



OFFICIAL USE ONLY

IDA/R2017-0098/1

April 7, 2017

<p>Closing Date: Wednesday, April 26, 2017 at 6 p.m.</p>

FROM: Vice President and Corporate Secretary

Ghana - Dedicated Grant Mechanism for Local Communities Project

Project Appraisal Document

Attached is the Project Appraisal Document regarding a proposed grant from the Strategic Climate Fund to the Solidaridad Network West Africa for a Ghana Dedicated Grant Mechanism for Local Communities Project (IDA/R2017-0098), which is being processed on an absence-of-objection basis.

Distribution:

Executive Directors and Alternates
President
Bank Group Senior Management
Vice Presidents, Bank, IFC and MIGA
Directors and Department Heads, Bank, IFC and MIGA

This document has a restricted distribution and may be used by recipients only in the performance of their official duties. Its contents may not otherwise be disclosed without World Bank Group authorization.

Document of
The World Bank

FOR OFFICIAL USE ONLY

Report No: PAD1939

INTERNATIONAL DEVELOPMENT ASSOCIATION

PROJECT APPRAISAL DOCUMENT

ON A

PROPOSED GRANT

IN THE AMOUNT OF US\$5.5 MILLION

FROM

THE STRATEGIC CLIMATE FUND

TO THE

SOLIDARIDAD NETWORK WEST AFRICA

FOR A

GHANA-DEDICATED GRANT MECHANISM FOR LOCAL COMMUNITIES PROJECT

April 5, 2017

Environment and Natural Resources Global Practice
AFRICA REGION

<p>This document has a restricted distribution and may be used by recipients only in the performance of their official duties. Its contents may not otherwise be disclosed without World Bank authorization.</p>
--

CURRENCY EQUIVALENTS

(Exchange Rate Effective February 28, 2017)

Currency Unit = New Ghanaian Cedi (GHS)
GHS 4.69 = US\$1.0

FISCAL YEAR

January 1 – December 31

ABBREVIATIONS AND ACRONYMS

CBA	Community-based Adaptation
CBO	Community-based Organization
CDD	Community-driven Development
CIF	Climate Investment Fund
COCOBOD	Ghana Cocoa Board
CPS	Country Partnership Strategy
CREMA	Community Resources Management Area
DGM	Dedicated Grant Mechanism
DM	District Manager
EOI	Expression of Interest
ESMF	Environment and Social Management Framework
FAO	Food and Agricultural Organization
FC	Forestry Commission
FCPF	Forest Carbon Partnership Framework
FIP	Forest Investment Program
FM	Financial Management
G-DGM	Ghana Dedicated Grant Mechanism for Local Communities Project
GDP	Gross Domestic Product
GEA	Global Executing Agency
GHG	Greenhouse Gas
GoG	Government of Ghana
GRM	Grievance Redress Mechanism
GRS	The World Bank's Grievance Redress Service
GSBA	Globally Significant Biodiversity Areas
GrSC	Grievance Subcommittee
GSC	Global Steering Committee
IFR	Interim Financial Report
LC	Local Communities
LCS	Least-Cost Selection
M&E	Monitoring and Evaluation
MLNR	Ministry of Lands and Natural Resources
MDB	Multilateral Development Bank
MOU	Memorandum of Understanding
NCB	Memorandum of Understanding National Competitive Bidding
NEA	National Executing Agency

NGO	Nongovernmental Organization
NRM	Natural Resources Management
NSC	National Steering Committee
PAD	Project Appraisal Document
PDO	Project Development Objective
PF	Process Framework
P-ESMF	Programmatic Environmental and Social Management Framework
POM	Project Operational Manual
QCBS	Quality- and Cost-Based Selection
RD	Regional Director
REDD+	Reducing Emissions from Deforestation and Forest Degradation plus Conservation of Forest Carbon Stocks, Sustainable Forest Management, and Enhancement of Forest Carbon Stocks
SBD	Standard Bidding Document
SCF	Strategic Climate Fund
SWA	Solidaridad West Africa
tCO ₂ e	Climate Dioxide Equivalents expressed in tons
TOR	Terms of Reference
WBG	World Bank Group
WTS	Wood Tracking System

Regional Vice President:	Makhtar Diop
Country Director:	Henry Kerali
Senior Global Practice Director:	Karin Kemper
Practice Manager:	Magda Lovei
Task Team Leader:	Nyaneba Nkrumah

REPUBLIC OF GHANA
Dedicated Grant Mechanism for Local Communities Project (P145316)
TABLE OF CONTENTS

	Page
I. STRATEGIC CONTEXT	1
A. Country Context.....	1
B. Sectoral and Institutional Context.....	3
C. Higher-Level Objectives to which the Project Contributes	4
II. PROJECT DEVELOPMENT OBJECTIVES (PDOs)	6
A. PDO.....	6
B. Project Beneficiaries	6
C. PDO-Level Results Indicators	6
III. PROJECT DESCRIPTION	7
A. Project Components	7
B. Project Costs and Financing.....	10
IV. IMPLEMENTATION	11
A. Institutional and Implementation Arrangements	11
B. Results Monitoring and Evaluation	12
C. Sustainability.....	13
V. KEY RISKS AND MITIGATION MEASURES	1
A. Risk Ratings Summary Table	13
B. Overall Risk Rating Explanation	13
VI. APPRAISAL SUMMARY	15
A. Economic and Financial Analyses	15
B. Technical.....	17
C. Financial Management.....	18
D. Procurement	19
E. Social (including Safeguards)	20
F. Environment (including Safeguards)	20
G. World Bank Grievance Redress	22

Annex 1: Results Framework and Monitoring	23
Annex 2: Detailed Project Description.....	27
Annex 3: Implementation Arrangements	49
Annex 4: Implementation Support Plan	76
Annex 5: Template for Grant Proposals.....	79
Annex 6: Establishing the NSC and Community Perceptions and Concerns	83
Annex 7: Detailed Summary of CBOs Operational at the Project Sites.....	95
Annex 8: Grievance Redress Mechanism.....	114
Annex 9: Documenting Cash Grant Expenditure.....	117
Map (IBRD 33411).....	118

PAD DATA SHEET

Ghana

Dedicated Grant Mechanism for Local Communities Project (P145316)

PROJECT APPRAISAL DOCUMENT

AFRICA

0000009270

Report No.: PAD1939

Basic Information			
Project ID P145316	EA Category B - Partial Assessment	Team Leader(s) Nyaneba E. Nkrumah	
Lending Instrument Investment Project Financing	Fragile and/or Capacity Constraints []		
	Financial Intermediaries []		
	Series of Projects []		
Project Implementation Start Date 26-Apr-2017	Project Implementation End Date 29-Apr-2022		
Expected Effectiveness Date 26-Jul-2017	Expected Closing Date 29-Apr-2022		
Joint IFC No			
Practice Manager/Manager Magda Lovei	Senior Global Practice Director Karin Erika Kemper	Country Director Henry G. R. Kerali	Regional Vice President Makhtar Diop
Approval Authority			
Approval Authority Board/AOB Decision Per the provisions of the Strategic Climate Fund Administrative Agreement whose establishment was approved by the Executive Directors of the Bank (M2008-0052[IDA/M2008-0052]).			
Borrower: Solidaridad			
Responsible Agency: Solidaridad			
Contact: Telephone No.: 0302552869	Isaac Gyamfi	Title: Director	Email: Isaac.Gyamfi@solidaridadnetwork.org

Project Financing Data(in USD Million)											
<input type="checkbox"/>	Loan	<input type="checkbox"/>	IDA Grant	<input type="checkbox"/>	Guarantee						
<input type="checkbox"/>	Credit	<input checked="" type="checkbox"/>	Grant	<input type="checkbox"/>	Other						
Total Project Cost:		5.50				Total Bank Financing:		0.00			
Financing Gap:		0.00									
Financing Source						Amount					
Strategic Climate Fund Grant						5.50					
Total						5.50					
Expected Disbursements (in USD Million)											
Fiscal Year	2017	2018	2019	2020	2021	2022					
Annual	0.50	1.00	1.50	1.50	0.50	0.50					
Cumulative	0.50	1.50	3.00	4.50	5.00	5.50					
Institutional Data											
Practice Area (Lead)											
Environment & Natural Resources											
Contributing Practice Areas											
Proposed Development Objective(s)											
The PDO is to strengthen knowledge and practices of targeted local communities in the Select Regions of the Member Country in REDD+ processes and sustainable forest management.											
Components											
Component Name						Cost (USD Millions)					
Component 1: Capacity Building for Local Communities						1.00					
Component 2: Sustainable and Adaptive Community Initiatives						3.50					
Component 3: Project Governance, Monitoring, and Evaluation						1.00					
Systematic Operations Risk- Rating Tool (SORT)											
Risk Category								Rating			
1. Political and Governance								Substantial			
2. Macroeconomic								Moderate			

3. Sector Strategies and Policies	Low
4. Technical Design of Project or Program	Substantial
5. Institutional Capacity for Implementation and Sustainability	Substantial
6. Fiduciary	Substantial
7. Environment and Social	Moderate
8. Stakeholders	Substantial
9. Other	
OVERALL	Substantial
Compliance	
Policy	
Does the project depart from the CAS in content or in other significant respects?	Yes [] No [X]
Does the project require any waivers of Bank policies?	Yes [] No [X]
Have these been approved by Bank management?	Yes [] No []
Is approval for any policy waiver sought from the Board?	Yes [] No [X]
Does the project meet the Regional criteria for readiness for implementation?	Yes [X] No []
Safeguard Policies Triggered by the Project	Yes No
Environmental Assessment OP/BP 4.01	X
Natural Habitats OP/BP 4.04	X
Forests OP/BP 4.36	X
Pest Management OP 4.09	X
Physical Cultural Resources OP/BP 4.11	X
Indigenous Peoples OP/BP 4.10	X
Involuntary Resettlement OP/BP 4.12	X
Safety of Dams OP/BP 4.37	X
Projects on International Waterways OP/BP 7.50	X
Projects in Disputed Areas OP/BP 7.60	X
Legal Covenants	
Name	Recurrent Due Date Frequency
Grievance redress mechanism	

Description of Covenant				
Sch 2, section II, 2 (b). By no later than six (6) months after the Effective Date, establish, and thereafter maintain throughout the implementation of the Project, a grievance redress mechanism, acceptable to the World Bank, for the management of grievances and complaints related to the Project.				
Conditions				
Source Of Fund	Name			Type
CSCF	Project Operational Manual and Grant Manual			Effectiveness
Description of Condition				
Article V. 5.01 (b) The Recipient has adopted the Project Operational Manual and the Grant Manual in a manner satisfactory to the World Bank.				
Source Of Fund	Name			Type
CSCF	Procurement Specialist			Effectiveness
Description of Condition				
Article V. 5.01 (c) The Recipient has recruited a procurement specialist with qualifications, experience and terms of reference acceptable to the World Bank and in accordance with the provisions of Section III of Schedule 2 to this Agreement.				
Team Composition				
Bank Staff				
Name	Role	Title	Specialization	Unit
Nyaneba E. Nkrumah	Team Leader (ADM Responsible)	Sr Natural Resources Mgmt. Spec.	NRM	GEN04
Charles John Aryee Ashong	Procurement Specialist (ADM Responsible)	Senior Procurement Specialist	Procurement	GGO01
Robert Wallace DeGraft-Hanson	Financial Management Specialist	Sr Financial Management Specialist	Finance	GGO31
Charity Boafo-Portuphy	Team Member	Program Assistant	Admin	AFCW1
Dora Nsuwa Cudjoe	Safeguards Specialist	Senior Environmental Specialist	Environment Safeguards	GENGE
Michael Gboyega Ilesanmi	Safeguards Specialist	Social Development Specialist	Social Safeguards	GSU01
Nevena Ilieva	Team Member	Operations Adviser	Operations	GEN07
Nightingale Rukuba-Ngaiza	Counsel	Senior Counsel	Legal	LEGAM

Yesmeana N. Butler	Team Member	Program Assistant	Admin	GEN01	
Extended Team					
Name	Title	Office Phone	Location		
Adu Nyarko	Consultant				
Isabel Abrew	Consultant				
Locations					
Country	First Administrative Division	Location	Planned	Actual	Comments
Consultants (Will be disclosed in the Monthly Operational Summary)					
Consultants Required ? Consultants will be required					

I. STRATEGIC CONTEXT

A. Country Context

1. **The country.** Ghana is a country in West Africa with a land area of 238,535 km² and an estimated population of 26.2 million people. Ghana's economy remains heavily reliant on renewable natural resources. Over 70 percent of Ghana's population depends directly on natural resources for food, water, and energy. In 2015, Ghana's gross domestic product (GDP) was US\$47.7 billion, and GDP per capita was US\$1,730. The agricultural sector—which relies on well-managed land and water resources—contributed 21.5 percent of GDP. Agriculture, forestry, and agroforestry account for more than 50 percent of land use and employ about 60 percent of the population, including 53 percent of women. Ghana's economy is dominated by small and medium enterprises, which are mainly run by women and are crucial to growth, employment, and poverty reduction goals. Almost half the population lives in rural areas, and two-thirds of rural livelihoods rely on forest-related activities. Agriculture, dominated by cocoa, has been the backbone of the economy for decades, but gold and oil production have grown substantially in recent years.

2. **The economy.** Ghana's overall macroeconomic conditions have continued to deteriorate since the 2012 elections, with a large deficit lingering in 2015, fueling government debt and inflation, a sharp depreciation of its currency, and weaker economic growth. The fiscal deficit, which remains one of the biggest sources of vulnerability for the economy, reached 7.1 percent of GDP in 2015, down from 10.1 in 2014. The Ghanaian cedi depreciated against the U.S. dollar by 18.5 percent on the FOREX in 2015. The stabilization (from an earlier 43 percent depreciation in 2014) was due to the inflows of the Ghana Cocoa Board (COCOBOD) loan of US\$1.7 billion and a US\$1 billion Eurobond. Meanwhile, headline inflation reached 17.7 percent at the end of 2015, driven mainly by depreciation of the Ghanaian cedi and the pass-through effects of the fuel and utility prices on nonfood items.

3. **Environmental and social impacts.** Natural resource wealth has a critical role to play in contributing to sustainable growth and continued poverty reduction efforts. Renewable resources, such as forests and fisheries, that could contribute to revenues and economic development sustainably, are being severely depleted. Deforestation rates in Ghana are one of the highest in the world. According to a study published by the Wood Products Trade Group, an international tropical timber organization in Japan, Ghana's deforestation rate is 2.19 percent of forest per year. Of all 65 countries surveyed, Ghana had the third highest rate of deforestation. It has been estimated that environmental degradation in the major natural resource sectors costs 5–10 percent of GDP, with the forest sector accounting for 63 percent (US\$500 million) of this cost (Forestry Commission 2010b, reported by the REDD¹ desk, Ghana). According to the Food and

¹ Reducing emissions from deforestation and forest degradation. REDD is an effort to create a financial incentive for developing countries to protect, better manage, and wisely use their forest resources, contributing to the global effort to reduce emissions. REDD+ goes beyond deforestation and forest degradation and includes the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks. REDD+ aims to establish a global mechanism through which developing countries can receive payments for sequestering carbon or sustaining forests. REDD+ readiness relates to a country's efforts to build the legal, institutional, and operational

Agriculture Organization of the United Nations (FAO), 21.7 percent of land in Ghana (equivalent to 4,940,000 ha) is covered by forest (FAO 2010). Of this, 8 percent (395,000 ha) is classified as highly biodiverse and carbon-dense primary forest and 260,000 ha are plantations (FAO 2010). Deforestation has been identified as a critical environmental issue and Ghana has lost more than 33.7 percent of its forests, equivalent to 2,500,000 ha, since the early 1990s (FAO 2010). Between 2005 and 2010, the rate of deforestation was estimated at 2.19 percent per year, the sixth highest deforestation rate globally for that period (FAO 2010).

4. Ghana's REDD+ Readiness Preparation Proposal, developed with financial assistance channeled through the Forest Carbon Partnership Facility (FCPF), attributes the causes of deforestation to mainly economic, demographic, institutional, and policy-related factors, with activities such as small-scale agriculture, timber harvesting, land conversion, and mining being the principal drivers. In addition, Ghana is not able to stem the forest loss through enforcement of existing laws. Forest loss in Ghana is considered largely incremental rather than dramatic, that is, primarily degradation caused by multiple drivers rather than one major industrial driver.

Table 1. Direct and Indirect Drivers of Deforestation

Direct Drivers	
Agricultural Expansion	<ul style="list-style-type: none"> • Cocoa • Other tree crop systems. rubber, citrus, oil palm, coffee, cashew, and mango • Food crop farming. Plantain, cassava, maize, and yam; farmed under shifting cultivation using slash and burn
Logging	<ul style="list-style-type: none"> • Illegal logging. Timber companies and chainsaw operators
Fuelwood Harvesting	<ul style="list-style-type: none"> • Wood harvesting for charcoal production • Other fuelwood harvesting • Wildfires • Forest and savannah fires from slash and burn, cattle ranching, hunting, etc.
Mining	<ul style="list-style-type: none"> • Mining inside forest reserves • Illegal surface and other types of mining which strip whole areas bare. Commonly known as <i>galamsey</i> but which now requires a different name to denote that this is no longer small-scale mining but large-scale mining with heavy machinery
Infrastructure Development	<ul style="list-style-type: none"> • Urban and rural settlement expansion • Expansion of roads and infrastructure
Indirect Drivers	
Population Growth and Development	<ul style="list-style-type: none"> • Population growth • Increasing demand for food crops, fuelwood, charcoal, and construction materials

capacity to be prepared to engage in a global REDD+ mechanism. (<http://www.un-redd.org/FAQs/tabid/586/Default.aspx>).

Global Markets
<ul style="list-style-type: none"> • Increasing demand for high-value timber species • Growing global demand for chocolate and cocoa products • Increasing global and regional demand for palm oil • International market prices for timber and agricultural products
Weak Law Enforcement
<ul style="list-style-type: none"> • Illegal logging • Encroachment within forest reserves
Tree Tenure
<ul style="list-style-type: none"> • Tree tenure policies that create perverse incentives to remove on-farm trees
Low Stumpage Prices and Overcapacity
<ul style="list-style-type: none"> • Low stumpage prices in domestic market • Proliferation of chainsaws and small-scale mills

B. Sectoral and Institutional Context

5. **Ghana has a draft REDD+ strategy**, which outlines the goals of this program. REDD+ readiness aims to build the legal and institutional base as well as the awareness and constituency needed to participate in global performance-based payment systems. Ghana's Emissions Reduction Program Idea Note was accepted into the pipeline of the FCPF Carbon Fund for further development. Ghana is engaged in efforts to achieve REDD+, with support from the FCPF and the World Bank.

6. **The key REDD+ strategy** emphasizes avoided deforestation and degradation, carbon stock enhancement, biodiversity conservation, and sustainable forestry management. It is important to note that the draft REDD+ strategy has, as a goal, the reduction of the expansion of agroforestry and tree crops. This is particularly relevant in areas such as the Brong Ahafo and Western Regions where cocoa and tree crop farms are expanded (illegally) into forest areas. While, in general, there is a need to grow carbon stocks as naturally as possible by restocking the natural forest, the Dedicated Grant Mechanism for Local Communities Project (G-DGM) will focus on emphasizing these agroforestry ventures on farms that are further from the forests and where land is not a limiting factor.

