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## NEMA Study Tour

25<sup>th</sup> to 28<sup>th</sup> July 2016

# REPORT ON LESSONS LEARNED



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## **ACRONYMS**

<b>AF</b>	Adaptation Fund
<b>BMUB</b>	Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
<b>COMNACC</b>	Comité National Changement Climatique (National Climate Change Committee)
<b>CSE</b>	Centre de Suivi Ecologique
<b>COP</b>	Conference of Parties
<b>DA</b>	Designated Authority
<b>EE</b>	Executing Entity
<b>EIA</b>	Environmental Impact Assessments
<b>GCF</b>	Green Climate Fund
<b>NDA</b>	National Designated Authority
<b>NEMA</b>	National Environment Management Authority
<b>NGO</b>	Non-Government Organization
<b>NIE</b>	National Implementing Entity
<b>UNDP</b>	United Nations Development Programme
<b>UNEP</b>	United Nations for Environment Programme
<b>WRI</b>	World Research Institute

## I. Context and overall objective

As part of the [GCF Readiness Program](#), a capacity building activity took place on July 25-28, 2016 in Dakar, Senegal. The study tour sought to provide a space for peer learning between the National Environment Management Authority (NEMA) of Kenya and the Centre de Suivi Ecologique (CSE) of Senegal. These institutions have high ambition in deploying international climate finance as national implementing entities (NIEs) for the Adaptation Fund and the Green Climate Fund (GCF). This report aims to capture the main lessons learned from the activity.

## II. Main lessons learned per topic area

### 2.1. Programing (project identification, development, and submission)

The presentations and discussions showcased the experience of CSE and NEMA with project identification as well as project proposal development and submission. They emphasized best practices and strategies to deal with challenges in view of the Adaptation Fund and GCF requirements.

Lessons learned included:

- **Approaches to project identification and selection:** There are many approaches to identify and select a project for the Adaptation Fund (AF) or the Green Climate Fund (GCF) funding. Project ideas are identified and developed by different means, including a call for proposals and direct submission. Each approach has pros and cons. Regardless of the approach, solid knowledge of the funds' areas of intervention and/or mission is fundamental to successfully select a project and make the case to access funding. Clear baselines to select the project in view of national priorities and fund's mission would facilitate project selection. Project selection is often made by a technical committee based on predefined criteria/baselines.
- **The role of the Designated Authority (DA) or National Designated Authority (NDA):** The involvement of the DA and NDA in the context of the Adaptation Fund and GCF respectively, greatly facilitates the project selection process. It allows obtaining their buy-in and political support throughout the process, from project selection to project implementation. For example, in many cases, the NDA/DA is the institution that can request GCF's and Adaptation Fund grant support to help NIEs fulfil their functions. In the case of the GCF, an NIE can directly request a grant for project preparation without the NDA endorsement. Yet, a project proposal needs the NDA's endorsement/no-objection to be submitted to the funds. Knowledge of the project outcomes by the DA/NDA is also highly desirable because it can help communicate at different levels and for the relevance of the work carried out by national institutions.
- **Project proposal development and submission:** The NIE should pay special attention to the environmental impact assessments (EIAs) for both AF and GCF funding proposals. Both Funds require the inclusion of these assessments in the project proposal. Vulnerability study, feasibility study, economic analysis and baseline definition are likely to be requested. As these assessments could take a significant portion of the budget assigned to project design, NIEs should consider accessing the grant support by the GCF Project Preparation Facility (up to US\$ 1, 5 million) and by the AF (up to US\$ 30,000) to pay for such expenses.

## 2.2. Procurement

In this session of the study tour, participants listened to a presentation regarding CSE's overall procurement policy, procurement plan, and strategies to overcome issues with implementation of the policy. Participants recognized that their approaches towards procurement differ because their institutions were different in nature; CSE is an association of public utility with more flexibility to decide on its procurement policy, and NEMA is a semi-autonomous government entity legally bounded by the Kenyan national procurement law. An interesting discussion around the experiences of NEMA and CSE with procurement followed, of which 2 lessons stood out.

