10 per cent

(iii) Reasons: The project was very successful in involving a group of selected scientists in Viet Nam in the project. However, the extent to which other major stakeholders the private sector, non-governmental organizations and community groups) were involved is questionable. Although a good effort was made, a great deal remains to be done with regard to public awareness on climate change. Thus, the proposed rating is "good".

This is again not totally an independent criterion. It has a great deal to do with the sustainability and attainment of outputs. The latter is a basis for assessing the first criterion, project achievement. Thus, the weight to be allotted to this criterion is 10 per cent.

(e) Relevance

(i) Rating

Excellent 1 90-100%	Very Good 2 75-89%	Good 3 60-74%	Satisfactory 4 50-59%	Unsatisfactory 5 < 49%
	x			

(ii) Weight: 5 per cent

(iii) Reasons: The project was quite relevant to Viet Nam because the preparation of the Initial National Communication was an obligation under the Convention. Indeed, the project was intended to help Viet Nam to meet its international obligation. Thus, the project was also very relevant internationally. However, the project did not come up with any specific recommendations to improve relevant international

guidelines concerning climate change. The regional implications were not so significant. The proposed rating is, therefore, "very good".

The proposed weight given to this criterion is only 5 per cent because this is almost equal to asking if the project itself was useful. The answer to this question is, of course, positive because this is a standard enabling activity project agreed on by all contracting parties at the Conference of the Parties to the Convention.

(f) Overall rating

The overall rating is calculated as follows:

(1 x 50%) + (4 x 25%) + (1 x 10%) + (3 x 10%) + (2 x 5%) = 2.0