7. **The Forest Investment Program (FIP) is one of the three programs** under the Strategic Climate Fund (SCF), a multi-donor trust fund established in 2009 under the Climate Investment Fund (CIF) partnership to provide fast-track climate financing to reduce deforestation and forest degradation in tropical countries.² The FIP in Ghana has a goal of reducing emissions lost through deforestation and degradation. Pilot activities under the FIP will invest in boundary planting, forest enrichment, reforestation of degraded areas, etc. The Dedicated Grant Mechanism for Local Communities Project (G-DGM) is an essential part of the FIP, focusing on local communities (LCs) in the FIP project area. The G-DGM was designed to promote the inclusion of forest-reliant communities in policy formulation and initiatives that seek to reduce deforestation and degradation and to facilitate the effective participation of LCs in the design and implementation of country-specific FIPs and to strengthen the capacity of these groups to play an

² For more information, please refer to the FIP Design Document ([link](#)).

informed and active role in the FIP, as well as in other local, national, and global REDD+ processes. The G-DGM was created and developed as a special window under the FIP. The G-DGM's basic design was approved by the FIP Subcommittee on October 31, 2011. For more information, refer to (a) the DGM Design Document³ and (c) the DGM Framework Operational Guidelines.⁴

8. **The DGM Program Structure** has a Global Steering Committee (GSC) which is responsible for the overall program governance, monitoring of program implementation, and mediation of grievances. It also provides the intellectual and policy leadership to the DGM, cultivates external relationships, and contributes to the expansion of the DGM program. The GSC's executions are through a Global Executing Agency (GEA), which is Conservation International, and their responsibility is to exchange experience and learning between DGM countries and increase the technical knowledge of LCs on REDD. The National Steering Committee (NSC) of the G-DGM reports to the GSC.

9. **The G-DGM follows the Framework Guidelines** and set of activities covered under the components designed for the Global DGM. In Ghana, the project will support capacity building and finance the demand-driven provision of grants to LCs, and community organizations of LCs⁵ in the Western and Brong Ahafo Regions to strengthen their understanding of FIP and other REDD+ processes at the local, national, and global levels as well as to increase their capacity to adapt to climate change. The G-DGM will prioritize its actions in the Western and Brong Ahafo Regions to promote synergies with the FIP, which also operates in these two regions, and FCPF projects. The G-DGM is expected to contribute to the strengthening of local/traditional⁶ communities in the project areas by (a) enhancing the capacities they need to strengthen their participation in the FIP and other REDD+ processes at the local, national, and global levels; (b) promoting the sustainable management of forest and natural resources through grant-funded subprojects; (c) promoting coping and adaptive strategies/livelihoods that will make them more resilient to man-made pressures and climate change (also through the grant-funded sub-projects); and (d) promoting synergies with the FIP project.

³ DGM Design Document ([link](#)).

⁴ Framework Operational Guidelines <http://www.climateinvestmentfunds.org/cif/node/12283>.

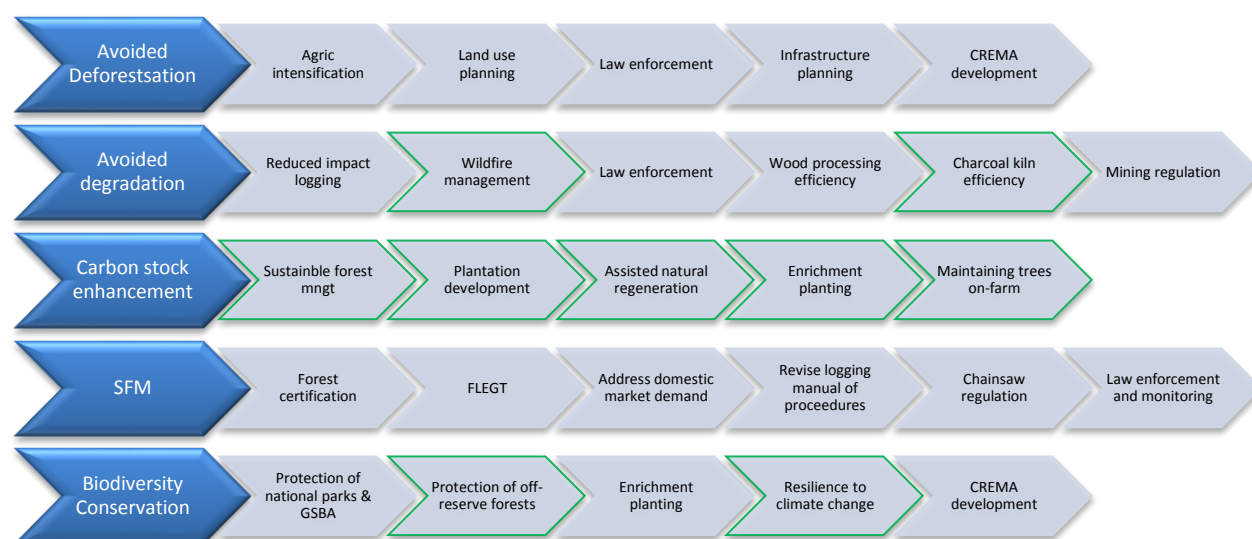
⁵ The G-DGM differs from other DGM projects in nomenclature. In Ghanaian parlance, one is either an indigenous person (native to that particular locality) or a migrant (moving in from other parts of Ghana and not native to that locality). Indigenous, therefore, in the Ghanaian context, is very different from the 'indigenous' term used in Latin America. Indigenous to areas in the Ghanaian context means that one is from that locality because one's family/ancestors come from that area. It excludes all others living in the area who are not, by lineage, from this area. Indigenous people are often more powerful than the nonindigenous living in the area and in a mixed society, tend to be the rural elites of that society. For this project, therefore, the word LCs is more significant and will be highlighted instead of indigenous communities to ensure inclusion of the most poor and to avoid the confusion of the Latin American term and the Ghanaian term. In addition, migrants (as well as women and youth) will be targeted to ensure the participation of the most disenfranchised.

⁶ The project often uses the word 'local' as part of the G-DGM vocabulary and in Ghana they would use the word 'traditional'. Hence, traditional and local are used interchangeably.

C. Higher-Level Objectives to which the Project Contributes

10. **Ghana's Emission Reductions Program** for the Cocoa Forest Mosaic Landscape (US\$26 million) was formally accepted into the World Bank's Carbon Fund pipeline in April 2014. This program represents an innovative, unique, and highly ambitious approach to reduce deforestation and degradation in a subnational landscape that follows the ecological boundaries of the High Forest Zone and covers approximately 5.9 million ha. The program seeks to significantly reduce emissions driven by cocoa farming and other agricultural drivers, as well as illegal logging and illegal mining, in a manner that will secure the future of Ghana's forests, significantly improve incomes and livelihood opportunities for farmers and forest users, and establish a results-based planning and implementation framework through which the government, the private sector, civil society, traditional authorities, and LCs can collaborate. In addition, Ghana is in the process, under Forest Law Enforcement, Governance and Trade (FLEGT)⁷, of developing the relevant systems to implement the provisions of the agreement. A Wood Tracking System (WTS) and the protocols for assessing legal compliance are key elements under development.

Figure 1. REDD+ Strategy Goals



Note: FLEGT = Forest Law Enforcement Governance and Trade; GSBA = Globally Significant Biodiversity Area; CREMA = Community Resources Management Area; SFM = Sustainable Forest Management.

11. **The specific goals of the REDD+ strategy**, emphasized in Figure 1, will be reached through the objectives of the G-DGM by (a) strengthening the capacities these social groups need to understand climate change and REDD+, thereby enabling them to participate more effectively in sustainable forest and climate adaptation and natural resources management; (b) engaging LCs in the FIP and other REDD+ processes at the local, national, and global levels and (c) implementing community-based adaptation (CBA) initiatives proposed by LCs (Component 2 of the G-DGM). The investments in Component 2 will work toward achieving REDD+ goals,

⁷ The EU's FLEGT Action Plan was established in 2003. It aims to reduce illegal logging by strengthening sustainable and legal forest management, improving governance and promoting trade in legally produced timber.

particularly those highlighted (Figure 1), which will directly contribute to achieving REDD+ goals.

12. **These objectives are fully in line with the current Country Partnership Strategy (CPS 2013–2018), (Report No. 76369-GH).** At the highest level, the World Bank’s Board approved the DGM Program Framework in 2015 for a series of projects. This is one in the series. In addition, the CPS states that “The CPS will also address climate change issues through support for Reducing Emissions from Deforestation and Forest Degradation (REDD) and programs focused on attention to water management and land degradation”. The Forest Carbon Partnership Facility (FCPF) is also supporting transformational change in Ghana’s forest-related policies and practices by piloting and validating replicable models of private-sector engagement (e.g. public-private partnerships) and participatory forest resource management. The proposed grant will support Ghana’s Forestry Investment Plan (FIP), under implementation, which includes landscape-level interventions aimed at supporting the forest sector through devolving management rights to communities and efforts to improve the enabling environment for private sector engagement through capacity building and investments. The FIP will be complemented by the proposed G-DGM that will provide resources directly to community groups to build their capacity to engage in the FIP.

II. PROJECT DEVELOPMENT OBJECTIVES

A. PDO

13. **The project development objective (PDO)** is to strengthen knowledge and practices of targeted local communities in the Select Regions of the Member Country in REDD+ processes and sustainable forest management.

14. **Project beneficiaries.** The main beneficiaries of the Ghana FIP-G-DGM are LCs and their representative community based organizations in the Western and Brong Ahafo Regions. These regions are home to a multitude of traditional LCs, including the Krobo and Twi-speaking communities in Brong Ahafo and the Fante and Twi-speaking communities of the Western Region, as well as migrant communities from other parts of Ghana, who speak their local dialect along with the dominant dialect, Twi, of the region. The region is also home to other populations and agricultural and pastoral communities that are dependent on specific surrounding ecosystems. The selection criteria was based on complementarity to the FIP so these were selected communities that were off-reserve, and in the FIP catchment area. This project will target 38 core communities⁸ and an additional 14 communities (annex 6) in these two regions, for a total of 52 communities. The total adult population (age above 18 years) in the 38 core communities is approximately 25,558 (Ghana Statistical Service supplied) of which direct and indirect beneficiaries are approximately 11,000⁹ adults.

⁸ Core communities are those already consulted by the project and which should, therefore, be included. Some general awareness was created in these communities and NSC members and focal points were from these communities.

⁹ The 11,000 people will include those affected by (a) general awareness training and campaigns, (b) basic training, (c) Communitywide investments through the community grant window, (d) individual investments through the

15. **PDO Level Results Indicators.** Project results will be measured against the following key indicators:

- Change to sustainable practices among community members following basic training sensitization and education on REDD+ and climate change
- Proportion of grantees who use G-DGM Community grants to implement/practice sub-projects that contribute directly to FIP and REDD+ objectives
- Proportion of grantees who use CBO grants to implement/practice sub-projects that contribute directly to FIP and REDD+ objectives
- Proportion of grantees who use G-DGM Individual grants to implement/practice sub-projects that contribute directly to FIP and REDD+ objectives
- 65 percent of community initiatives are successfully completed and achieve their stated objectives, which are consistent with REDD+ and FIP objectives
- Project beneficiaries who, without grants, apply knowledge acquired through sensitization/basic training to implement sub-projects that contribute directly to FIP and REDD+ objectives
- Percentage of grantees that express satisfaction with the project
- Percentage of women and migrants (of the total) grantees that execute subprojects
- Grievances registered related to delivery of project benefits addressed
- Grievances related to delivery of project benefits that are addressed-(number)

16. To track the progress made toward reaching PDO-level results and addressing key risks during program implementation, indicators focused on processes and outputs will be applied as indicated in the Results Framework (annex 1).

III. PROJECT DESCRIPTION

17. **The Ghana Dedicated Grant Mechanism for Local Communities Project (G-DGM)** was designed to promote the inclusion of communities reliant on forests in policy formulation and initiatives as well as in other REDD+ programs that seek to reduce deforestation and degradation. This is done through capacity building in REDD+ and climate change (Component 1). The G-DGM is also being established to provide sub-grants to LCs for promoting adaptive and coping livelihoods and sustainable management of natural resources, thereby strengthening their participation in and understanding of FIP, REDD+, and climate change (Component 2).

A. Project Components

Component 1: Capacity Building for Local Communities (Estimated Total Cost: US\$1.0

individual grant window, and (e) the CBO grant window investments. It is expected that the community-wide investments will have more impact on the general population than the other investments.

million)

18. This component will finance capacity building for local communities. Capacity building will occur through a funnel approach and will occur in Twi, the local language. General awareness and REDD+ training will focus broadly on the 52 targeted communities, most of which are also FIP communities. This outreach will be followed by ‘basic training’ which will focus on a subset (at least 10 percent of the general awareness participants). Basic training is the first step that must be undertaken by community members, eligible community-based organizations (CBOs), and individuals to have a deeper, more technical understanding of REDD+, and the linkage between livelihood and other activities and REDD+. Basic training must be undertaken to access the grant financing. The logic for this requirement is that knowledge will bring a higher level of commitment to FIP and REDD+ goals and subsequently to the funded activities on the ground. The project will finance goods, services, and operational costs. Capacity-building activities will do the following:

- (a) Implement training workshops and activities aimed at improving LCs’ capacity to understand the FIP, climate change, REDD+, the impact of local and global activities on greenhouse gases (GHGs), climate change and links to livelihoods, etc (target: all participants).
- (b) Provide on-farm and household-level training for groups of basic training participants to demonstrate the links between livelihoods and REDD+ goals, showcase sustainable and climate smart practices, promote farmer-to-farmer training on farms that practice climate smart practices (regionally or nationally). Basic training must be hands-on, field-focused, practical, and largely out of the classroom setting (target: basic training participants).
- (c) Improve extension service providers’ ability to incorporate climate smart practices and REDD+ objectives into their activities by targeting them for basic training (e.g., COCOBOD - cocoa growers extension service), assemblymen, Community Resource Management Areas (CREMAs), district officers, school children, and others) so that they can be more effective trainers to the communities over the long-term (target: extension service providers plus school-children).
- (d) Improve the ability of chiefs/traditional authorities to effectively combat threats from within and without by providing basic training for them, which will allow them to understand the consequences of threats to the LCs such as illegal surface mining (widespread *Gallamsey*), illegal chain saw operations, etc. (target-chiefs in the 52 communities and queen mothers).
- (e) Target those whose livelihoods are not sustainable (illegal chain saw operators, miners, charcoal producers, etc.) with a view to educate them on the long term impacts of their practices and to look for more sustainable solutions, including alternative livelihoods through the grant program.
- (f) Improve the depth of perception about local actions which have a global impact; trips (national and international) should be arranged for selected community members to learn how local action related to REDD+/climate change can make the difference to lives and livelihoods in a community setting (subset of basic training participants).
- (g) All those trained will be eligible to apply for grants as basic training participants,

including school-children groups (who apply as a school group).

19. For participants who have fully grasped key concepts from basic training and who have personalized its messages, the National Executing Agency (NEA) will seek out each year local, national, or global venues related to REDD+ and climate change that key proponents can attend and participate in, which, in turn will further build capacity and allow community members to practice what they have learned and understood. This result is expected under the project and will be prioritized.

20. Component 1 will, in addition, finance the necessary training for grant proposal writing. All potential grantees who have completed basic training and passed the oral test (with a signed certificate of completion) can receive grant proposal training under Component 1 before submitting their grant proposals. Table 2 outlines the minimum targets set for training.

Table 2. Minimum Number of People to be Trained (basic training or general awareness training)

Types of People to be Trained	Chiefs and Traditional Authority	Queen Mothers	Heads of Local CBOs/CSOs	Extension/Support Staff (COCOBOD, Forest Commission, Licensed Buying Companies, others)	Community Members	NSC Members and Focal Points	Senior High School Students and Teachers
Number	165	52	20	200	8,500	52	2,000
Total Minimum Trained	10,989 (approximately 11,000) Basic training (approximately 10% minimum) of total trainees - 1,100						

Note: These figures represent the minimum targets and should be exceeded where funds and staffing allow.
CSO = Community Service Organization.

Component 2: Sustainable and Adaptive Community Initiatives (Estimated Total Cost: US\$3.5 million)

21. Component 2 includes two subcomponents.

Subcomponent 2A: Community Initiatives (Estimated Total Cost: US\$2.8 million)

22. This subcomponent will primarily finance goods, as well as related operational costs, for (a) eligible communities (community-level initiatives); (b) individuals living in these communities (individual initiatives); and (c) CBOs (who have been working in Brong Ahafo and Western Regions in climate change/REDD+ thematic areas for more than five years), to undertake small-scale sustainable initiatives that fall under predetermined themes related to climate change and REDD+. Those who have benefited from initiatives under the FIP project will not be allowed to benefit from Component 2 under the G-DGM, to avoid doubling up on benefits. However, they can benefit from Component 1.

23. Examples of initiatives that will be supported include, but are not limited to, re-afforestation, agroforestry related to shade-grown cocoa and other cropping systems, fruit orchards, drought-resistant crops, water and soil conservation measures, efficient wood-burning stoves, alternative energy to wood, rehabilitation of degraded areas, rainwater collection and storage systems for crops, firefighting services for the community, alternative climate-smart livelihoods etc. These initiatives are broken down into seven thematic areas related to livelihoods, biomass coverage, soil and water conservation, reduction of carbon emissions, climate proofing agricultural investments, and scale-up of related investments and capacity building for CBOs (additional details found in annex 2-Detailed Project Design).

Table 3. Estimated Minimum Number of Awards (targets can be exceeded where funds and staffing allow)

Grant Window	Number of Awards/Year					Total
	Year 1	Year 2	Year 3	Year 4	Year 5	
Community	10	20	22	0	n.a.	52
Individual	20	35	35	20	10.	120
CBO	0	5	5	n.a.	n.a.	10
Total	30	60	62	20	10.	182

Subcomponent 2B: Technical Training of the Grantee in Activity Implementation (Estimated Total Cost: US\$700,000)

24. This subcomponent will finance the field-based technical training (in Twi) of the selected grantee (individual group, CBO, or community level) in the specific activity for which the grant proposal was selected. This is tailored training to ensure the success of the investments over a period of five years and beyond.

Component 3: Project Governance, Monitoring, and Evaluation (Estimated Total Cost: US\$1.0 million)

25. The aim of this component is to support the project's effective governance and efficient monitoring and evaluation (M&E). This component will finance the management fee of Solidaridad (capped at 7.5 percent of the grant) which will cover its related administrative expenses, rent, utilities etc. The rest of the funds in this component will cover costs related the project such as (a) a procurement specialist; (b) an auditor; (c) a safeguard specialist (part-time); (d) studies (rapid assessments) and periodic M&E assessments; (e) reporting to the Bank and Global Steering Committee (GSC), the operation of the Grievance Redress Mechanism (GRM); (f) the mid-term supervision mission; and (g) expenses related to the NSC (travel, meetings, etc).