- **A robust procurement policy, plan, and procedures allow for greater transparency, competitiveness, and efficiency.** Regardless of the nature of the NIE (e.g. association or government entity), manuals and a procurement plan greatly facilitate the implementation of the procurement policy.
  - The procurement plan should contain a detailed description of the procurement processes, required documentation, and clear deadlines. If, for example, an employee involved in/responsible for procurement leaves the institution the plan will avoid unnecessary delays because the plan would help the replacement come up to speed.
  - NIEs should work with EEs to build their capacity on procurement procedures. In the training and regular communications, the NIE should make sure that EEs have the same understanding of what is required by the policy. The NIE's procedure should apply to all EEs.
- The Adaptation Fund/GCF Secretariat is not expecting the NIEs to be perfect but instead to be capable to run good processes and mitigate risks and solve issues with the implementation of the processes.

## 2.3. Financial management & strategy

A presentation about financial management & strategy aimed to outline the best practices implemented by CSE regarding the management of the funding provided by the Adaptation Fund. The presentation sparked an interesting discussion about challenges and ways forward in the context of NEMA's projects. Some lessons learned can be highlighted.

- **CSE's financial management framework has the following main functions:** to execute payments to service providers, to disburse funds to EE and to prepare financial reports. Financial reporting takes place at two levels: reports from the EEs to the NIE and from the NIE to the Funds (Adaptation Fund or GCF). The former feeds into the latter. NIEs should include in the contracts with its EEs (see legal arrangements in the following section) the required documentation for financial reporting, including bank statements, original documentation for payments, etc. In that way, the NIEs ensure that they have access to the necessary information to meet the fund's requirements. The contracts should also specify the deadlines to present the reports.
- **Good practices for financial management:**
  - Exercise financial management functions with both strictness (internally and externally) and flexibility. CSE strengthened its internal control system, defined the roles for auditing, and trained its staff to fully comply with the funds' fiduciary standards. It was firm when requiring EEs to also comply with the standards. However, it emphasized the importance of working with the EEs and providing tools to address capacity gaps (flexibility).
  - CSE conducted site visits to answer questions by its EEs about how to prepare the reports. This greatly prevented unnecessary delays in reporting.

- CSE set a fixed exchange rate for the financial reporting from the start of project implementation to completion. The rule “first in first out” has been applied in the preparation of financial reports.
- CSE developed a template that greatly helped itself and its EEs tackle the demanding tasks for financial management and reporting. The template facilitated reporting at both levels.
- CSE hired an external auditor to ensure that its reporting met the fund’s requirements.

## 2.4. Project implementation strategy

A series of presentations around the legal arrangements, project management methodology, outcomes indicators, and reporting help increase understanding about potential strategies that NIEs can put in place to ease implementation of GCF and AF funded projects. The lessons below resounded among participants the most.

- Decisions around the **adequate institutional arrangements for project management** heavily depend on the needs and complexity of the project. For NEMA’s Adaptation Fund program, which consists of 11 projects, the institution created 3 committees. Each committee corresponds to a different level of management.
  - The Program Steering Committee plays the role of a policy harmonization unit, providing guidance on how the program should be implemented and resolve issues with its implementation.
  - The NIE Steering Committee ensures that NEMA is operating as a NIE successfully and it is composed by the departments of NEMA that help fulfil NIE responsibilities.
  - The Field Implementation Committees review quarterly work plans and recommend changes; link EEs with communities; oversee implementation of projects; prepare monthly reports on project implementation.

Complaints by individuals about the program or projects can be directed to any of the committees.

- **A diverse set of tools and manuals were developed by NEMA and CSE to bridge the capacity of EEs** and ensure that they have a clear understanding of the procurement policy, financial reporting, monitoring and evaluation, etc. EEs differed in the level of capacity, which added to the challenges when developing the tools and manuals and designing and implementing the trainings. Products included: finance and procurement manuals, risk and audit manual, grievance redress mechanism, communication strategy, and knowledge management strategy.
- **Legal arrangements** put in place for Adaptation Fund and GCF projects could be at the international or national level.
  - International: once the project proposal is approved, the fund and the NIE sign contracts that specify the general principles that will rule their relationship, responsibilities of each party, and operational issues (standards and procedures). The management of the funds is the responsibility of the NIE solely. The NIE only responds to the fund for the management of the funds and no other entity.
  - National: the NIE signs contracts or memoranda of understandings with its executing entities (EEs), which become the NIE’s executing partners. These legal documents outline the responsibilities of each party in relation to the project as well as the procedures, required documentation, project timeline, conflict resolution procedures, reporting requirements and deadlines, disbursement plans, and project management plans. All this should be in accordance with the standards and procedures set up in the legal agreements at the international level.