26. The proposed operation is a grant financed by the SCF in the amount of US\$5.50 million.

B. Project Costs and Financing

Project Components	Project Cost	SCF Financing (US\$ million)	SCF Financing (% of total)
1. Capacity Building for Local Communities	1.0	1.0	100
2. Sustainable and Adaptive Community Initiatives	3.5	3.5	100
3. Project Governance, Monitoring and Evaluation	1.0	1.0	100
Total Project Costs	5.50	5.50	100

IV. IMPLEMENTATION

A. Institutional and Implementation Arrangements

Implementation Arrangements

27. In accordance with the Global DGM Guidelines, the G-DGM has developed a governance and management arrangement with the capacity for coordination, partnership, and synergies. An NSC has been constituted and an NEA has been selected to implement the project. The roles and responsibilities of these institutions are described below.

28. **The NSC.** The NSC comprises 13 community representatives from LCs in Brong Ahafo and the Western Regions, two nongovernmental organization (NGO) observers, one Government observer (FIP), and a consultant represented the World Bank (see annex 3 and 6 for more details). The NSC reports to the GSC of the DGM and is able to share information directly with the World Bank. The principal roles of the NSC are to (a) decide on the annual work plans and the eligibility criteria for funding in accordance with the criteria established by the Global DGM Framework Guidelines for Operations; (b) review eligible community proposals and decide on funding; (c) provide oversight of the project's implementation and review the functioning of the NEA; (d) review the progress of activities with regard to the PDO against indicators and promote learning from the results among stakeholders; (e) report to the GSC on national activities on a semiannual basis; (f) mediate conflicts related to G-DGM funding proposals; (g) participate in meetings of other national REDD+ committees and FIP institutions, ensuring that G-DGM lessons are transmitted to ongoing national processes; (h) seek feedback from LCs on the G-DGM, identify needs, and collect and send ideas to the GSC to be supported by the global component; and (i) raise funds, where possible, through other programs and mechanisms. The guiding principles of the NSC which outline the administrative functions of the NSC, benefits, code of conduct, etc. are contained in annex 6.

29. **The NEA.** The NEA, Solidaridad Network, West Africa (SWA), is a nonprofit organization and an NGO that was selected by the NSC through competition. The role of the NEA is to execute the program on behalf of the NSC. It reports to the NSC and to the World Bank. A grant agreement was signed between the World Bank and SWA. The NEA's main responsibilities include the planning and implementation of the project; ensuring timely

implementation of all project activities; monitoring such activities and the project's related indicators; serving as secretariat for the NSC; preparing the terms of reference (TOR) for specific training and capacity-building activities; supervising their procurement; overseeing contracts to ensure satisfactory implementation and ensuring that G-DGM funds are used appropriately and that procurement, FM, M&E, and safeguards are carried out in accordance with World Bank rules and procedures. It will also manage the redress processes for grievances and complaints and will coordinate and provide grievance information to the GEA. The detailed TOR for the NEA is in the operational manual.

30. The NEA, under the direction of the NSC will begin operations following project effectiveness. The effectiveness conditions are as follows (i) a finalized Project Operational Manual (POM) will be adopted; (ii) a finalized Grant Mechanism Procedures Manual will be approved and (iii) the recruited procurement officer in place. During this time Solidaridad is expected to recruit and have in place a project coordinator and the Director of Solidaridad will act as coordinator till this contract is signed.

31. **Implementation period and administrative costs.** The proposed project will be implemented over a period of five years (2017–2022). The World Bank's administrative costs for project supervision will be financed from the reserve fund under the FIP and in accordance with CIF benchmarks for project supervision.

B. Results Monitoring and Evaluation

32. **NEA:** The NEA will play pivotal roles in collecting, updating, aggregating, and evaluating data for results and must have on board staff dedicated to deliver this work. One of the initial tasks of the NEA during implementation is to commission a quick social assessment of the target communities to establish baseline data related to the composition of the community in terms of ethnicity, gender, elite/non-elite groupings, access to land and water, exposure to REDD+ concept, etc. A further baseline study will be made on those selected for the grants program. This will result in the establishment of a baseline for the M&E system. Further detail on M&E is provided in the detailed project description section.

33. **World Bank:** The role of the Bank is to provide technical guidance and oversight and to monitor and supervise the expenditure of the grant and the delivery of the results. As such, the World Bank task team will review all final reports for a no-objection prior to payment of consultant contracts for services. It will also require quarterly financial and operational reports and from time to time will engage Solidaridad's director and coordinator in discussions related to the implementation of the project. Where there are delays or other problems, the World Bank will work with Solidaridad to resolve difficulties and to strategize a way forward. The World Bank team will also carry out regular supervision of activities in the field. An independent review of the projects may also be carried out if deemed necessary by the World Bank. The NSC will provide opportunities to the G-DGM stakeholders, including Global DGM visitors, to review the progress toward achievement of the PDO against the indicators and discuss lessons learned to apply them to future project design and implementation.

C. Sustainability

34. To ensure that activities are continued and benefits are sustained beyond the time frame of this funded project, one of this project's innovations is to (a) strengthen those particular technical field staff in organizations (district assemblies, COCOBOD, etc.) that provide extension and other services to communities through Component 1 so that they better understand climate change and its links to livelihoods and are able to incorporate REDD+ agendas into their day to day outreach work; (b) overcome gaps in the LCs' knowledge about forests, natural resources management, adaptation, REDD+, and climate change issues that are critical for decisions about livelihoods and resiliency; and (c) promote the LCs' participation in knowledge-sharing networks at the regional, national, and global levels. At the local level, the sustainability of community initiatives will be assessed in terms of their potential contribution to REDD+ goals, including sustainable forest and natural resources management and adaptation as well as their ability to improve the LCs' livelihoods. Lessons learned from the project's implementation will be broadly shared to promote the replication of successful project interventions through the project's regional and national networks for sharing experiences and through their participation in the global component.

V. KEY RISKS AND MITIGATION MEASURES

A. Risk Ratings Summary Table

Stakeholder Risk	Rating
Political and Governance	Substantial
Macroeconomic	Moderate
Sector Strategies and Policies	Low
Technical Design of Project	Substantial
Institutional Capacity for Implementation and Sustainability	Substantial
Fiduciary	Substantial
Environment and Social	Moderate
Stakeholders	Substantial
Overall Implementation Risk	Substantial

B. Overall Risk Rating Explanation

35. **The overall risk of the proposed project is Substantial. Political Risk:** Substantial. The country completed elections in November, 2016 and this process exacerbated economic and political uncertainties and unrest. While this has somewhat abated, there are still lingering issues of civil unrest as the new government reviews the actions of the old and makes these public. In addition, Ghana's economy has contracted and the cost of living has increased. In particular, electricity utility rates have risen, leading to some demonstrations. The increase in debt levels, declining oil prices, depreciation of the local currency and external shocks have heightened Ghana's macroeconomic, and therefore political, vulnerability.

36. **Governance Risk:** Substantial. There is the risk that as occurred during preparation, individuals may attempt to access project funds by various methods which may include posing as community members, providing misinformation to communities, etc. Mitigation measures

include: defining the target beneficiaries very clearly along with rules of accessing the funds; ensuring that a certain percentage of the fund is reserved for the most vulnerable (women, youth, and migrants); locking out any new CBOs that have formed or who have formed but have had no activities. Finally, there is a risk of collusion between members of the NSC and grantees and elite capture of the resource. For that reason, the project requires that the subproject proposals are identified by number, instead of name, and ranked and submitted to the NEA prior to revealing the name of the candidate.

37. **Technical Design Risk:** Substantial. The NSC, which is composed of community members as per DGM guidelines, has no experience in assessment, procurement, FM and M&E. Yet the NEA, which is a well-established NGO, is required to report to them. Reviewing the NEA's work will be difficult for the NSC to do in a substantive way. To overcome this risk, the project has recruited a consultant to work hand in hand with the NSC and this consultant has already provided some training. This has worked to some extent and the NSC is now conversant with how the Bank's procurement process works. However this risk is not fully mitigated because the consultant cannot be used for the entire project period. The observers to the NSC, who are represented by the FIP project and two NGOs, are expected to fill this residual gap.

38. **Institutional Capacity for Implementation and Sustainability:** Substantial. There is a risk that the NGO selected by the NSC will focus on its core business line, i.e. working with commodity farmers (growing sustainable cocoa, palm and mining) in the landscape. This may lead them to ignore the essential need to apply the grant to the community as a whole. In terms of sustainability, there is the risk that the farmer will view Solidaridad as a cocoa interventionist, which is what they are known for, instead of the face of the Dedicated Grant Mechanism for Local Communities Project which focuses on capacity building in REDD+/Climate Change issues. Mitigation measures include ensuring that Solidaridad is aware of the project tenants and agrees to abide by them, and that they clearly articulate that they are there on behalf of the World Bank and are the National Executing Agency of the G-DGM project and not as Solidaridad as with this name recognition comes some detraction and distraction for the project. Another risk in using this NGO is that the tenants of the project may not be well aligned with the goals of Solidaridad as an agency. For example, surface mining is considered a destructive business that has caused a lot of degradation in Ghana but Solidaridad supports mining, albeit sustainable mining. The messages sent to communities must therefore be those that reflect the G-DGM program and not those that reflect Solidaridad.

39. **Fiduciary Risk.** Substantial. Fiduciary risk is Substantial as this is the first time the NEA is executing a World Bank project and this may result in an inability to request funds without assistance, thus requiring additional training and overall further assistance from the Bank financial specialists. In addition, the NEA lacks sufficient capacity and experience to undertake and manage World Bank procurement. This risk will be mitigated by additional capacity building for the NEA during early implementation.

40. **Stakeholder Risk.** Substantial. The education level of communities is very low and many are illiterate. The capacity of these communities to understand the concepts of REDD+ and to further engage in the FIP requires solid capacity building throughout the project, but particularly in Year 1, when they will be introduced to the key concepts. The ability of stakeholders to engage in REDD+, FIP, etc. is directly proportional to their understanding of the

concepts and the relevance of these concepts to their daily lives and livelihoods. To mitigate this, training must be in-depth and relevant, and must make a linkage to their daily lives and livelihoods. Without this, these are abstract concepts that may not hold traction. In addition, training must be adapted to the level of their education and this means using the local language, using other means of explanation instead of lecture style teaching such as on farm demonstrations, movies, field visits, etc. Finally, the NSC is showing signs of discontent that they are not being paid any remuneration, despite receiving hotels, food, travel allowance, etc. Communities may have high expectations that they all receive a grant. Managing expectations is important since a discontented community jeopardizes the entire project. This issue, and related issues, have been discussed with them and the NSC will outline its operational mandate which lays out expectations.

VI. APPRAISAL SUMMARY

A. Economic and Financial Analyses

41. Given the demand-driven nature of the project design, it is not possible to determine ex ante what type of initiatives will be funded. Moreover, the costs of forest and climate change adaptation are not easy to agree on and are hard to estimate because they involve a mix of activities aimed at cushioning the society from a range of impacts whose nature and magnitude are not precisely known. In these circumstances, the application of traditional cost-benefit analysis has been challenged because (a) it does not lend itself to assessing long-term outcomes, especially in the context of great uncertainty; (b) it assigns low value to early preventive actions that avert negative impacts in the long term; (c) it does not give the necessary prominence to social and equity issues, which is required for adaptation to address, at the local level, the needs of those most vulnerable; and (d) it does not consider value as perceived by stakeholders, that is, the ‘social returns on investment’ (Agrawala and Fankhauser 2008; IIED 2010). Despite this, some estimates will be made to arrive at an approximation of economic benefits that are clearly tangible. The project’s primary areas of intervention are expected to yield several categories of benefits, some quantifiable (biomass/carbon increase) and some less tangible (behavior change, knowledge strengthened).

42. **Estimate of the value of reduced emissions and enhanced carbon stocks in cocoa landscapes** (derived from FIP and G-DGM activities in off-reserve areas). Emission reductions are estimated for off-reserve areas. Due to intensive engagement of the FIP (in CREMAs and community lands) and the G-DGM (in community lands and in communities), planting of trees in landscapes, critical watersheds, and borders as well as on farms will increase carbon stocks and increase shade on cocoa farms. This will result in about 160,000 tons of CO₂ and 5.0 million tons of reduced emissions, if average rates of sequestration continue for 30 years. Valued at US\$5.5 per ton (a conservative market value), this yields about US\$880,000 per year. The net present value of this stream of benefits (at 5 percent and 30 years) is US\$13.5 million. This analysis shows that based on economics alone, the benefits of the G-DGM, when it operates in conjunction with the FIP as designed, exceeds the costs.

43. **Other non-tangible benefits.** Evidence from the Ghanaian context indicates that unlike indigenous lands in Brazil, community lands have higher levels of deforestation than state-protected lands. The link between intact forests and rainfall patterns is just one of the many

economic arguments for preserving trees to a farmer whose crops and livelihood are completely rainfall dependent. Thus, investing in a project that focuses on building the capacity to understand these climate/REDD+ related issues in communities —ultimately will have economic benefits that are better sustained than without the project. Thus, investing in community-driven development (CDD) approaches—in which LCs make informed development and risk management decisions and take actions in response to the man-made and climate change impacts that they face—makes strong economic sense, even in a volatile and evolving environmental context.

44. **The developmental impact** of the G-DGM includes the following:

- (a) Environmental
 - (i) Conservation of greater biodiversity and increase in genetic flows in the forested areas of local territories;
 - (ii) Protection of soils and water resources through improved and sustainable forest and land use management systems;
 - (iii) Removal of significant amounts of CO₂ from the atmosphere because of avoided deforestation, native forest restoration etc.
- (b) Socioeconomic
 - (i) Reduced vulnerability of LCs and improving their resilience to climate shocks;
 - (ii) Increased monetary and nonmonetary benefits for forest users because of livelihood diversification and sustainable forest/land use management systems;
 - (iii) Enhanced adaptive capacity of LCs.
- (c) Institutional
 - (i) Strengthened CSOs of LCs;
 - (ii) Increased engagement, participation, and voice of LCs in REDD+/climate change decision-making bodies at the local, national, and global levels;
 - (iii) Enhanced partnerships between LCs.

45. *Public Financing* is justified for this project as it aims to improve environment, land and forest management, living conditions and reduce greenhouse gas emissions from deforestation. These results are mainly global public goods with substantial benefits accruing to the local communities.

46. *The World Bank's value-added* for the Project stems from the Bank's constant support to local communities in development choices that enhance their resilience and sustainability. In addition, as a key player in REDD+ through the FIP and FCPF, the Bank is in a favorable

position to convene key stakeholders (governments, communities and other development partners) and facilitate constructive engagement on critical issues such as land use planning, governance and sustainable forest management.

47. **Summary:** The economic, environmental, and social benefits of CBA interventions far outweigh their costs. Finally, the cost-effectiveness of these interventions is heightened when the cost of doing nothing (the business-as-usual scenario) is considered; that is, the potential loss of major forest areas currently under the protection of LCs, the potential erosion of the environmental services they provide (including carbon storage), and major declines in LCs' well-being.

B. Technical

48. The project is deemed technically sound because it draws on lessons learned from previous successful operations and analytical work both in Ghana and worldwide, as well as on the traditional knowledge of LCs that have taken part in the consultation process for the project design. Drawing on such sources, the proposed project relies on strategies to promote improved access to relevant information and to combine LCs' traditional knowledge with sound new scientific-based knowledge on forest and natural resources management and on climate change adaptation. It also relies on CDD approaches that have been proven worldwide to (a) make strong economic sense, even in a volatile and evolving environmental context, for livelihood adaptation and diversification and (b) promote synergies among forest and natural resources management and adaptation through interventions that fare better in improving the livelihoods of socioeconomically disadvantaged groups and increasing their social resilience. The project combines all factors considered critical for making CDD approaches successful: (a) community proposals will be screened for their economic, environmental, and social feasibility as well as on the basis of assessments of local vulnerabilities and adaptive capacity; (b) culturally adequate technical assistance will be provided to design, develop, and implement community initiatives; and (c) institutional capacity-building activities will strengthen indigenous and local organizations by on-site training events for grant beneficiaries and by encouraging a diversity of partnerships with governmental and CSOs.

49. Component 1 (Capacity Building for Local Communities) responds to the issue that communities do not fully understand the long-term rationale for planting trees on farms or for preserving trees when farming or practicing other livelihood activities. The understanding of the short- and long-term impacts of deforestation and its implications to climate change need to be better understood and internalized, as well as the rationale for REDD+ (both globally and in Ghana). The project strengthens communities (and their associated extension agents) capacity in this area as well as prepares them better for G-DGM and FIP activities on the ground.

50. Component 2 (Sustainable and Adaptive Community Initiatives) responds to the issue that learning requires practice. The grant funding serves as an incentive for those who engage in learning, who wish to practice what they have learnt on their farms, and in their communities. The purpose of the project is not to create excitement about the grants, which will result in hundreds of grant applications, but rather for LCs to first understand the issues and then practice what they have learned. This approach, if implemented properly, will produce both

sustainability and replicability. Communities should also be told that they can continue to practice these approaches even without funding, after the project ends.

51. Component 3 (Project Governance, Monitoring, and Evaluation) responds to ensure that the project is managed effectively. Solidaridad will manage the project and this management fee will be capped at 7.5 percent of the project funds and will serve as the operating cost for Solidaridad to meet all its administrative expenses, utilities, staffing, etc. related to the project. Solidaridad will use its FM staff and M&E staff for the project within the scope of this management fee. Other staff will be contracted by the project.

C. Financial Management and Disbursement Arrangements

52. Consistent with the guidelines, as stated in the FM Manual issued by the FM Sector Board on March 1, 2010, an FM assessment was conducted on the Accounts and Finance functions of the Solidaridad Network West Africa (SWA)—the selected implementing agency (IA) for the G-DGM. SWA has fiduciary responsibility for the entire grant funds.

53. The regional director (RD) has the overall responsibility for the accounting and FM systems of SWA, as the sole person responsible to the Continental Supervisory Board of the Solidaridad Network. In terms of FM and fiduciary, the RD shall be advised by the financial controller on all matters pertaining to the standards and best practices for FM and corporate governance-related matters.

54. Specifically for the G-DGM, the financial controller, with the assistance of the dedicated project accountant, will have operational oversight responsibilities with regard to ensuring compliance with financial covenants such as submitting unaudited interim financial reports (IFRs), maintaining internal controls over project expenditure, ensuring value for money in the use of project funds and engaging external auditors.

55. The project's FM arrangements will, to a large extent follow the current fiduciary arrangements within SWA, and as such the financial controller of SWA will have overall FM responsibility. The responsibility of the financial controller is to ensure that throughout implementation there are adequate FM systems in place, which can report adequately on the use of project funds. However, in carrying out this mandate, the specific day-to-day transaction processing and reporting will be assigned to a dedicated project accountant, who will in turn be supervised directly by the financial controller.

56. The policies, guidelines, and operational procedures required to support implementation will rely on the existing procedures and systems as outlined in the Finance Manual of SWA, which has been reviewed and found to be acceptable by the World Bank. In addition, the IDA-approved Project Operational Manual and the Grants Mechanism and Procedures Manual will form an integral part of the guiding principles for FM under the project.

57. A key strength of the FM arrangements is the fact that SWA has an already established FM and accountability system in place with adequate segregation of functional duties and oversight responsibilities; these will be expected to ensure that funds under the G-DGM are used properly and reasonably ensure value for money in transactions. A potential weakness would arise from the CDD and the small grants aspects of the project design which will have

inherent risk on fiduciary control. However, reviews indicate that SWA has in the past and is also currently managing a grants scheme on behalf of the Dutch government (COPRI)—estimated at US\$7 million, and so it has, over time, developed an effective financial and performance monitoring mechanism for such small grants.

58. The assessment of the FM arrangements at SWA concludes that there are adequate systems in place that satisfy the World Bank's minimum requirements under OP/BP 10.00. Based on the assessment of the FM and given the nature of the project, the funds flow arrangements, and the types of activities to be financed, the residual risk rating for the project's FM arrangements is assessed as Substantial.

D. Procurement

59. To assess SWA's capacity to implement all procurement under the project, procurement capacity assessments were conducted in July 2016. The assessment concluded that the Solidaridad procurement systems, procedures, arrangements, and contract administration need improvement to execute a World Bank-sponsored project. Solidaridad has no experience in undertaking procurement in World Bank projects and also has no proficient procurement officer with experience and knowledge of undertaking World Bank procurement, in accordance with World Bank 'Guidelines: Procurement of Goods, Works, and Non-Consulting Services Under IBRD Loans and IDA Credits and Grants by World Bank Borrowers', dated January 2011, revised July 2014. Solidaridad has also never executed a World Bank project and the NGO's procurement is done by the financial controller, who is not a procurement specialist. However, for complex procurement, Solidaridad has a procurement specialist whom they can use depending on his availability.

60. The procurement cycle management is handled by the Forestry Commission (FC), as an add-on activity, although there is no procurement function mentioned in their organogram. The bidding process management, mainly for works projects, is handled by external service providers. There seems to be no clarity and separation in the procurement execution and taking of procurement decisions, as it has not been documented and formalized, in a Procurement Manual. The highest-level staff for making procurement decisions is the RD. There is no standard bidding documentation established to be used by the internal auditor for the various procurement categories. Bid evaluations committees are ad hoc, and there is no evidence of the knowledge of the different evaluation procedures for the categories and types of procurements.

61. Contract management is found to be generally good, as vendors are paid on time and products are delivered on time as per specification while handling change orders promptly, with regularly meetings. Works contracts management is mostly outsourced. No procurement audit has been conducted on Solidaridad before. From the discussion with Solidaridad, it was clear that procurement records are not filed properly to allow an effective procurement audit. It does seem that there are adequate internal technical, administrative controls, and anticorruption procedures. The review did not note the existence of appeal mechanisms for bidders.

62. It is also noted that Procurement Plans are not written, and therefore the NGO has no history of updating and using the Procurement Plan as a monitoring, evaluation, and management tool. It is noted that the entire procurement under the US\$5.5 million project will

be executed by Solidaridad. The value, nature, volume, and complexity of the procurements will pose some challenges to the existing staff of the organization, thus resulting in a high procurement risk. The key risks for procurement include (a) lack of sufficient capacity, knowledge, and experience to undertake and manage World Bank procurement; (b) unfamiliarity with World Bank Procurement Documents, Guidelines, and Procedures; (c) lack of use of the Procurement Plan as a monitoring, evaluation, and management tool, (d) possible delays in evaluation of bids and technical proposals and clearance process following World Bank procedures. The assessment, therefore, concluded that the overall risk rating is High. Mitigation measures include recruitment of a procurement specialist who is familiar with World Bank procurement, production of a Procurement Manual, etc. The detailed mitigation measures can be found in annex 3, in the procurement section.

E. Social (including Safeguards)

63. **The G-DGM has been designed to have a significant positive impact on the target populations and LCs.** The project is expected to contribute to (a) improving the livelihood of LCs; (b) increasing their social resilience and their adaptive and mitigating capacity to deal with the social, environmental, and climate pressures that they face and that harm their social, cultural, and economic survival; and (c) strengthening the capacity of representative organizations to plan their future life and promote the effective, efficient, and sustainable management of their lands and natural resources.

64. **Consultation.** The design and preparation of the project has been deeply grounded in a robust and inclusive public consultation and participation with communities, civil society, and other stakeholders. As part of the stakeholder engagement process, consultations were held in various communities and these were followed by two regional workshops and a national workshop with the broad participation of all stakeholders.

65. **From a safeguards point of view, no involuntary resettlement of population will result from any activities financed by the project.** However, there may be cases where use and access to resources may be restricted because of changes in forest management and resource management plans; hence, the safeguards policy of the World Bank (OP 4.12), Involuntary Resettlement, is triggered. In this case, the appropriate safeguards instrument is a Process Framework. This Process Framework describes the steps to identify and possibly resolve any situation of restriction of access that may appear. The process framework was initially disclosed in the Member Country's territory on December 9, 2014 and re-disclosed on January 26, 2017, and initially disclosed in the World Bank's Info Shop on December 9, 2014 and re-disclosed on August 15, 2016.

66. Given the CBA/CDD approach, it is not inconceivable that voluntary land donation will take place in the course of project implementation. The POM will have a dedicated section on the procedures to be applied in the event of voluntary land donations. The manual will clearly indicate the criteria and procedures to identify cases in which voluntary donations of land or usage rights for parcels of land are necessary for a community initiative and will ensure that these donations are fully voluntary and that adequate and culturally appropriate mechanisms are in place to compensate affected parties in cases of loss of access or usage rights. Landowners willing to donate land to the community to plant trees must formally provide a written request

and the document must be notarized. The landowner should also agree, in writing, that the trees on this land will be registered to the community rather than to the individual who donated his/her land. Plantings can occur on private lands and these trees must be registered to the planter. For migrants and others who do not own the land, efforts must be made to either find appropriate ways of engaging in the project that do not require land unless they enter into a formal agreement with the landowners. The POM will also clarify the criteria and procedures to ensure that financed community initiatives are proposed by socially legitimate and representative organizations and have received free, prior, informed, and broad support from the proponent communities.

67. **Specific attention will be given to gender issues.** The social specialist in the NEA will coordinate all project gender-related activities and will also elaborate a specific road map for an explicit focus on the gender aspects in the project, reporting to the Steering Committee on a regular basis on this road map.

F. Environment (including Safeguards)

68. The proposed conservation project is expected to have a positive environmental impact because it seeks to promote sustainable ethno-development, forest and natural resources management and adaptation, and climate change adaptation for LCs whose livelihoods depend on the biome's natural resources. Project activities may also contribute toward reducing deforestation pressures on the remaining forests—on which the livelihoods of these traditional populations mostly depend—and protecting headwaters and riparian zones, thus reducing water and soil pollution. The nature and scale of the proposed investments will not have significant adverse impacts, and the project is rated as Category B. Despite these positive impacts, the proposed project will be working in various sensitive biodiversity and forest (off reserve) areas. An Environmental and Social Management Framework (ESMF) has been prepared for the FIP project and will serve as the project's framework. The ESMF raises the potentially positive and negative impacts of eligible activities and defines a number of preventive and mitigating actions. G-DGM built upon the Ghana FIP ESMF and Pest Management Plan (PMP). The FIP ESMF has been reviewed to ensure inclusion of the activities covered under G-DGM and takes into account the different geographical locations. Public consultations took place in all the districts covered by DMG. The following safeguards have been triggered: OP/BP 4.01 Environmental Assessment, OP 4.04 Natural Habitats, OP/BP 4.36 Forests, OP/BP 4.09 Pest Management, and OP/BP 4.12 Involuntary Resettlement. The ESMF, which is the same document as the one prepared for the FIP, with some minor updates, was prepared, consulted upon and disclosed in-country and cleared by the Bank on November 24, 2014. It was re-disclosed in the Infoshop on August 4, 2016.

69. The project will not finance the use of pesticides. However, because the linked FIP will promote IPM and possibly finance pesticides in the same areas, the Pest Management safeguard (OP 4.09) was triggered as a precaution. The Pest Management Plan designed under the FIP, dated November 27, 2014 and disclosed December 2, 2014 at the World Bank's Infoshop was prepared by the Recipient and initially disclosed in the Member Country's territory on November 28, 2014 and re-disclosed on January 27, 2017.

70. Specific country-level features and operational procedures to screen, assess, mitigate, and monitor environmental impacts will be dealt with in the POM. To address the likely steep learning curve of the NEA and the NSC on World Bank safeguards policies, their application monitoring and overall supervision, training will be provided up front once the authority is chosen and the committee is formed. User-friendly training manuals will be developed which could serve as a ready reference on World Bank safeguards. It is envisaged that similar tailored training will be offered to prospective applicants for the grant support under Component 2. Here again, training modules will be packaged in the form of handouts, for easy reference when developing proposals and during implementation.

F. World Bank Grievance Redress

71. Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit www.worldbank.org/grs. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

Annex 1: Results Framework and Monitoring

Country: Ghana

Project Name: Dedicated Grant Mechanism for Local Communities Project (P145316)

Results Framework

Project Development Objectives							
PDO Statement							
The PDO is to strengthen knowledge and practices of targeted local communities in the Select Regions of the Member Country in REDD+ processes and sustainable forest management.							
These results are at		Project Level					
Project Development Objective Indicators							
Indicator Name	Baseline	Cumulative Target Values					
		YR1	YR2	YR3	YR4	YR5	End Target
Change to sustainable practices among community members following basic training sensitization and education on REDD+ and climate change (Percentage)	0.00	0.00				50.00	50.00
full sun cocoa to shade cocoa (Percentage - Sub-Type: Breakdown)	0.00	0.00	5.00	15.00	20.00		20.00
non-renewable energy to sustainable sources (Percentage - Sub-Type: Breakdown)	0.00	0.00	0.00	5.00	10.00		10.00

increase in tree plantings (Percentage - Sub-Type: Breakdown)	0.00	0.00	5.00	10.00	20.00		20.00
Proportion of grantees who use G-DGM Community grants to implement/practice sub-projects that contribute directly to FIP and REDD+ objectives (Percentage)	0.00	0.00	40.00	60.00	65.00	75	75.00
Proportion of grantees who use CBO grants to implement/practice sub-projects that contribute directly to FIP and REDD+ objectives (Percentage - Sub-Type: Supplemental)	0.00			20.00		40.00	40.00
Proportion of grantees who use G-DGM Individual grants to implement/practice sub-projects that contribute directly to FIP and REDD+ objectives (Percentage - Sub-Type: Supplemental)	0.00	0.00	50.00	60.00	65.00		65.00
Proportion of grantees who use G-DGM Community grants to implement/practice sub-projects that contribute directly to FIP and REDD+ objectives (Percentage - Sub-Type: Supplemental)		0.00	40.00	60.00	65.00		65.00
65 percent of community initiatives are successfully completed and achieve their stated objectives, which are consistent with REDD+ and FIP objectives	0.00	0.00	20.00	40.00	65.00		65.00

(Percentage)							
Project beneficiaries who, without grants, apply knowledge acquired through sensitization/basic training to implement sub-projects that contribute directly to FIP and REDD+ objectives (Percentage)	0.00	0.00	5.00	7.00	10.00	15.00	15.00
Percentage of grantees that express satisfaction with the project (Percentage)	0.00			70.00		70.00	70.00
Percentage of women and migrants (of the total) grantees that execute subprojects (Percentage)	0.00	50.00	50.00	50.00	50.00	50.00	50.00
Grievances registered related to delivery of project benefits addressed (%) (Percentage) - (Core)	0.00	0.00	70.00	80.00	100.00	100.00	100.00
Grievances related to delivery of project benefits that are addressed- (number) (Number - Sub-Type: Supplemental) - (Core)	0.00	20.00	20.00	20.00	20.00	20.00	20.00

Intermediate Results Indicators

Indicator Name	Baseline	Cumulative Target Values					
		YR1	YR2	YR3	YR4	YR5	End Target
Proportion of selected community members who successfully complete basic training in REDD+/climate change	0.00	10.00	30.00	30.00	5.00		75.00

(Percentage)							
Number of Basic Training Participants (Number - Sub-Type: Supplemental)	0.00	300.00	600.00	200.00			1100.00
Proportion of basic training participants that submit a proposal for funding(percentage) (Percentage - Sub-Type: Supplemental)	0.00	20	20	20	10		70.00
Total number of community members sensitized (Number - Sub-Type: Supplemental)	0.00	2000.00	4000.00	4000	1000		11000.00
Number of Grants Awarded to Basic Training participants (Number)	0.00	20.00	70.00	70.00	22.00		182.00
% of basic training participants exposed to successful REDD+ practices at national, regional or international levels (Percentage)	0.00	0.00	0.00	0.00	2.50	2.50	5.00
Number of result stories produced by grant recipients presented during local, regional and global knowledge sharing events (Number)	0.00	0.00	5.00	5.00	5.00	5.00	20.00
M&E data system effectively tracks number of trainees, proposals, awards and completion of implementation (Yes/No)	No	Yes	Yes	Yes	Yes	Yes	Yes

Annex 2: Detailed Project Description

GHANA: Dedicated Grant Mechanism for Local Communities Project

1. The DGM Design document stresses the need to strengthen the LCs' capacity to participate effectively in all phases of the FIP and REDD+ processes and create livelihood opportunities that also generate mitigation and adaptation benefits while respecting culture, traditional knowledge, and indigenous forest management systems. In the FIP pilot countries, the DGM is complementary to the projects and programs supported under the FIP, and DGM activities are expected to be complementary to FIP investments and to take advantage of synergies where possible.
2. The G-DGM follows the Framework Guidelines and set of activities covered under the components designed for the Global DGM. The project will support capacity building and finance the demand-driven provision of grants to communities, individuals (formed into groups), and eligible community organizations (see annex 7) serving Brong Ahafo and Western Regions in Ghana to strengthen their participation in the FIP and other REDD+ processes at the local, national, and global levels as well as to increase their capacity to adapt to climate change through demand-driven initiatives.
3. The G-DGM has a funding envelope of US\$5.5 million in grant resources and will be executed by the NEA with the oversight of the NSC and the World Bank. The NEA will report to the NSC as well as the World Bank on the progress, safeguard, and fiduciary aspects of the program.

Project Area

4. The Brong Ahafo and Western Region sites are in the High Forest Belt in Ghana although this belt has largely been deforested and is further under threat by unregulated surface mining, which strips all cover crops off the land and causes permanent damage to nearby rivers from cyanide and other contaminants from the gold rush. This, coupled with the illegal chainsaw operations that Ghana is plagued with, has meant that deforestation is at its peak. This decline in forests is also exacerbated by the expansion of agriculture. Forest cocoa is Ghana's most important agricultural commodity, with sales of about US\$2 billion per year, which is important for both the economy and rural employment. Although global demand for chocolate continues to increase, Ghana's cocoa production faces economic, environmental, and sustainability challenges. The Ghana Sustainable Growth and Development Agenda noted that for 2012, the volume of production was down 14 percent and value was down by 2.8 percent. Key challenges to competitiveness include low yields and returns to farmers; aging rootstock; limited access to technology, skills, and modern inputs; and declining soil fertility coupled with wider environmental degradation. Area expansion sustains production rather than investments in efficiency, productivity, or intensification. This has led to an increased pressure for farmers to expand their area under cocoa, particularly into the few remaining preserved stands of forests.
5. The project has outlined (annex 6) the targeted communities. As part of the project preparation process, 38 communities were already engaged and a further 14 remain. Out of the 38, all are FIP communities. This is because the G-DGM was designed to complement the FIP

and to provide capacity building for communities to further their engagement in the FIP and other REDD+ activities. The total population in the 38 communities is approximately 25,558 adults, with the project directly benefiting at least 11,000 people in 52 communities.

6. **The challenge.** The FIP and G-DGM projects are located in two regions—the Western and Brong Ahafo Regions of Ghana. In these and other regions, community members are both actors in and victims of forest decline. Agriculture, timber, and mining are critical economic activities. Agricultural expansion—led by the production of cocoa but also including cassava, plantain, cocoyam, oil palm, and rubber—accounts for about half of the region’s deforestation and degradation. In Ghana, nationwide, cocoa production occupies about 1.6 million ha (7 percent of all land) and about 800,000 producers (mostly small farmers). Recent expansion has been greatest in the Western Region, which now accounts for over half of the production. Increasingly, farmers are shifting from shaded cocoa to open cocoa cultivation, as well as encroaching forested lands. The complex tree tenure and benefit-sharing regime fails to provide incentives to communities to protect trees. The factors that contributed to this incremental forest loss have not changed over many years (*Source*: FIP project document).

7. In recent years however, the threats that have increased the importation of large-scale mining equipment has meant that small-scale mining (*Gallamsey*) has metamorphosed into large-scale surface mining at the community level, with perhaps some assistance from wealthier Ghanaians, given that the cost of hiring this equipment is quite high. Resembling the gold rush of the 1800s, one can now see LC members, chest deep in dirt, using machinery and handheld equipment to mine for gold. Surface mining in Ghana strips every blade of green herb and tree from the land, leaving swaths of bare, red earth around many parts of the country. The chemicals used to mine have poisoned the water surface in the communities and these can no longer support crops or human and animal life. This mining has become a significant problem in Ghana and continues without redress. With population growth, increasing incomes and limited enforcement, pressures on on-reserve and off-reserve forests will only increase, thereby accelerating the climate-related impacts on forests, lands, biodiversity, and livelihoods.

8. **Ghana has not had a very long history with regard to the inclusion of LCs in its policy and legislative decisions.** Until 2012, there was a disincentive to keep forest/timber trees on one’s farm. The large forest trees belonged to the Government, and approved timber merchants could remove any forest tree without the farmer’s permission. The Government of Ghana (GoG) has begun improvements in the forest sector with regard to governance, incentives, benefit sharing, tenure, and institutional effectiveness. In 2012, the GoG prepared a new Forests and Wildlife Policy and a Strategy for Plantations. The former allows farmers to own forest trees that they plant, but the elaborate registration process, which is not user friendly, has meant that very few people have (or can) register their planted trees. The FIP is designed to help address this issue but in the meantime, the G-DGM project will ensure that any tree planted under the project is registered in accordance with the law. The project will give farmers the training they need to register their trees.

Sectoral and Institutional Context

9. Ghana is one of eight pilot countries participating in the FIP. The FIP provides an opportunity to finance Ghana's transformative efforts to improve forest and landscape management in the High Forest Zone. The FIP is part of the SCF, within the CIF, a global multi-donor trust fund. Globally, the FIP supports developing country efforts to reduce deforestation and forest degradation and promote sustainable forest management that leads to emissions reductions and enhancement of forest carbon stocks in the long term. Ghana developed its FIP through a consultative process and it was approved by the global FIP governing mechanism in November 2012. The overall goal of the FIP-financed program in Ghana is to reduce GHG emissions from deforestation and forest degradation while reducing poverty and conserving biodiversity.¹⁰ The FIP identified three interrelated projects in Ghana, implemented by the World Bank, the African Development Bank, and the International Finance Corporation, respectively.¹¹

Table 2.1. Ghana FIP

Ghana FIP Program: <i>Aiming to reduce GHG emissions from deforestation and forest degradation while reducing poverty and conserving biodiversity</i>		
In Forested Landscape Corridors	Agriculture and Cocoa Landscapes (Off reserve, outside corridors)	On and off forest reserves
World Bank: Project 1 Enhancing Natural Forests and Agroforest Landscapes	African Development Bank: Project 2 Engaging Local Communities in REDD+	IFC: Project 3 Building Private Sector Engagement in REDD+
FIP Dedicated Grant Mechanism for Local Communities Project: Working with LCs, CBOs, NGOs, and cocoa agents on outreach, access, participation, and equity.		