NIEs should pay special attention to the contracts and MoUs with its EEs, since a clear and robust set of rules would greatly facilitate project management and rule enforcement. Knowledge of the rules would help avoid unnecessary delays and uncertainty and diminish any source of misunderstanding from the side of EEs as well as other actors that may try to steer the project towards a different direction. The NIE should understand and master the monitoring frame of project/program activities to oversee the implementation and to observe reporting deadlines

- CSE shared details of its **project implementation document**, which was developed after gaining accreditation to the GCF, to explain its methodology/approach for project implementation to its EEs. The document contains project objectives as well as expected results, outcomes, and outputs. It also presents the institutional arrangements to manage the project and maps out the actors involved in project implementation and their roles per each stage of the project cycle. Furthermore, it outlines the project implementation procedures for procurement, financial reporting, M&E, etc., and the disbursement schedules.
  - CSE's EEs acknowledge the usefulness of this resource to diminish uncertainty about what capacities, documentation, and procedures were required for project implementation. When engaging with its EEs, CSE ensured that all had the same understanding of the document.
- The development of **impact indicators for adaptation projects** is challenging for the following reasons:
  - It is difficult to distinguish between action for resilience and adaptation intervention. It is fundamental to gauge the distinction to build the baselines and indicators.
  - Both resilience actions and adaptation interventions take time and hence, it is difficult to assess impact in the short and medium-term. Their outcomes accumulate over time and it is difficult to attribute responsibility for the outcomes.

Participants had the opportunity to discuss specific examples of indicators. CSE shared relevant material to guide the development of impact indicators.

## 2.5. Community mobilization and communication strategy

This session focused on the strategies that CSE put in place to effectively mobilize communities and for internal and external communications. The main takeaway from the session was that community mobilization and a sound communication strategy are key for a successful completion of the project and for its sustainability. Important messages from the discussion included:

- **Community mobilization** should be integrated into all stages of the project cycle, from project design to project implementation. The NIE should plan meetings and other activities for community mobilization. These should help collect the communities' opinion in relation to the project, increase their awareness, secure their buy-in, and build their capacity to manage the project assets after project completion.
  - Their feedback will help tailor the project activities to their needs and thus, to achieve the greatest impact. It will also identify and minimize potential overlaps with other on-going initiatives.
  - Their awareness and buy-in can ease implementation and avoid unnecessary delays. For example, some authorities request community approval to issue permits.
  - Training communities to manage the project assets after project completion facilitates the sustainability of the project outcomes.

- Community mobilization should be carefully synchronized with other project activities. For the Adaptation Fund project implemented by CSE, Green Senegal carried out activities for community mobilization. These were scheduled to run simultaneously with other project activities including the construction of a sea wall. Since the construction of the sea wall got delayed and the community mobilization was completed on time, communities actively expressed concern and even disappointment about the delays. Ideally, the activities for community mobilization should have taken place at the same pace as the construction of the sea wall. This would have maintained their trust in the project.
- The NIE should scope for institutions that are well positioned to carry out community mobilization. Ideally, these institutions should have local presence, experience, and the trust of the communities.
- A robust communication strategy helps NIEs promote its work at multiple levels (at the community, national, and international level). Additionally, it helps informed decision-makers within the organization about issues that need to be addressed in a timely manner as well as opportunities to achieve greater impact. Participants to the study tour acknowledged the importance of both internal and external communication systems and the use of innovative resources and venues to communicate the NIEs work (e.g. events in the COP to target international actors).

### III. Other Lessons learned

- NIE's should have a long term vision for climate finance, which should include strategies to target other financial sources. NIEs are well positioned to channel funding beyond the AF and GCF.
- NIE's should see the accreditation as a learning process, because financial mechanisms are in constant evolution.
- Having an oversight institutional setup at the national level like the COMNACC in Senegal can ease project implementation since the NIE can rely on this body to improve coordination of actions and obtain the buy-in of relevant actors.
- The NIE must ensure a systematic and rigorous oversight of the project/program activities. This allows anticipating and tackling most implementation issues in early stages. The NIE should also maintain a reasonable balance between overseeing and coaching/support: relationship with EEs must be collaborative.
- Making scientific concepts like climate change more digestible to communities can facilitate their participation and enhance their ownership on climate change issues.

### IV. Future prospects

NEMA and CSE representatives acknowledged the importance of south-south dialogue and peer learning in building the capacity of national institutions to access and deploy climate finance effectively. Recognizing the need to continue collaboration, they dedicated the last session of the study tour to discuss next steps.