10. FIP investments will focus on the High Forest Zone in the Western and the Brong Ahafo Regions, where deforestation rates and carbon stocks are high. This FIP-financed set of projects collectively aim to (a) ensure the integrity, restoration, and sustainable management of forest reserves by introducing more inclusive management practices and benefit-sharing models, financial incentives, and investments; (b) restore forest cover in off-reserve areas by securing tree tenure and benefits, forest plantations and landscape restoration, and rehabilitation of degraded forest land; (c) increase trees and enhance carbon stocks in the farming system by promoting sustainable cocoa and agriculture practices; and (d) develop viable alternative livelihoods for LCs by addressing a broad range of technical, financial, and market incentives to reduce pressure on forests. Under Ghana's FIP, improvements in policy implementation, management practices, capacity building, and communication will be supported. The project will

¹⁰ FIP's Results Framework (May 2011) recognizes that reductions in deforestation and emissions result from the combined synergies of FIP-financed activities and other leveraged projects. It notes that transformation will be the result of multiple activities over a long period and cannot be attributed to a single project or intervention.

¹¹ FIP financing is channeled through the multilateral development banks (MDBs) as grants and near-zero interest credits. The FIP aims to help countries complement and leverage investments promote forest mitigation; reduce pressures on forests (including from outside the sector); strengthen institutional capacity, forest governance, and knowledge sharing; mainstream climate resilience; and contribute to biodiversity conservation, protection of the rights of indigenous peoples and LCs, and poverty reduction through rural livelihoods.

also pilot community-based planning and management and test alternative models for devolving more rights and responsibilities to communities and farmers. The FIP also funds the G-DGM.

11. The ultimate beneficiaries of the FIP operation are the rural communities (current and future generations) in the Western and Brong Ahafo Regions, who manage agricultural landscapes and forests for their livelihoods, especially those involved in cocoa farming and members of CREMAs. These small-scale farmers and tenant farmers, including women, will gain access to new skills, opportunities, and markets. Landowners and traditional/local authorities will gain from the greater productivity of their lands and the improved management practices and clearer policies that have been established. The MLNR and the FC, charged with forest and landscape management, will also benefit from improved policies, capacity-development programs, and outreach and communication programs. Other stakeholders, including the private sector and civil society, will benefit through improved institutional norms and improved resource management practices in the High Forest Zone. Large and small investors and communities will gain from the clarification of rules and processes needed to promote investment in landscapes, trees, and timber that will contribute to Ghana's development in the future. Staff of the implementing agencies and extension agents will benefit from the capacity-building activities under the project. The project will also have benefits at the global level through the contribution to climate change mitigation

Linkages between the DGM and the FIP's Other Projects and Programs

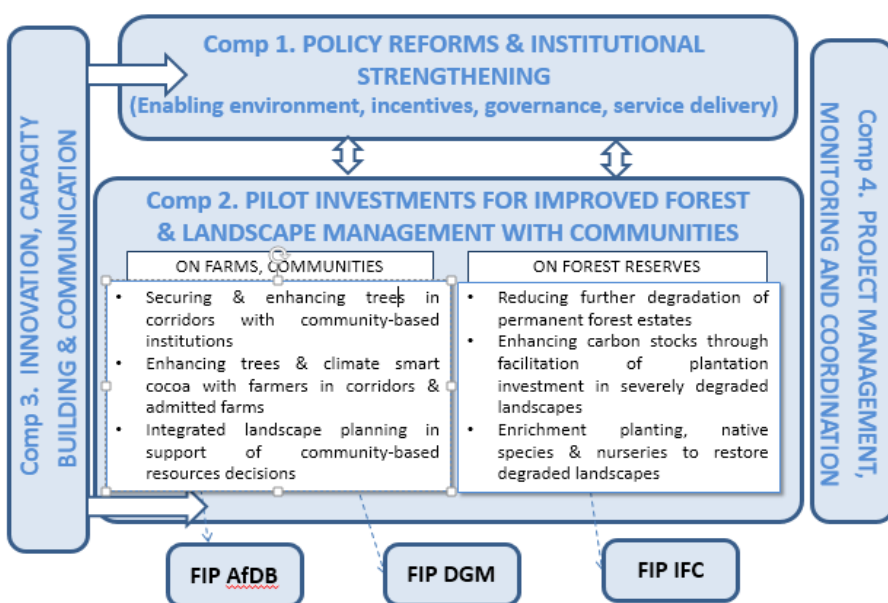
12. Figure 2.1 details the inextricable linkage between the DGM and the FIP. While the FIP operates at a larger scale and focuses on a wider landscape, the DGM focuses on knowledge sharing for individuals, communities, and CBOs to better understand and plan for climate change/REDD+. For this reason, the G-DGM and FIP were to be prepared together, in the same project area, but due to delays in the preparation of the G-DGM, this did not occur and there will ultimately be a two-year lag between the start of the two projects. Despite the delay, the time lag has, to some extent, helped prepare communities for the arrival of the G-DGM.

13. The G-DGM will act in synergy with other projects under the Ghana FIP. To promote these synergies and to address the challenges posed by the geographic dispersion of LCs, the G-DGM will prioritize its actions in the Western and Brong Ahafo Regions, where the FIP is operational. Although the communities will be trained to better engage in FIP activities, communities will not be able to receive financial assistance from both the FIP and the G-DGM under Component 2. Where there is an overlap of communities, it would be important to discuss field operations with the FC (FIP implementers) to avoid duplication. In this case, the G-DGM strategy is that a rapid baseline assessment will be conducted at the entry into each community to assess the sociocultural dynamics, level of knowledge on REDD+ and the FIP, etc, before the roll out of interventions.

14. Finally, broad activities financed by the FIP, such as the communication approach, outreach, and dissemination, will benefit the G-DGM project, particularly if these are started in advance of the G-DGM project. There is also a need to ensure that the projects have the same key messages about each other to avoid confusion. For that reason, the implementing staff of the G-DGM should read and understand the operational approach of the FIP. The FIP coordinator will also sit on the G-DGM NSC board to keep abreast of the issues. Despite the

complementarity, the two projects have different implementation arrangements and schedules and the delay of one project in any activity should not be allowed to affect the rollout or successful implementation of the other.

Figure 2.1. Ghana FIP: Bank Project - Enhancing Forests and Agroforest Landscapes



Project Strategy

15. If no effort is made to curb deforestation in the program area, then Ghana expects the business-as-usual scenario to carry forward and produce at least 598.2 tCO₂e of emission from deforestation, based on a 10-year historical deforestation rate (2000–2010) of 1.4 percent per year. The impact of that will be significant for communities such as those who practice climate-dependent agriculture and who rely on safe surface and underground water for their families, crops, and livestock. Recent assessments of potential impacts of climate changes in Ghana argue that these impacts will (a) hit harder the poorest and less-developed areas of the country; (b) have a greater effect on the agricultural sector and rural areas, thus increasing pressures for rural-urban migration; and (c) increase regional inequalities and have a major effect on social groups whose livelihoods rely on subsistence agriculture. The resulting impact of deforestation and climate change includes temperature increases, variability in rainfall, an increase in the length of the dry season, and the loss of further acreages of forest because of forest fires sparked by the lengthier dry seasons.

16. Considering the baseline scenario, agricultural activity is expected to continue in the Brong Ahafo and Western Regions and may increase man-made and climate-related pressures on lands, forests, and biodiversity on which the livelihood, cultural survival, and social resilience of LCs rely. When this is coupled with the additional pressure from unregulated and now

widespread surface mining, the long-term survival of LCs becomes paramount as health and livelihoods decline. Therefore, a key challenge faced by LCs in Ghana is to (a) understand the man-made and other causes of climate change and their related impacts on lives and livelihoods and (b) improve the sustainability and adaptive capacity of their livelihoods strategies. The project aims to help LCs address this challenge and reduce their vulnerability through knowledge and capacity-building activities and the piloting of forest and climate change adaptation initiatives.

17. **Premise of the design.** The premise of the design of the project focuses on building up the knowledge base of communities about climate change/REDD+ and their activities that support and/or weaken community resiliency to climate change threats. The grants initiative is to further engage communities for them to put into practice what they have learned and to better understand the linkages between the knowledge they have understood and the investments and practices they engage in on the ground. It is expected that this process, over five years, will allow communities to withstand threats from within and without, thereby increasing their societal resiliency to climate change while making positive inroads in the fight against climate change. These activities will allow LCs to better understand, lead and engage in FIP activities and REDD+ activities at the local, national, and global levels.

18. The design also focuses on empowering LCs to effect changes in practices through an NSC that has been selected by the communities. During preparation, communities selected 50 focal points in 38 communities to engage the project. From these 50, 13 NSC were further selected (see annex 6). This means that the non-NSC member focal points represent a cohort of people in the communities who can assist in implementation under the guidance of the NEA (for example, in organizing the community, awareness raising, key knowledge repositories, etc.). This cohort¹² will also assist in providing feedback on the impact of the training and other activities. This will allow a deeper penetration into the community. Despite having this resource, it would be important that a rapid stakeholder analysis be done before engaging in each community to ensure that poorer segments of the society can benefit (youth, migrants, etc.) and are able to attend the training sessions as their interest allows.

19. The design of this G-DGM project is modified slightly from the original DGM guideline concept, which largely funds the legal representatives of communities (CBOs/CSOs) or other organizations representing communities to conduct initiatives in the project area, rather than funding the direct communities and individuals in the communities themselves. The rationale for the expansion of the definition of ‘legal representatives’ for the Ghana case is multifold: (a) CBOs are made up of community members but they are not always established representatives of the communities (annex 7); (b) CBOs in the two regions are generally small, with very low capacity and without any legal validity; (c) CBOs need significant assistance in terms of capacity building and financing, to be able to implement activities beyond the ad hoc activities they undertake; (d) several local NGOs and CBOs in Ghana exist nationally, which are largely entities operated by one or two people, and capture resources destined for communities.

¹² It is important to note that communities selected their ‘best’ candidates and to a greater extent, most of these are likely to be educated, speak English, or have had exposure in different ventures. It is important to also explore beyond this cohort, to ensure the participation of the poorer segments of society.

Communities then get short-changed and get the drips and drabs left over, rather than being central in the intervention; and (e) the traditional/local authority (chiefs, elders) in a community are the representatives of the people, not by legal means, or by vote, but by lineage or ascendancy. For these reasons, in Ghana, the traditional/local authority becomes the key means to enter and engage with the community at a grassroots level, while working to ensure these and other local elites also do not capture resources destined for the larger community. Given the Ghanaian context, the grant mechanism will function within three windows: the first is the community window and represents the widest way to engage the community as a whole; the second is through the individual window, where individuals (formed into groups for ease and accounting) can directly benefit from the grant; and the third is the CBO window. The approach requires that the NEA has the capacity to manage smaller grants.

20. The project strategy combines all factors considered critical for making these community approaches successful: (a) community knowledge will be incorporated into field-based hands-on learning about climate change, REDD+ adaptation, adaptive livelihoods, etc. Placing the learning on farms and in the targeted community will also make learning more relevant to LCs (Component 1); (b) technical assistance will be provided to design, develop, and implement community initiatives adapted to the local context (Component 2b) to enhance understanding centered around the investments, as well as the level of effort needed to sustain the investment; (c) institutional capacity-building activities will strengthen local organizations by means of on-site training events for grant beneficiaries and by encouraging a diversity of partnerships with governmental and CSOs (Component 1); and (d) adequate, flexible, and efficient administrative and financial arrangements have been established that will enable easy, streamlined, and fast-track access to grants and goods needed for investment. Where available, goods will be sourced from the region (Brong Ahafo and Western Regions) and even the community, provided the goods meet the required level of quality.

Project Components in Detail

21. The project aims to help (a) reduce deforestation and forest degradation pressures within communities; (b) increase the adaptive capacity and economic and social resilience of LCs in the communities to deal with the man-made pressures and climate-change risks they face and that threaten their livelihoods and cultural survival; and (c) consequently protect and promote biodiversity and sociocultural diversity within this biome.

22. The project has three components:

- (a) Component 1: Capacity Building for Local Communities
- (b) Component 2: Sustainable and Adaptive Community Initiatives
- (c) Component 3: Project Governance, Monitoring, and Evaluation

Component 1: Capacity Building for Local Communities (Estimated Total Cost: US\$ 1.0 million).

23. **Component 1** will fund training, a knowledge management specialist/master trainer, a natural resource/climate change expert, 4-6 field level staff, training venues, radio campaigns,

training materials, mini-bus and air costs associated with field trips for trainees or transport to training venues and locations, vehicles (one per region) and motorcycles (one per region) for field work, operation and maintenance of the vehicles, etc associated with training.

24. **Training/Capacity Building.** Training will occur using a funnel approach. The widest part of the funnel will capture the targeted 52 communities. At least 11,000 people will be impacted by Component 1. The NEA will first do a community-level assessment to determine the sociocultural baseline and a baseline of knowledge regarding REDD+ and sustainable forest management.

25. **General Awareness Training:** This is the widest part of the funnel, seeking to capture the most people. This awareness raising would focus on telling the communities about the project, its objectives, and the components and should give them a general overview of REDD+ issues and climate change and its link to human activities and its long-term impact on livelihoods. Marginalized members of society (women, youth, and migrants) should be encouraged to participate. General awareness training¹³ should start in the pre-identified communities already visited during preparation and who have already nominated focal points for the project (annex 6) and may include radio and media campaigns, etc. By the end of general awareness training, most people (11,000) should know about the project and its aims but more importantly should be able to outline key basic messages about REDD+, Climate Change and how their livelihoods impact climate change and how climate change also impacts livelihoods over the short-term, medium-term and long-term. In addition, each person should know loosely 3-4 ways of reducing the impacts of climate change in their lives. They should also be able to list ways to reduce deforestation and the negative impacts of deforestation on the livelihoods and well-being.

26. **Basic training.** All community members in the project areas will be eligible to receive more in-depth basic training. However, from our pre-assessment of the 38 community groups, this will likely be a significantly smaller subset of the people who undergo general awareness training. This is because some members of the community will be skeptical, others may not be interested, and still others may not have the time. However, this sub-group, which should self-select, will undergo a more time intensive, formal and structured training. In addition, the NEA will choose some sub-groups for more intensive training- for example women, migrants, youth and the vulnerable so long as they are interested. Basic training must be prepared by the NRM and knowledge specialist guided by an approved training plan and methodology. Field assistance must be skilled in conducting field-level training and interactive training. Finally, the NEA and NSC will also select a sub-group of extension service workers (district officers, assembly men and any others who work to aid the 52 communities on a regular basis on the farm) to undergo training to ensure that even after the project ends, the same messages are being reinforced. This last group is only eligible for training. They are not eligible for grants unless, as in the case of some assembly men, they are resident in the targeted community. It should be clear to participants that (a) Basic training for community members is a pre-requisite for applying for a

¹³ The general awareness training should also stress that all participation is voluntary and that the project is not from the Government. It should also be stressed that education level is not important in terms of participation. The illiterate should not be shy to apply because this has been considered in the design of the project.

grant and (b) that one has to be a member of one of the 52 communities in order to apply for a grant; and (c) One must pass the test at the end of basic training to be eligible to apply for a grant.

27. The purpose of basic training is as follows:

- (a) To bring community members, CBOs, and extension service workers (district officers, assemblymen) to the same level of understanding about climate change, REDD+, and how their activities on the ground are linked to these concepts, both locally, nationally, and globally. It is important to ensure relevancy of the training to community livelihoods by highlighting the linkage between negative and positive human activities and the impacts on natural resources, climate change, and REDD+.
- (b) To climate-proof current livelihood practices to improve resiliency by highlighting how communities can adapt to climatic changes with different strategies such as livelihood diversification, soil and water conservation measures, tree planting and cover cropping, drought-resistant crops, and reduction in unsustainable practices, etc.
- (c) To ensure that communities understand that there is a link between what is being learned about climate change and REDD+ and why grantees are receiving grants.
- (d) To change behavior and practices so that climate-smart traditional practices are guarded and kept and others that seek to make the communities more vulnerable (surface mining, deforestation, etc.) are discarded and a clear logic is understood for the need to reject choices that lead to increased vulnerability.
- (e) To teach communities to make long-term decisions by thinking about the consequences of each action in the short, medium, and long term as a basis for rationalizing natural resource-related decisions.
- (f) To ensure that a wide segment of society is part of this learning process- women, migrants, poor, traditional rulers, other farmers, etc.

28. **To ensure uptake and understanding of the basic training message, it is important to plan the training and ensure its uptake by being relevant to the daily lives of communities.** For this reason, the basic training (a) should be hands-on and field-based (for example, conducted in the communities and on farms, degraded lands, and woodlots); (b) should be in the local language; (c) should be such that they use videos and films for issues that need to be understood outside of the community setting; (d) should be at all levels of the community, including elders, chiefs, youth, migrants, women, assembly men, extension service providers, and CBOs, with dedicated training for the chiefs and local authorities; (e) should use local means of communication such as radio, cell phones, competitions on cell phones to win prizes, etc., to spread key messages and (f) should allow for a lot of discussion and bottom-up learning because farmers also have relevant traditional knowledge to share.

29. **Basic training, which should include several sessions of training based on an established curriculum, should be completed by all participants** who may want to apply for grant funding. Training should be effective enough for participants to pass an oral test at the end of the sessions to ensure that they have fully grasped the key concepts related to climate change, REDD+, and linkages to their livelihoods on the ground. The NEA trainer will devise a short test

on REDD+ and livelihoods, as well as the subject matter covered. Records of scores will be kept as part of the M&E records and for the supervision trail.

30. **Specialized training for chiefs and elders in year 1.** Special basic training, targeted at chiefs and elders in the Brong Ahafo and Western Region Communities will be needed because strong chiefs are the ones who will prevent mass environmental decimation of the community lands. Leadership skills should be emphasized as these chiefs and elders undergo basic training. In addition, the dangers of deforestation, surface mining, etc. (and their consequences) should be discussed and debated, as well as their long-term costs to the community and the chiefs. A special tour to Kibi and Asiakwa to see surface mining effects can be juxtaposed with cocoa communities in the same area whose chiefs have been strong enough to withstand pressures to destroy their environment. The minimum target is trained chiefs and queen mothers in all project communities, with a special focus on chiefs of communities that are facing specific natural-resource-related threats (deforestation/surface mining/etc.).

31. **Specialized basic training for women.** As part of the aim to ensure female participation at all levels, a special basic training session should be dedicated to women. The training will focus on the normal content of basic training plus a course in female leadership in natural resource management and the role women can play to protect the resource for the welfare of their family and community. After training, these women should be presented with a certificate. Women can choose whether to attend the regular basic training along with men or to attend this women-only training.

32. **Further training.** After basic training, a few candidates who show a keen interest in the issues may advance to more practical training to be community spokespersons for REDD+/Climate Change. This training is to expose the members to more applied aspects of climate change and REDD+ outside of their locality. This training may include national and/or overseas trip to view how communities, individuals, and/or CBOs can make a real difference climate-proofing their livelihoods and their community environment. Trips can be organized to plantations that rotate crops effectively, that is (South Africa Kwazulu Natal), communities that maintain natural habitat by enrichment planting etc. The Global DGM will also be able to help identify specific locations for such tours. One local/regional trip should be planned since many may not be able to travel overseas due to visa issues. The particular destination must highlight an activity that the Ghanaian community can see themselves doing, for example, avoided deforestation and carbon credits; an effective woodlot scheme that communities are embarking on; use of non-timber forest products for commercial activities; organic vegetable farming and marketing; organic cocoa production and marketing, etc. The further training is expected to lead to a higher-level engagement of the participants in REDD+ and climate change issues at the local, national, or global levels.

33. **Training for writing/developing subproject proposals.** Component 1 will, in addition, fund a short training for the preparation of the individual, community, and CBO window proposals (Component 2). The training will be offered to interested recent graduates of basic training who wish to apply for a grant and will focus on the following topics: (a) presentation on the investment options according to the thematic areas outlined, including any other investments the communities are interested in that are related to the themes; (b) assessment (through discussion) of the type of activities the communities, CBOs and individuals would want to

engage in; (c) presentation of how to assess the costs and benefits of the proposed activities; and (d) working session on how to fill in the proposal forms (annex 5). Where literacy is a factor, the NEA staff should have an oral discussion with the potential grantee and then fill out the form for them. By the end of the training sessions, all proposals should be ready to be submitted. The goal of this training is to prepare community members, particularly illiterate members, to apply for grant funding.

Component 2: Sustainable and Adaptive Community Initiatives (Estimated Cost: US\$3.5 million) comprises two subcomponents, 2A and 2B

Subcomponent 2A: Ground investments (Estimated Total Cost: US\$2.8 million)

34. There will be three grant windows. These include a community-level window for community-wide initiatives, an individual window for individual and group-level initiatives, and a CBO window for CBO-level initiatives and capacity building (annex 7). The purpose of the windows is for community members to undertake small-scale activities to practice sustainable initiatives that fall under predetermined themes related to REDD+ and climate change such as forest and natural resources management, renewable energy, sustainable livelihoods, soil and/or water conservation, and climate-smart investments.

35. Subcomponent 2A will primarily finance goods and operational costs associated with the grant (on the ground) activities. These include any goods or services needed for the implementation of the subprojects as outlined in the proposals submitted to and accepted by the NSC. These may include seeds, seedlings, farming equipment, vegetable seeds, irrigation equipment, solar panels, and labor to assist with planting. The purchase of pesticides is prohibited under the project but organic farming methods and products will be supported.

36. Grants will include a cash portion (25 percent) given out in tranches and a non-cash portion that Solidaridad will expend on behalf of the grantee for the procurement of related goods and provision of support services. Solidaridad will share with grantees expenditures made on behalf of the grantee to ensure transparency and to engender trust. The cash portion given to the grantee must be expended on labor or goods directly related to the implementation of the activity. For example, paid labor for clearing lands, boots, and cutlasses. The operational manual offers clarity on what cannot be purchased with the grant. It is important that the NEA stresses that those who have no land or no access to land can still participate in the thematic areas that do not require land (that is, solar energy for households, container vegetable gardening, boreholes, etc.).

37. **Grant Proposals:** Solidaridad will issue the call for proposals and receive all the proposals. It will then sort the proposals into their eligibility based on the particular thematic group that was called and select the most viable to be presented to the NSC for further selection. Prior to sending the proposals to the NSC, Solidaridad will remove all names and

communities/districts from the proposal forms to be submitted for the NSC review and selection and replace these with a tracking number. The NEA will be responsible for keeping a list of the applicant names against the numbers. The NEA field staff should verify that the final selected grantees are members of the project communities and that they have attended and passed the basic training test.

38. Members of the NSC are eligible to apply. However, the NSC member will have to wait to apply toward the last round in year 2 to be eligible. This is because there may be an inherent conflict of interest and the project must ensure that the NSCs first priority is to the communities. For the grants, the NSC member must follow the same process laid out for other applicants and must therefore have attended and passed basic training. Since all proposals will first be judged based on technical merit and each applicant assigned a number, the NEA will inform the NSC chair (or vice chair if it is the chair's proposal) if a member's proposal is under consideration and that person will be asked to recuse himself from the evaluation. After the ranking is completed and submitted to the NEA, they will, as secretariat to the NSC, tabulate the names and projects of the winning applicants and post these results openly in the communities. The process for reviewing proposals will be well described in the Grant Mechanism and Procedures Manual and POM and strictly adhered to.

39. The proposals must fall within the following broad thematic groups:

- **Increase biomass (vegetation cover) in the community and on farms to improve soil fertility and prevent runoff and soil loss.** Examples of such subprojects will include reforestation of degraded areas, seedling nursery establishment, nursing forest seedlings that spring up on farms and transplanting to forest areas, community woodlots that are rotated to ensure continuous cover, planting of trees/shrubs along rivers to protect water sources from soil runoff, growth of native species of flora, and seedling production for the maintenance of native and threatened species/varieties.
- **Improved sustainable livelihoods to bolster against the effects of climate change while ensuring a reduction in deforestation.** Examples of such subprojects will include introduction of shade-grown cocoa (no pesticide support); tree crop cultivation including fruit trees and cashew among others (for example, mango, where land is available and farmers are not pressured to expand outside existing boundaries into forest areas); vegetable farming in conventional and unconventional ways (in containers, rooftops, and where space is limited); plantations that will go through cyclical felling and replanting to ensure there is continuous tree cover at all times; value-added processing and commercialization of agricultural, pastoral, handicraft, and extractive non-timber forest products; improve processing and marketing of tree-based crops (cocoa, oranges, etc.); processing equipment for business ventures such as *gari* making, financial planning and management for cocoa/cash-crop farmers for increased resiliency.
- **Climate-proofing investments (agricultural)** that will be decimated as temperatures climb (for example, constructing improved soil and/or water conservation measures for farm and household use, including rainwater collection systems; planting of hardy crops that withstand higher temperatures and drought conditions; installing weather forecasting-related apps on phones; providing other weather-related equipment; providing shade cover for crops where needed; developing fire management plans to protect trees

and crops from fires during the dry season; purchase and train communities on the use of firefighting equipment (safety equipment as well as fire hydrants, hoses, etc.), firefighting truck, controlled burning; composting to improve soil fertility; etc. The funds can also be used to fight against illegal surface mining that clears the whole surface of the land by outreach, education, etc.

- **Water conservation will be key as temperatures rise.** In Ghana many communities are losing their water sources due to water contamination by surface mining. The project will not support boreholes and other water conservation measures in communities that choose to give their lands for surface mining. However, for communities that do not have *galamsey*, water security will be strengthened by, for example, rainwater collection systems and improving water security by constructing small-scale local infrastructures such as boreholes (after an assessment of the water table and its ability to support these).
- **Reduction of deforestation and carbon emissions.** The investments under this theme will include steps to reduce reliance on fuelwood and timber. The project can support, for example, improved stoves where proven successful; gas stoves (2–4 burner plates) where gas and canisters are available; and where participants can pay for continued purchase of the gas over time, solar and other sources of clean energy for indoor and outdoor lighting.
- **Scale-up of existing ventures that increase and maintain biomass.** The criteria for selection requires a venture that has been started and is currently being sustained by an individual or community. Scale-up of the scheme must be part of the plan. However, such an investment requires a firm establishment of the baseline from which the additional activities will be supported by the project. The overall biomass must be increased and maintained under the project and beyond, to be eligible. Plantation schemes/woodlot schemes/natural forest schemes should be sustainable (for example, rotational) since those that intend to clear-cut for a quick profit will not be eligible. Expansion of schemes that intend to keep the biomass through enrichment planting or other means or intend to increase biomass will be eligible. At no time should the venture intend to or have already expanded into existing forest areas. This will render the entity ineligible for support. Farms or lands bordering forest areas are, hence, ineligible for this type of support.
- **Capacity building for CBOs.** CBOs in the two regions require capacity building. This theme focuses on building up CBO capacity in leadership, planning, management and technical skills in a particular area. This capacity building is only for CBOs that have been established for at least five years (and listed in annex 7) and if they have proven of value to the communities. For governance reasons, any other CBOs that do not meet this criteria will have to be screened further by the World Bank.

40. It is important that farmers do not clear cut their fields to receive new trees, or cause more environmental damage with their proposal and so each proposal must be screened for environmental and social safeguards by the NEA prior to passing on the proposal to the NSC and also prior to implementation and during implementation: This is the task of the social and environmental specialist in the NEA.

41. All grant proposals will be assessed according to basic criteria of relevance, innovation, quality, and sustainability. The NEA, during appraisal, proposed the methodology of calling for different thematic groups in turn. This will allow the NEA to find the necessary technical

specialist in advance, and allow them to prepare better for the applications. The NRM specialist will screen the initial proposals to verify eligibility and relevance, and submit the requisite number to the NSC for review and selection of grantees. Clearly, in the field, there is a preference for tree planting. However, this is partly because this intervention is known. The NEA must also ensure that the community fully understands the other possible interventions, particularly because these non-tree planting activities may attract more of the landless and marginalized populations.

42. Under Subcomponent 2A, sub-grant agreements for all grants will be signed by the NEA and the grantees. In addition, sub-grant agreements for the community-level grants will be signed by the chief/traditional authority of the community as well as four to five members of the community representing diverse interests in the community.

43. A grant procedures booklet, which outlines all aspects of the process, from writing the proposal to final selection, will be provided in Twi and English, to individuals at the end of basic training. The grant booklet will be prepared before effectiveness.

Detailed Description of the Grants

Community Grants Window

- (a) **The community grants window** (up to US\$40,000 per eligible community) will support a community-wide proposal from each of the 52 eligible communities. To be considered a community investment, this venture must be a community-wide activity and must benefit the community as a whole and not individual members. The community submits one proposal that discusses a community issue of concern. It could be lack of water for growing vegetables or trees, threats by miners, lack of understanding of which trees to grow, need to protect their rivers and lakes, the need for communal firewood or sustainable energy within the boundaries of the thematic areas. The proposal must include a description of the breakdown of the community membership, including a cross section across socio-economic and gender strata, labor (how many will volunteer); community land or location of the activity; benefits (who will benefit from the investment and how); and sustainability (how will this venture be sustained after the project has ended). The community must list all the members engaged in the venture and their contact number and be conversant with the project's grievance processes. There should be an overall group leader who is in charge of allocating tasks, recording on progress, and reporting back to the field officers. All meetings must be held in an open community forum so anyone can participate. If a community wants to do boundary planting along water bodies or a community woodlot, the source of the land needs to be identified along with an assessment of who will benefit and for how long. If the community wants a well or water to water plants, again the question of tenure is important because the investment cannot be put on an individual's land but may be put on what is considered communal land, open to all. Community land is preferable because there are too many complications if the land is individually owned and used for a community wide project.

- (b) **Transparency initiative.** Purchases made on behalf of the community or community group must be presented to the wider community as to what was purchased, the cost, how much was purchased, and to what purpose it is to be used. Likewise, any cash funds require strict accounting. This transparency between the NEA and the communities will reduce the number of grievances. Opportunities for community-rooted ventures to provide (i) labor where large numbers of trees to be planted or (ii) seedlings from authorized (by Forestry Department) community sellers should be allowed—see the World Bank’s ‘Guidelines: Procurement of Goods, Works, and Non-Consulting Services Under IBRD Loans and IDA Credits and Grants by World Bank Borrowers’ dated January 2011. Considering the window’s ceiling of US\$40,000 and the number of communities that can apply (up to 52), there should be a criteria for selection established by the NEA. The total amount of funds eligible for community grants is US\$2.08 million, which will service up to at least 52 communities or many more, if some communities receive smaller allocations. If funds remain, communities can apply for further grants if they are highly successful in the implementation of their initial grant. However, they should have successfully maintained their initiative for one year, with clear results that can be shown (pictures, documents, etc.) before applying for additional funds in year 4 and 5.

Individual Grants Window

- (c) **The individual grants window.** The individual grants window (up to US\$3,500 per proposal) will support proposals from community individuals or community groups. For example a local group can be a pre-existing women’s group or a church group that is active in the community. Individuals can submit projects individually but they are likely to be grouped with similar individuals along thematic lines for ease of tracking, implementation and self-monitoring. See the Grant Manual for more detail. Considering the window’s ceiling of US\$3,500 per proposal under this window, the project can support a total of at least 120 people (more if groups apply or if grants are for smaller amounts and the NEA has the staffing to support these individuals), for a total of US\$0.42 million. All participants of the groups have to come from the G-DGM project areas and funds can only be used in the communities in which the project operates. Higher grants are allowed on an exceptional basis if the activity requires an expensive initial up-front investment.
- (d) **Transparency initiative.** Records must be meticulously maintained by the NEA’s M&E specialist for supervision by the World Bank and NSC. At the field level, to be reviewed by the World Bank, all subproject expenditures have to be tallied and records kept of items bought (amount, cost, and receipts). Where purchases have been made by Solidaridad on behalf of the grantee, each group will sign for items received. This again will reduce the number of grievances. Where items have been bought by the grantees, records and receipts must be kept and for quarterly review by participants.

CBO Grant Window

- (e) **The CBO window.** CBOs that have some operations in the FIP or G-DGM communities are eligible to apply. The CBOs must have been created before 2012 and should be known and recognized by the community. Those that are recognized as having sufficient capacity will be eligible to receive a small grant (up to US\$30,000 per CBO) to initiate training, capacity building, or an activity that benefits the community and/or the wider climate change/REDD+ agenda. For this venture, operational costs of the CBO (staff salaries, petrol, etc.) cannot exceed 10 percent of the grant. In addition, the purchase of vehicles is not permissible. If pursuing an activity, most of the activities should be visible and on the ground. The project can support up to 10 CBOs for a total of US\$0.30 million, or more, if a lower grant amount is applied. CBOs are ineligible to reapply for funding unless their achievements are measured as highly successful at the end of 18 months of implementation and not before.
- (f) **Transparency initiative.** The eligibility criteria for selection of CBOs is that they (i) should have been in existence for at least five years; (ii) should have operated in Brong Ahafo and/or Western Region, with proven experience; (iii) should be known to the communities in which they indicate that they have operated (proof to be furnished by the chief and wider community); and (iv) have to be on the list of eligible CBOs if funding is requested in the first two years of project implementation.
- (g) Some CBOs can receive the entire amount of the grant in cash (received in tranches) but they must meet certain criteria to be able to do so. The CBOs must have proven organizational capacity and (i) have had successful experience in carrying out forest and environmental management experiences inside their territories; (ii) benefited from funding to develop forest and natural resources management, adaptation activities, community initiatives, livelihood diversification and/or production increase, and facilitation of access to external markets for agricultural products, etc; (iii) be able to carry out basic accounting and record keeping with a specialist dedicated for this purpose with an accounting degree or in a related field; (iv) have enough staff and/or community volunteers to complete the work outlined in their proposal; and (vi) be able to provide both the World Bank and NEA with financial information, project activities, and proof of quality implementation. A notice will go out to all CBOs listed regarding the availability of the fund and to invite proposals.

Subcomponent 2B: Technical Assistance for the Grantee in Activity Implementation (Estimated Total Cost: US\$0.7 Million)

44. Subcomponent 2B will finance technical assistance for (a) grantees that have received an award under one of the grant windows and (b) field-level technical assistance (extension) related to the investments during implementation. The subcomponent will finance short term specialists who will advise on each thematic area- for example, how to set up vegetable farms, solar panel systems, small scale irrigation for vegetable farming, plantation rotations, and fruit tree rearing, or other livelihoods. These hand-holding specialists will guide and encourage the grantees as they embark on their on the ground investments. They will also give specific technical assistance related to the thematic area at the start of each investment period. In addition, the subcomponent will finance short term specialists to go through the tree registration process with grantees as well as any community member interested in registering their planted trees.

45. Field-based technical assistance should only be initiated with a grantee in response to an accepted proposal. Types of technical assistance must be directly linked to the needs outlined in the proposal. All assistance must be hands-on, practical, on-the-ground/farm-level. Once a proposal has been selected, the funds will support the technical assistance activities for the grantees along lines of interest. For example, those interested in agroforestry and tree planting will receive specific assistance and any training before and during implementation of the activity. For technical lines for which there is no in-house expert, the funds will be used to recruit a specialist in that technical area to do the relevant training and follow-up.

46. Trees funded under the G-DGM will be registered, by planters, voluntarily where possible. Tree registration is a cumbersome process, so it should not be allowed to stall the rollout of the activities but should be done after planting. For situations where the landowner and planter are different, written and notarized permission from the owner must be granted before any registration. If there is no agreement, those trees will remain unregistered.

47. The NEA's planning and training team will need to assess when to do the technical assistance for the grantees i.e., right after the grants for a particular thematic area are awarded or in stages throughout the implementation period or on an ad-hoc basis if and when needed. The key challenge for the NEA will be how to organize the technical assistance such that it is carefully planned and fully executed and ensures maximum support to the grantees within the shortest time possible. The project wishes to avoid situations where the grantee is selected but has to wait for some months to get assistance or any training needed or cannot execute the work because there is no field support. Phased planning, therefore, is essential, as is planning with the procurement specialist to ensure the quick delivery of goods during and after technical assistance and training. A strategy for dealing with this should be presented to the Bank and outlined in the POM.

Component 3: Project Governance, Monitoring, and Evaluation (Estimated Total Cost: US\$1.0 million)

48. The aim of this component is to support the project's effective governance, monitoring and evaluation (M&E). This component will finance the management fee of Solidaridad (capped at 7.5% of the grant) which will cover its related administrative expenses, rent, utilities as the NEA for this project. The fee will also cover the contribution of Solidaridad staff, specifically, their FM specialist(s) and M&E specialist. The rest of the funds in this component will cover costs related to the project such as (a) the recruitment of core staff such as the coordinator, procurement specialist, an auditor, and a safeguard specialist (part-time). The component funds will also finance baseline studies (rapid assessments) of the community that are tied to the M&E and periodic assessments for M&E. In addition, the component will fund the following expenses: (e) reporting to the Bank and Global Steering Committee (GSC), the operation of the Grievance Redress Mechanism (GRM); (f) the mid-term supervision mission and other bi-yearly supervision missions required by the Bank; (g) expenses related to the NSC (travel, meetings, etc.).