- **Peer learning in Kenya:** NEMA representatives expressed great desire to host a peer learning event for African implementing entities before COP22. The event will convene project coordinators as well as DAs/NDAs and some executing entities. Details on the agenda, time, and location will follow.
- **Community of Practice for African Implementing Entities:** CSE (Déthié) is putting together a concept note for the constitution of a Community of Practice for African NIEs. This initiative will facilitate access and deployment of climate finance by national institutions by providing innovative resources/materials and convening activities for peer learning. At the moment, CSE is working to gain support for the initiative and

to launch it in a side event in COP22. Supporters of the initiative include the African Development Bank and other NIEs. The Community will include:

- A virtual platform with relevant resources and materials in different languages.
- Hubs of information, tools, and human resources to help national institutions build their capacity for climate finance. There will be 4 hubs across Africa, naming Morocco, Senegal, Kenya, and South Africa.
- NEMA also hinted at **potential areas for future readiness support** by NGOs, international organizations, and national institutions.
  - Differentiated readiness support for NIEs and EEs. NIEs could benefit from strengthening their negotiation, programing, and budgeting skills. EEs would benefit from readiness support that focuses on reporting, M&E, and procurement.
  - In view of GCF funding opportunities, support for project development and validation that NIE's processes comply with fund's requirements are needed.
  - Support to scaling up activities that have been identified as a priority for the country.
  - Strategies to develop media campaigns to promote NIEs work.
  - Financial and technical support to organize exchange programs for communities, facilitating knowledge exchange of best practices.

## V. Annex

### Agenda and List of Participants



### Study tour for NEMA 25<sup>th</sup> – 28<sup>th</sup> July 2016 Dakar

#### Agenda

#### **Lundi / Monday 25-07-2016**

**Objective day 1:** (i) introduce both structure: CSE and NEMA; (ii) present CSE & NEMA's programme /project governance model (*Administrative and financial procedure*); (iii) *exchange information on project submission and procurement*

**09:00 - 09:30** Welcome address of the CSE's Director General and Speech of NEMA's Director General

**09:30 – 09:50** Introduction of participants

**09:50 – 10:15** Presentation of NEMA: history, mandate, statute, organization, partnerships and business model

**10:15 – 10:30** Presentation of the CSE: history, statute, mandate, organization, partnerships, And business model

**10:30 – 11:00** Discussions

**11:00 – 11:30** **COFFEE BREAK**

**11:30 – 12:00** Presentation of NEMA's program/project management framework (administrative, financial, technical) (30 minutes)

**12:00 – 12:30** Presentation of CSE's program/project management framework (administrative, financial, technical) (30 minutes)

**12:30 – 13:15** Discussions 45 minutes

**13:15 – 14h45** **LUNCH (1h 30)**

The path to project submission and procurement issues

**16:50 – 17:15** Wrap-up (25 minutes)

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## **Mardi / Thursday 26-07-2016**

**Objective day 2:** (i) Visit to Adaptation Funds NDA; (ii) Project programming and procurement (iii) lessons learnt after project completion

**10: 00 – 13:00** Visit to NDA

1- Brief presentation of the NEMA team and the mission (15 minutes)

2- AF and GCF's NDA: (15 minutes)

✓ Team, mandate, challenges (decision-making, project ideas screening...)

✓ NDAs interactions with the NIE (Climate Finance Unit): endorsement, no-objection

Discussions

**13:30 – 15:00 LUNCH**

**15:00 - 15:15** Restitution of day 1

**15:15 – 15:25** Discussions

**15:25 – 15:35** Programming: project identification, development and submission

**15:35 – 16:05** Procurement: plan, implementation and issues

**16:05 – 16h35** Discussions

**16:35 – 16:45** Measuring resilience outcomes after programme completion

**16:45 – 17:00** Discussions

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## **Mercredi / Wednesday 27-07-2016**

**Objective day 3:** (i) presentation of project/program implementation strategy and lessons learnt; (ii) Presentation of financial management; (iii) The NDAs / Focal Points key role in the accreditation process and in the endorsement (No-objection) of projects and programmes (GCF);

**09:00 – 09:15** Restitution of day 2

**09:15 – 09:30** Discussions

❖ **Financial Management**

**09:30 – 09:45** Financial Management AF project experience and financial strategy

**09:45 – 10:15** Discussions

**COFFEE BREAK (30 minutes)**

❖ Project implementation strategy (focus on difficulties, lessons learnt):