Lessons Learned Incorporated into the Design

49. Lessons from previous operations and analytical works dealing with related issues—forest adaptation, NRM, the social dimensions of climate change and climate-change adaptation have underscored the following points:

- LCs suffer from a lack of knowledge about the interlinkages between climate change and their activities and through ignorance place themselves and their livelihoods at risk. Knowledge therefore becomes a key means of reducing their vulnerability. The major threats in this area fall into three categories: (a) agricultural practices that lead to soil depletion and eventual unproductivity, which furthers a farmer's need to encroach into forest reserve or forested areas in an effort to grow in productive soil; (b) surface mining, which permanently damages the soil by removing the layer of humus and cover crops, which in turn leads to soil erosion, lack of flood control, and unusable ground and surface waters; and (c) deforestation of existing forests as there are competing interests for agricultural production. In all these, there is the competing interest of livelihoods. Farmers make decisions based on short-term gains, which result in increased vulnerability rather than a proper assessment of the longer-term gains, which will result from decisions rooted in a proper understanding of the costs and benefits of these long- and short-term decisions. Being able to assess the long-term versus short-term impacts and repercussions for food security in the medium to long term become very important and will be addressed in capacity-building efforts.
- **The sensitivity of LCs to the interplay of deforestation and forest degradation, climate shocks, and development challenges is particularly acute, heightens their vulnerability, and weakens their adaptive capacity.** Although vulnerability and strategies for coping with and adapting to the most pressing man-made/climate risks are conditioned and affected by a host of social factors, people who are already socially vulnerable, those who are heavily reliant on a narrow set of natural resources and climate-sensitive activities for their livelihoods, and those with little scope for livelihood diversification have been consistently identified as the most vulnerable. LCs' sensitivity is heightened because (a) they often depend on their surrounding ecosystems for subsistence, livelihood, and cultural survival; (b) they rely heavily on a narrow set of natural resources and climate-sensitive activities; and (c) they are often neglected as full partners in the decision-making process for building resilience. The project aims to strengthen their adaptive capacity by ensuring they understand the root causes and can work toward collectively, solutions in their own communities.
- **Component 1 highlights what can be done locally both to help 'globally' as well as to reduce vulnerability 'locally'.** This is meant to empower communities to understand whether they can change and reduce their own vulnerability. Tapping also into local knowledge and practices that reduce this vulnerability is key to ensuring ownership while tossing out practices that threaten communities and heighten vulnerabilities. A society that is less vulnerable to current threats has the potential to be more adaptive to future changes and challenges. Thus, in many contexts, the current levels of vulnerability (in light of existing climate, market, and governance conditions) must be addressed before stakeholders can hope to implement forest and climate-adaptation strategies focused on

the potential impacts of long-term climate change. Reducing current vulnerability, poverty, and other fundamental shortages in capacities and assets that make people vulnerable to harm is an essential first step in the process of adaptation, because vulnerability-oriented efforts can almost fully overlap with traditional development practices, which do not actively take climate risks into account but can lessen the negative impacts of climate change.

- **Enabling livelihood diversification is essential to manage forest and climate/non-climate-related risks affecting LCs' security and livelihoods.** The most resilient households and communities are those who have managed to diversify their livelihoods away from natural resource-based activities. However, it is worth noting that (a) livelihood diversification has proved difficult due to existing inequalities and lack of opportunities (access to training and education in new skill sets and to seed capital and markets, voice in decision-making processes, etc.) and (b) it must be assessed with regard to compatibility with ecological characteristics to avoid potential conflicts over resources that may arise from different land-use choices, because if diversification means competition for the use of scarce resources, then its sustainability is questionable.
- **CDD and CBA are promising approaches to LCs and the interconnected risks they face** because they (a) support interventions that are all highly context specific; (b) empower communities by offering synergies with broader poverty and sustainable development objectives; (c) make strong economic sense, even in a volatile and evolving environmental context; (d) are likely to be pro-poor in the sense that they reduce the vulnerability of the poor faster than that of the non-poor; and (e) are well suited to reach the most vulnerable with interventions designed to increase resilience.
- Participatory and inclusive stakeholder processes are critical for positive outcomes in adaptation efforts. There is a call for solid grounding of interventions in local realities, intensively involving LCs, strengthening their representative organizations, and relying on their knowledge of the most pressing risks that affect their security and livelihoods. Training must therefore be grounded in a farmer's reality and therefore, the emphasis is on demonstration, rather than just teaching, and also in a local language, to ensure proper understanding.

Community Investments in Ghana (Key Issues)

50. The list of 38 communities already engaged in the project (during preparation) is provided in annex 6. These communities were visited by a team comprising the World Bank and forest district officers. A focal point for each of these communities has been assigned by the community as listed in the Annex. The NSC members come from within these communities. It is these communities that should be engaged first. The list also includes an additional 14 communities that need to be sensitized prior to entry. Annex 6 also outlines key questions raised by community members regarding the project and these include concerns regarding ultimate ownership of the trees, sustainability of activities, etc. All these concerns are extremely valuable and insightful and should be addressed at the first instance the NEA enters the community. Many of these communities have seen projects that have come and gone without lasting impact and it is

important to let them know what the project is about, how it is going to be executed, and most importantly, that the subprojects are demand driven around specific thematic areas.

51. **To combat deforestation, a thorough understanding of the land and tree tenure of Ghana is necessary, largely because it is complicated.** With regard to local peoples, the traditional/local authority, in the form of the local stools or chieftaincy, exists alongside the government-created institutions and framework. It is this traditional/local authority that controls a lot of land in the areas outside the major cities. There is no state land in these communities except in rare cases and therefore, registered land will not be easily found. It is widely established that except for state land and indigenous family-owned lands, the traditional stools and their associated chiefs are custodians of traditional lands. Thus, in the Ghanaian setting, if a farmer is from that locality and has ancestors who have come from that community, then he is an indigenous person and has rights to use land either accessed through the chiefs (for lands under the jurisdiction of the chief) or from his family head, who may have land that he allocates to family members. The indigenous person, therefore, can use this land to farm and plant what he wants. It is important to note that the term indigenous is different from that used in Latin America. In Ghana, an indigenous person has strong ties to the land in the community as a result of ancestry. He/she is not a minority and has more privileges than someone with ancestral ties outside of that community or ethnic area (migrant).

52. In communities, there are those who do not have ancestral ties to the community nor the wider ethnic group. These people are called migrants or strangers. They are often the more marginalized in society and the least powerful. They represent a group from one ethnic area of Ghana (for example, Ewe in Volta or people from Northern Ghana) who have migrated (sometimes decades ago) to their current locality. These migrants do not have a similar access to land. Migrants enter into land-sharing arrangements entitled *abunu/abusa*, which is a particular type of sharecropping arrangement common in Ghana. Under *abunu* arrangements, the migrant shares the produce equally with the landowner/landlord while under *abusa* arrangements, the migrant gives one-third of his maize crop to the landowner/landlord. The migrant cannot plant forests and permanent trees on the land without permission of the landowner. He may, however, be able to plant nonpermanent, short-lasting trees that are easily removed such as cocoa or *Leucena* sp. (nitrogen-fixing) or larger shrub-like trees. Some studies have shown that migrants are more reluctant to plant slow-growing trees on their farms. For this reason, the project implementers need to ensure that migrants interested in planting trees on any of their lands have rights to plant trees on the land. Those who are not permitted to plant on their farms can engage in other climate-related or livelihood activities that the project supports.

53. **Despite local chiefs' governance of land allocations, many do not have the resources to bring development to the local area.** It is usually left to the Government and NGOs and other development partners to bring development to local areas. However, the chief is a very necessary part of any development because he, particularly when held in esteem by the community, is a very powerful development partner. In this respect, some chiefs in the Brong Ahafo Region project have indicated their willingness to give some lands for community investments under the project. In the Western Region, unlike the Brong Ahafo Region, land is very scarce and, therefore, it is unlikely that there will be much land to be allotted for 'community use.' However, the strong participation of the traditional authority will auger success for the project.

54. **Chiefs should be targeted for basic training to ensure that they also understand the logic behind the project.** It would be important for chiefs to become the key spokespersons against deforestation to ensure the integrity of the landscape. With regard to the particular threats contributing to deforestation, the chief is particularly well placed to fight against illegal surface mining. The more the chiefs are trained in the Brong Ahafo and Western Regions even beyond the project communities, the stronger is the defense against surface mining and other threats to deforestation. For this reason, a core course should be developed for the traditional authorities to ensure that they know the impact of surface mining and other destructive practices and what it can do to a community. Trips to Kibi and Asiakwa can be arranged to see the landscape and the poisoning of all the rivers in the area. This way, it is hoped that these chiefs become spokespeople for their communities.

55. Community investments, however, require strong community ties and organization is a necessity since the community, as a whole, will be responsible for managing the investment. For community investments, therefore, a methodology of governance and responsibility must be detailed to ensure adequate management of the investment as well as the sharing of any benefits.

Individual Investments (Key Issues)

56. Many farmers in the Western Region have converted their land to cocoa farms. This means that there is very little land available for food production in some areas such as the Western Region. Cocoa farmers have ample funds during the cocoa harvesting season but this soon runs out due to inadequate FM and planning. Farmers in this region are therefore preoccupied with finding additional land on which to plant food crops. For this reason, the project will also fund FM and planning courses, in an effort to get cocoa farmers to budget wisely so that they have enough funds for much of the year. It will also fund food production such as planting food crops in a manner that does not require significant land requirements (for example, planting vegetables in barrels or on flat roofs or in other unconventional spaces). Clearly, farmers who have land scarcity issues are better served by not investing in trees (unless they are planting shade-grown cocoa) and are better served by engaging in other investments.

57. Individual investments are included for grant support because even within the community there are varied levels of commitment to NRM and climate change. Some individuals are highly motivated because of their interest in these issues. Others are interested for perceived financial reasons, and therefore, the rationale for the investment and its link to climate change/REDD+ has to be very clearly outlined or there will be individuals and groups who will plant trees only to completely cut them down for financial benefit without having a plan in place that results in continuous cover. Plantation rotational strategies are, therefore, a key required training in this regard, particularly for charcoal and other producers. *While there can be financial benefit from planting trees—non-timber forest products, fuelwood from branches, fruit, enhancement of cocoa trees, etc—the requirement of continuous, even if cyclical, basic tree cover is important and needs to be clearly articulated and understood, particularly by individual investors, before the call for proposals.* Individuals that have similar interests will be formed into groups for ease. They will open one bank account for release of tranches up to 25% of the grant fund.

Investments for CBOs (some Key Issues)

58. **The landscape of CBOs, particularly those that are climate-change/environment related, are relatively few in the Brong Ahafo and Western Regions.** The project completed an inventory of CBOs operational in the Western and Brong Ahafo Regions (annex 7) and although several CBOs exist in name, many are barely active and do not carry out any activities. Some CBOs are able to remobilize when there is funding and disperse when there is none. The criteria for selection of CBOs that were eligible to be supported by the project, therefore, included those that had been operational for at least five years. This criteria is necessary to ensure that CBOs are not being formed deliberately to capture benefits from the project, as is a common problem.

59. Brong Ahafo has significantly more long-established CBOs than the Western Region. A field investigation of CBOs was launched to ensure that those eligible for participation were of repute and operational. Long-standing CBOs in Brong Ahafo include (a) Maawie Charcoal Producers and Tree Planters Association from Kwame Danso Community; (b) farmers from Twumkrom Community, who plant trees on degraded lands; (c) Taungya Farmers Group, from Koradaso community; (d) Bonte Charcoal Producers and Tree Planters Association from Bonte Community; (e) Charcoal Union from Dromankese with an established teak farm; (f) Nkoranza Charcoal Association from Nkoranza, who plant trees and sell charcoal but whose farm was destroyed by bush fire. There are also a few communities in Brong Ahafo that undertake group activities but are not formed into a CBO. These include the Dormaa Traditional Area, which manages a forest sanctuary; the Nsuhia Community that plants in degraded areas and have in the past been targeted by FC officials for technical training in tree planting; and the Nsoatre Community that restores degraded forest and helps fight fires.

60. In the Western Region, the Kunkumso Farmers Association in Kunkumso and the Rainforest Alliance and CREMA from Elluokrom plant trees on their cocoa farms as part of their activities. A third CBO, the Jomoro Agro Forestry Group from Jomoro Enchi is well established and has received funds from CARE international (2008–2012) and Conservation Foundation (2012–2014) on climate-change issues. Some CBOs have no name but meet irregularly for tree planting activities, such as in the communities of Suiano and Datano.

61. It should be noted that unlike other G-DGM countries, particularly in Latin America, most CBOs in the Brong Ahafo and Western Regions do not have the capacity to handle large sums of funding nor do they have the capacity to execute more than small-scale activities in a particular location. The investments for CBOs will therefore more than likely need to be supported by the NEA. In the rare cases where CBOs have adequate capacity, they will be able to manage their funds and their programming without consistent support.

62. The intent of the project is to build capacity within the CBOs to better understand the core principles related to REDD+ and to ensure their ability to continue to work with communities after the project has ended. Finances always remain a constraint but those selected are already, to some extent, self-sustaining with regard to continuing with meetings and smaller-scale activities. It is these that will be expected to continue after the project has been completed. The CBOs will undergo basic training and further training under the CBO grant window if selected. The NEA should, therefore, ensure that the CBOs who obtain grants are listed in Annex 7. If other CBOs exist that are not included in the list of eligible CBOs, have been established for

the last 5 years, and are active and known to the communities, their names should be submitted to the World Bank for review and approval prior to its inclusion.

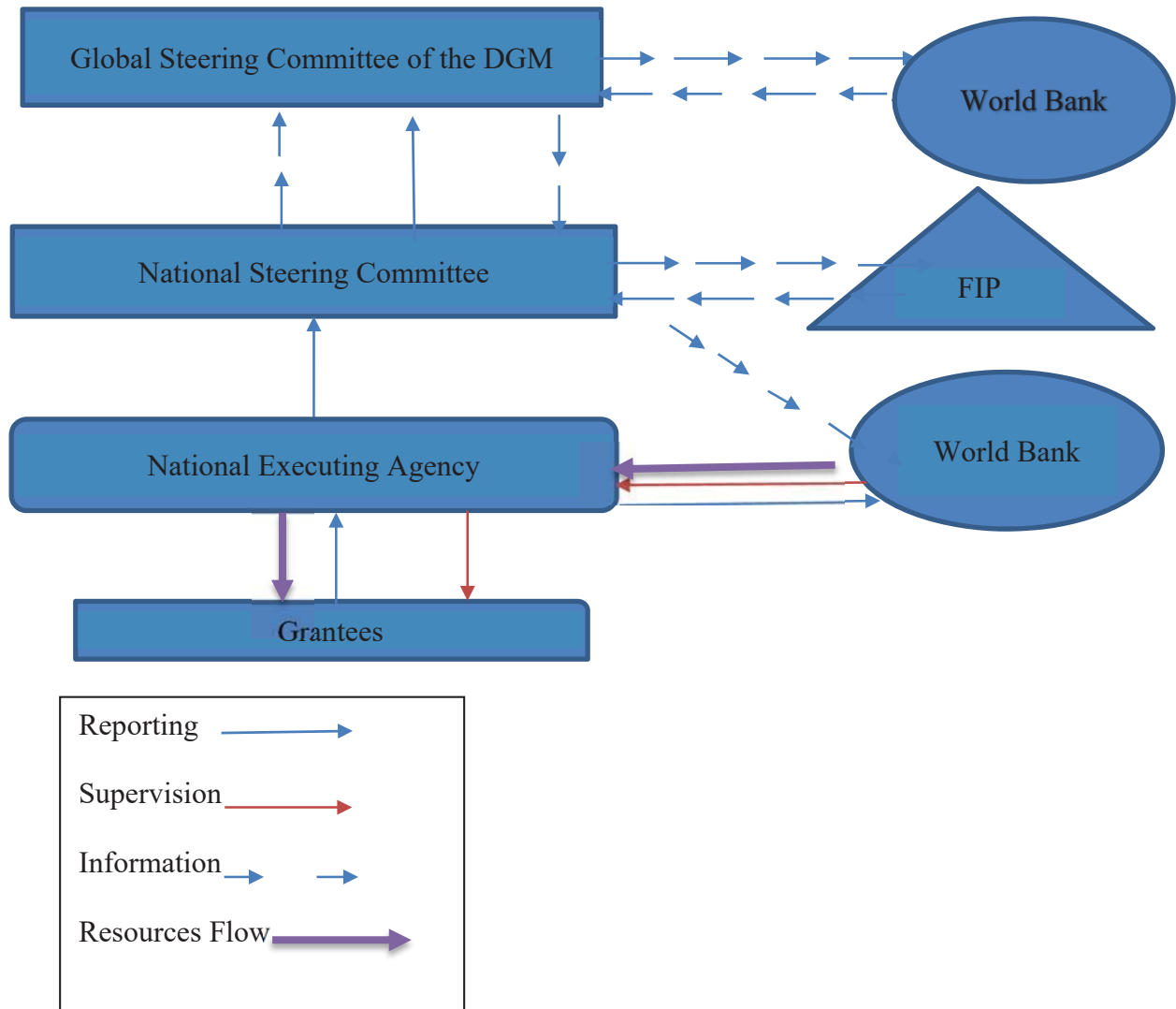
Annex 3: Implementation Arrangements

GHANA: Dedicated Grant Mechanism for Local Communities Project

G-DGM Implementation Arrangements

1. The G-DGM has developed a governance and management arrangement for coordination, partnership, and synergies. An NSC will oversee project implementation, and Solidaridad will be in charge of the actual implementation of the project. The roles and responsibilities of these institutions are described in the following paragraphs and pertain to the role as project implementer, secretariat to the NSC, and entity responsible for the fiduciary, monitoring, safeguard, and procurement aspects of the project. Figure 3.1 is an outline of the reporting requirements of each implementer. The NSC is able to share information with the World Bank directly. The NEA will informally coordinate field level activities with the FIP where necessary to ensure complementarity.

Figure 3.1. Outline of Reporting Requirements of Each Implementer (adapted from the DGM Global Program Document)



2. **The NSC.** The NSC's key roles and responsibilities are as follows:

- Select the NEA to be the executing agency of the NSC through a competitive process.
- Approve and contribute to the eligibility criteria for funding and the process for accessing funding as laid out in the Grants Manual.
- Review and make funding decisions on eligible community proposals to award the grants envisaged under Component 2.
- Review the progress of subprojects as compared with the Results Framework and discuss the lessons learned to apply them to the future subproject design and implementation.
- Conduct any on-the-ground monitoring of subprojects in their communities, as necessary, and offer encouragement as needed.
- Act in the wider community's interest.
- Conduct themselves in a way that is transparent and ethical to ensure minimal complaints, particularly regarding G-DGM funding proposals.
- Monitor the grievance process to ensure that community and other grievances are recorded and addressed.
- Provide updates to the Global DGM Steering Committee.

3. The NSC is also expected to (a) participate in meetings of other national REDD+ committees and FIP institutions, ensuring that G-DGM lessons are transmitted to ongoing national processes; (b) seek feedback from LCs on the G-DGM, identify needs, and collect and send ideas to the GSC to be supported by the global component; and (c) raise funds through other programs and mechanisms.

4. The NSC includes 13 representatives from LCs who have been selected by the communities. The process of selection took place between late November and mid-January 2016. Four observers assigned to the NSC were selected in March 2016 and include the FIP coordinator; two NGOs, (Brong Ahafo NGO and Forest Watch); and a representative of the World Bank (consultant). An NEA representative will also attend the NSC meetings. The chairman of the NSC will participate as a member in the GSC.¹⁴ Appropriate principles of

¹⁴ The preliminary selection of LC representatives in the NSC was balanced by geographic area, ethnic diversity, and gender and complied with the criteria established in the DGM Framework Operational Guidelines (paragraphs 26 and 27), the FIP Design Document (paragraphs 16.d and 20.b), and its Annex III (Guidelines for Consultation).

transparency and accountability will be built into the NSC's decision-making processes. Its functions and membership will be further detailed in the POM.

5. The World Bank can remain as an observer on the NSC but only if the NSC requests the World Bank's continued presence. If the World Bank exits, a technical advisor to the NSC would be helpful to fill the gap, particularly for the first round or two of proposal evaluations and awards. During the NSC meetings, observers will provide inputs on technical soundness, operational feasibility, and alignment of proposals with national policies. Observers will participate in the process for strategic NSC decision making but will not participate in the selection of community proposals for funding nor be allowed to vote.

6. The LC representatives to the NSC were chosen through a self-selection process (annex 6) in accordance with procedures determined by them and their decision-making institutions. At the regional workshops carried out as part of the consultation process for project preparation, LC representatives were voted in to form the NSC. This selection complied with the criteria set forth by the DGM Framework Operational Guidelines (paragraphs 26 and 27) and the FIP Design Document. Appropriate transparency and accountability principles will be built into the NSC's decision-making processes. Its functions and membership will be further detailed in the POM.