**10:45 – 11:00** Legal arrangements: between CSE and the Funds on one hand, between CSE and the Executing agencies on the other hand

**11:00 – 11:10** Project management methodology

**11:10 – 11:30** Discussions

**11:30 – 11:40** CSE's experience in defining outcomes indicators

**11:40 – 12:00** Discussions

**12:00 – 12:15** CSE's experience in reporting on project progress/performance with an emphasis on impacts indicators (AF)

**12:15 – 12:45** Discussions

**12:45 – 14:00 LUNCH (1h30 minutes)**

**15:00 – 17:00**

❖ Visit to NDA

3- Brief presentation of the NEMA team and the mission

4- AF and GCF's NDA

✓ Team, mandate, challenges (decision-making, project ideas screening...)

✓ NDAs interactions with the NIE (Climate Finance Unit): endorsement, no-objection

Discussions

❖ Visit to COMNACC

1- Presentation of the NEMA team and mission

2- COMNACC executive team

✓ Mandate, organization (members, thematic groups ), challenges

✓ Presentation of 3 thematic groups (mitigation, adaptation and vulnerability, finance)

✓ Interactions between the COMNACC, the NDAs and the CSE (Climate Finance Unit)

Discussions

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**Jeudi / Thursday 28-07-2016**

**Objective day 4:** (i) Community mobilization (ii) Main findings (iii) Futures

**09:00 – 09:30** Restitution of day 3

**09:30 – 10:00** Discussions

**10:00 – 10:30** Community Mobilization

**10:30 – 11:00** Discussions

**11:00 – 11:30** **COFFEE BREAK**

**11:30 – 12:30** Main lessons drawn on both sides

**12:30 – 13:00** Futures prospects

**13:00 – 13:30** Closing

**13:30 – 14:30 LUNCH**

## List of Participants

### Sessions at CSE's Headquarters

N°	Prénom/Surname	Nom/Name	Function	Institution
1	Aïssatou	Diagne	Programme Assistant - Climate Finance Unit	CSE
2	Aissatou Boubou	Sall	Monitoring and Evaluation Officer	CSE
3	Beatrice	Nzioka	Deputy Director, Head of Monitoring and Evaluation	NEMA
4	Daouda	Guene	Chief Accountant	CSE
5	David	Mwangi	Chief Internal Auditor,	NEMA
6	Déthié Soumare	Ndiaye	Coordinator - Climate Finance Unit	CSE
7	Indira	Masullo Milano	Research Analyst	WRI
8	Joseph	Makau	Monitoring and Evaluation Officer	NEMA
9	Josephe C. Christella	Innack Elouga	Programme Officer - Climate Finance Unit	CSE
10	Kamau Sarah	Muthoni	NIE - Knowlegde Management	NEMA
11	Kennedy Ocheng	Ochuka	Director of Finance and administration	NEMA
12	kipkosgei	Langat	Chief procurement Officer	NEMA
13	Kirumba	Wangare	NIE Coordinators	NEMA
14	Marième Soda	Diallo	Project Officer	CSE
15	Ndaruga Ayub	Macharia	Director of Environment Education and Public Participation, NIE Director	NEMA
16	Ndèye Coumba	Diop	Programme Assistant Readiness - Climate Finance Unit	CSE
17	Ndèye Ouleye	DIOP	Financial and Administrative Assitant	CSE
18	Peter	Obiere	NIE Accountant	NEMA
19	Thioro coudou	Niang	Communication Officer	CSE

## Visit to the NDA AF

N°	Prénom/Surname	Nom/Name	Fonction	Institution
20	Ndèye Fatou Diaw	Guene	Direction of Environment and Classified Establishments/ Technical Advisor	NEMA

## Visit to the NDA GCF & COMNACC

N°	Prénom/Surname	Nom/Name	Fonction	Institution
21	Doudou	Ndiaye	Advisor	MEDD
22	Elhadji Mbaye	Diagne	Technical Coordinator (Transfert)	COMNACC
23	Madeleine Diouf	Sarr	Head of Climate Change Division (DECC)	DCC/MEDD
24	Boubacar	Fall	Professor	UCAD
25	Gabriel	Ndiaye	Assistant (DECC)	DCC/MEDD
26	Papa Lamine	Diouf	-	DECC/MEDD
27	Ahmadou tidiane	Barry	-	DECC/MEDD
28	Lamine	Diatta	Technical Assistant	DECC/MEDD