7. **The NEA.** The NEA (Solidaridad Network, West Africa) was selected as the NEA by the NSC through a competitive process. Solidaridad is a non-profit and nongovernmental organization that meets the World Bank's program-related, fiduciary, and safeguard requirements. The World Bank approved the short list of candidates and the final selection. A financing/grant agreement was signed by the NEA and the World Bank to administer the grant scheme. The NEA will begin operations following project effectiveness. Subsequent grant agreements will be signed by the NEA and the individual grantees. The NEA's principal responsibilities include the following:

- Act as secretariat for the NSC and in that capacity organize meetings of the NSC (two or three times a year), including venue, hotel and travel, transport costs, etc.
- Make arrangements for the translation of documents of the G-DGM and interpretation services, if necessary, during meetings.
- Develop and facilitate on behalf of the NSC, a suitable mechanism for resolving complaints and claims (Grievance Redress System).
- Increase transparency by publicizing the results of each round of applications (who was selected, which community, and what project) in all communities.
- Implement all aspects of the project on the ground, including Components 1, 2, and 3, and ensure their successful on-time implementation.
- Ensure that the NEA has experienced staff in sufficient numbers (commensurate with a grant scheme of this size) on the ground to ensure smooth and efficient implementation.
- Provide the NSC with all relevant work plans, budgets, etc and seek their approval for the annual work plan.

- Attend NSC meetings and reviews of grant agencies to provide technical or operational input.
- Perform all other secretarial tasks such as specifically required by the NSC.
- Maintain communications with stakeholders in the country.
- Inform the World Bank of any grievances that cannot be handled within the scope of the GRM.
- With the NSC, liaise with the GEA of the DGM and provide updates and reports on the program's progress as agreed with the GEA and the DGM GSC.
- Ensure community feedback is incorporated into the user guide and outline its contents to all, including the illiterate.
- Monitor and produce quarterly reports on the outcome of important project milestones and make updates to the NSC and the World Bank. This shall include written reports, videos, and photographs. All the reports must be quantified and should be verifiable.
- Provide information on the Ghana project using the reporting model, in accordance with the agreed schedule.
- Procure goods and services on time without much deviation from the Procurement Plan to ensure that products are delivered sequentially, particularly trees and forest items that need to be procured in advance to ensure that plantings are coordinated with the rainy season.
- Trust and saving responsibility. In the implementation of project activities of the G-DGM as approved by the NSC, comply with all applicable policies and procedures of the World Bank and ensure value for money for procured goods and services so that more community members can be served.
- Prepare/revise or update the POM. The manual describes how the component's 'national grants' will be administered, including procedures (due before grant signing) to
 - conduct efficient management, monitoring, and evaluation of the project as well as all the fiduciary, safeguards, M&E, and procurement aspects of the G-DGM and
 - conduct annual audits using an internationally reputable firm.

The NEA and Requisite Human Resources

Coordinator

8. The NEA must be equipped with a coordinator, who can plan, strategize and organize the flow of activities. The coordinator will be responsible for ensuring a smooth coordinated process and therefore planning skills are essential. The coordinator has a variety of tasks including (a) ensuring that the training is planned well and executed in a timely fashion; (b) ensuring that there

is no delay between the basic training, preparing of grant applications, and implementation—evidence of the ability to strategize and plan well; (c) working closely with the trainers to ensure their on-schedule delivery of the training packages; (d) ensuring that the timing on planting of trees is commensurate with the rainy season in areas where water is not readily available; and (e) working with the procurement specialist to ensure that procurement is not delaying the rollout of the implementation. This specialist, is also responsible for ensuring that the procurement, M&E, safeguards, and FM aspects are carried out transparently and on time. To reduce delays, the coordinator should work with the rest of the team members and jointly discuss and determine which options would work best for the swift roll out of the project—for example, the coordinator, NRM specialist and knowledge specialist will decide whether the call for proposals should be along thematic lines (that is, first call for all those interested in tree planting) to allow for forestry trainers to complete sessions and exit or whether another strategy will have a better outcome. Other planning considerations are needed. For example, for tree planting in particular, the calls for proposals must be made well in advance of the rainy season, so that the training is complete, the proposals are accepted, and the seedlings already procured and planted before the start of the major rainy season (May–July), to ensure maximum survivability. The recruitment of the coordinator will take place prior to effectiveness and this person will be full time, answerable to the Director of Solidaridad. The coordinator should have specific planning expertise.

Knowledge Management Specialist

9. The NEA should also be equipped with a knowledge management specialist who organizes the training packets and the way in which the training is to be delivered for Component 1. Given that many farmers are illiterate, training needs to be tailored to this fact, using on-farm training and field-based training rather than lecture-style training. Therefore, training should be hands-on and include field-based venues, taking the opportunity to use farms, degraded areas, woodlots, etc as a living classroom. Trainees should be encouraged to share local traditional knowledge that supports these concepts to enhance their understanding. Simple, uncomplicated films and documentaries should also be used to improve comprehension of key concepts. Training should also focus on the link between local on-the-ground activities and local and global impacts, what is being done in Ghana and other nations to combat climate change and deforestation, and opportunities—that is, the benefits of climate-adapted livelihoods, climate-smart investments, and opportunities in carbon payments and credits.

10. For further in-depth training, local and international trips should be arranged. As mentioned previously, selected participants are those community members who emerge from basic training as particularly interested, passionate, and with a knack for understanding and going further. The particular destination must (a) highlight an issue/problem that needs resolution and/or (b) highlight a climate change/avoided deforestation activity that has benefits to the community or has improved the community and its environment. For example, an effective woodlot scheme that communities are embarking on, use of non-timber forest products for commercial activities, organic farming and marketing, organic cocoa production and marketing, carbon credits, etc.

11. The knowledge management specialist and the NRM/Climate change specialist should work together to plan the capacity building aspects of Component 1. Additional technical assistance can be drawn from the community if expertise exists, from the Government with a

Memorandum of Understanding, or from the Forestry Services Department of the FC, particularly from the FIP (for tree planting) or from the private sector through consultancies, either locally or internationally. The knowledge management specialist must liaise with the coordinator to ensure that knowledge is delivered on time so as not to delay the roll-out of the project. The knowledge management specialist will report to the coordinator.

Climate Change/REDD NRM Specialist

12. The climate change/REDD+/NRM specialist on the team will be responsible for overall technical content of the project and will develop the technical content for all the trainings in partnership with the knowledge management specialist. He will also participate in the technical assistance training and the training of the community members to add technical content. His role will be largely in the field, working with the knowledge management specialist and the field level officers to train them on content, as well providing content and direction on the deliverables of the project. The Climate change/NRM specialist will be responsible for ensuring that the goals of the project as relates to REDD+ and climate change are met. The Climate change/NRM specialist will report to the Director of Solidaridad.

Organization of Solidaridad Ghana and Field Offices for the Project

13. Solidaridad's core structure for the project will comprise a project coordinator, an NRM/Climate change specialist and a knowledge management specialist. The support team includes a finance officer, a procurement specialist, an M&E officer, a part-time social/environmental specialist, and field staff. The knowledge management expert, the procurement specialist, the part-time safeguard specialist, and the field staff will be consultants of Solidaridad staff recruited by the project and working for the project full-time.

14. After discussion with Solidaridad, the Bank has determined that: a) the project will have to recruit a full time coordinator with a rural/urban planning background and some knowledge of climate change/NRM using World Bank guidelines and contract frameworks; b) a knowledge management expert, c) a procurement officer; d) and environment/social person (part-time). An NRM/Climate change expert is already on the team with Solidaridad and will be paid for by the project; c) The project will also use Solidaridad's M&E officer and FM officers. The efficacy of this structure and competences will be re-examined after the first year of implementation and the Bank will give the no objection to any additional staff recruits. The field offices will comprise four full-time officers, two per region, and two additional part-time staff. These are either Solidaridad staff or contracted (and trained) consultants. The procurement position is a one year renewable contract.

15. In terms of communication, the World Bank will interface with the coordinator for day to day follow-up and with the regional Director of Solidaridad for higher level discussions.

The Grievance Redress System and Information Sharing

16. **GRM and complaints procedures.** In accordance with the DGM Framework Operational Guidelines, a GRM will be established and further detailed in the POM. These

mechanisms and procedures will ensure that all complaints received from LCs and other interested stakeholders related to a grant award decision, representation in the NSC or GSC, or the governance of the program will (a) have a properly written record; (b) receive immediate, on-the-spot resolution of issues; and (c) be publicly reported (with regard to complaints received and actions taken on each complaint). Regardless of the nature of the grievance, the G-DGM will ensure that a transparent, timely, and fair process is adopted to address each complaint. Complaints will be acknowledged within 10 business days with a written response to the complainant, detailing the next steps to be taken, including escalation when appropriate.¹⁵ The NEA will record all complaints received in a publicly accessible online system that will allow complaints to be tracked and monitored. All feedback and complaints received will be displayed on the G-DGM website. For this reason, the NEA should include a page on its website where complaints can be sent, as well as other avenues (phone, text, mail) by which to lodge complaints from LCs. Responsive actions should also be posted on the site. This mechanism should be established within the first six months after approval of the project.

17. This GRM information will be available in a more culturally appropriate manner, depending on local circumstances. The abovementioned GRM is without prejudice to any additional mechanism established to determine whether the World Bank has complied with its operational policies and procedures (including social and environmental safeguards) and to address related issues of damages. More details will be provided in the POM.

18. The G-DGM will ensure culturally appropriate and easy access to information on the program, grant-funded projects, status of project proposals under review, and contact points. This information will be provided on the NEA and GEA websites, in information-sharing meetings organized for this purpose, and through other culturally appropriate means of communication. The NEA and GEA will maintain open lines of communication and actively reach out to stakeholders. The NEA and GEA will regularly review feedback received, respond to questions and comments on the websites, and report to the NSC and GSC on actions taken.

19. The initial point of contact for all grievances will be with a dedicated staff member within the NEA. The NEA and GEA will assign a staff member to receive and acknowledge complaints and feedback. The name and contact information of the staff member will be on the website and in all printed program brochures. Complaints will be acknowledged within 10 business days with a written response to the complainant, detailing the next steps to be taken, including escalation to the NSC or the GSC's grievance subcommittee (GSC) level when appropriate. The NEA will record all complaints received in a publicly accessible online system that will allow complaints to be tracked and monitored. All feedback and complaints received will be displayed on the G-DGM website with complaint numbers to help the complainant in tracking the progress. This information will be available in a more culturally appropriate manner, depending on local circumstances.

¹⁵ It is expected that the NEA can and should resolve the majority of grievances filed on the spot. When the NEA cannot resolve the issue, the grievance will be escalated to the NSC. If the NSC cannot resolve the issue, it will be escalated to the GSCGSC. In each instance, the written response to the complainant will indicate which entity (that is, NEA, NSC, or GSCGSC) will handle the complaint.

20. It is expected that the majority of grievances filed can and should be resolved on the spot by the NEA. When the NEA cannot resolve the issue, the grievance will be escalated to the NSC. If the NSC cannot resolve the issue, it will escalate it to the GSC. If the complaint is related to decisions on grant applications by the NSC, the complaint will be referred to the NSC. If it relates to MDB policies, an MDB staff member from the respective country office of the MDB may be invited by the NSC to its meeting to interpret the relevant policy. If the complaint does not fall under the mandate of G-DGM operations at the country level but relates to (a) the policies of the DGM as a whole, (b) the governance of the DGM in the country, or (c) complaints that could not be resolved at lower levels, the matter will be taken to the GSC's GSC, which will be formed to handle escalated grievances upon request.

21. In each instance, the written response will indicate which entity (that is, NEA, NSC, or GSC) will handle the complaint. That entity will then seek agreement on an approach with the complainant. The parties will engage in the process, implement the agreed actions, and record the outcome. Alternatively, the parties could be unwilling or unable to engage in the process. In this instance, the complainant will be offered the option of taking the matter to the next level (that is, NSC or GSC), referring the issue for mediation, or closure. The appropriate entity will record all outcomes in writing. It is expected that resolution and closure would occur within 30 days of receipt of the initial complaint at the staff level.

22. Regardless of where the complaint is handled (that is, at staff level or at the NEA, NSC, or GSC level), the dedicated staff member will write a brief note on the options discussed with the complainant(s) and the agreed action(s) to be taken to resolve the issue. Following implementation of the agreed action(s), the outcome will be recorded (that is, resolution and/or closure) and both parties will sign. Whether agreements are reached through direct conversations or mediation, all supporting documents of meetings needed to achieve resolution should be part of the file related to the complaint. At all stages of the process, the NEA will keep the MDB in the country informed and maintain a comprehensive record of all correspondence and decisions on the issue.

23. The abovementioned grievance and complaint mechanisms are without prejudice to any additional mechanism established by the MDBs to determine whether the World Bank has complied with its operational policies and procedures (including social and environmental safeguards) and to address related issues of damage. More details will be provided in the POM.

24. The proposed project will be implemented over a period of five years (2017–2022). These implementation arrangements are also under consultation with LCs. The cost for the maintenance of the Grievance Mechanism will be financed under Component 3.

25. The World Bank's administrative costs for supervision will be financed from the reserve fund under the FIP and in accordance with CIF benchmarks for project supervision.

Financial Management, Disbursements, and Procurement

Financial Management

26. A financing/grant agreement is being signed by Solidaridad Network, West Africa and the World Bank to administer a grant scheme. Solidaridad will maintain FM arrangements that

are acceptable to the World Bank and that, as part of the overall arrangements that the recipient has in place for implementing the operation, provide reasonable assurance that the proceeds of the grant are used for the purposes for which the grant was granted. Minimum internal controls, including internal audit, should be available before the flow of funds.

27. The POM will describe the FM, accounting, and reporting responsibilities of the NEA and sub-grant recipients. The World Bank FM specialist will review and approve the final country Operational Manual before project effectiveness.

Summary FM Assessment of Solidaridad

28. The overall FM assessed risk for this project is Substantial. The lead implementing agency will be SWA, an NGO implementing the program. The RD has the overall responsibility for the accounting and FM systems of SWA as the sole person responsible to the Continental Supervisory Board of the Solidaridad Network. In terms of FM and fiduciary, the RD shall be advised by the financial controller on all matters pertaining to the standards and best practices for FM and corporate governance-related matters.

29. The specific operational accounting and related FM function will be the responsibility of the financial controller, while the routine daily transaction processing shall be delegated to a focal project accountant. The policies guidelines and operational procedures required to support implementation will be consistent with that of SWA's financial procedures as detailed in the Finance Manual and complemented by the IDA-approved POM and Grants Operations Manual and the various IDA FM and disbursement guidelines.

30. Specifically for the G-DGM, the financial controller, with the assistance of the dedicated project accountant, will have operational oversight responsibilities with regard to ensuring compliance with financial covenants such as submitting unaudited IFRs, maintaining internal controls over project expenditure, ensuring value for money in the use of project funds, and engaging external auditors. The financial controller will also be responsible for maintaining and operating the project's designated account and making payments and transfers for eligible project-related expenditure (according to the respective approved annual work plans) to service providers and verifying and authorizing payments for all contracts and activities under this project.

31. **Strengths and weaknesses (if any).** A key strength of the FM arrangements is the fact that SWA has an already established FM and accountability system in place with adequate segregation of functional duties and oversight responsibilities; these will be expected to ensure that funds under the G-DGM are used properly and reasonably ensure value for money in transaction. A potential weakness could arise from the CDD and small grants aspects of the project design, which will have an inherent fiduciary control risk. However, the review indicates that SWA has in the past and also is currently managing a grants scheme on behalf of the Dutch government (COPRI)—estimated at US\$7 million, and so it has, over time, developed effective financial and performance monitoring mechanism for such small grants.

32. **Budgeting arrangements.** The budgeting arrangements and guidelines for implementing the G-DGM program will be in line with the existing guidelines as documented in the Finance

Manual and complemented by the guidelines in the POM. The budgeting process is initiated by the RD through a series of meetings and brainstorm sessions with the respective program/departmental staff to agree and set goals. Draft targets and activity budget are then coordinated by the financial controller for finalization and onward submission to the management team for approval.

33. Once the budgets are approved, copies are made available to the financial controller to enable him to monitor and review adequate budgetary control on expenditure. Specifically for the G-DGM grant, to a large extent the above budgeting process will be followed, subject to the final clearance and approval by the World Bank task team leader (TTL) to ensure that all units and component activities are correctly reflected in the annual work plans and budget. The assessment concludes that the budgeting arrangements are adequate. The annual program budget and work plan should be submitted by November 1 each year. For the first year of the project, the activity plan should be submitted prior to effectiveness.

34. **Accounting arrangements.** Accounting and transactional processing for the project will be handled by the financial controller through a dedicated project accountant who is part of a team of staff managing the accounts and finance functions of SWA. The financial controller has the requisite academic and practical experience satisfactory to the World Bank to support the implementation. The accounting function is informed and guided by the Finance Manual which has been designed to reflect the financial transactions and procedures (including the levels of approval, chart of accounts, etc.) to guide in the accounting and recording of financial transactions.

35. The financial controller is the officer responsible for managing the various subunits and accounts officers and is responsible for ensuring financial reports are prepared on time and in line with acceptable accounting standards. The review noted that the unit is staffed by adequately qualified and technically competent staff. The unit will ensure compliance of FM arrangements of the grants disbursed to subprojects (as described in the Legal Agreement) and be responsible for preparing consolidated reports on uses of financial resources. The processes and procedure for financial accounting are documented in the Finance Manual, which has been recently updated and found to be satisfactory and further complemented by the guidelines according to the Project Operations Manual and the Grants Operational Manual.

36. SWA uses a computerized accounting package (Tally - ERP system) and spreadsheets for transaction processing and reporting. This is an internationally recognized accounting package with adequate controls and audit trails that are adequate to report on the different source of funding and other related accounting information. A review of the coding structure/chart of accounts, the general ledger and sample reports indicated that the systems in place are robust and adequate to accurately capture and report on the use of project funds. The assessment of the accounting processes and systems conclude that the accounting arrangements are satisfactory and can be relied upon to support implementation.

37. **Internal control and internal auditing.** Presently, given the size and focus of its operations, SWA does not have an internal audit unit as part of its organogram, but the assessment indicates that there are adequate internal control measures, including segregation,

documented levels of approval and authorization, and oversight of functions, which guarantees a reliable control environment.

38. The FM policies, as detailed in the Finance Manual, form the blueprint to guide SWA in ensuring there are adequate internal controls and accountability mechanisms in place for implementing the program. The internal controls, including processes for recording and safeguarding of assets, are documented by SWA, which has been reviewed by the World Bank FMS and considered acceptable. The manual provides awareness to staff, third parties, and partners on the mandatory requirements, functional role and responsibilities, authorization limits and thresholds, policy consideration, and guidelines procedures necessary to ensure sound internal control environment.

39. **Funds Flow.** Solidariad has all fiduciary responsibility in the project in terms for fund management and reporting on any transfers as well as on any cash disbursements. . Funds for implementing the MDTF will all be channeled to Solidaridad West Africa (SWA) for paying for eligible project related expenditure. For components 1 and 2b and 3, Solidaridad will receive, manage and report on the funding. Sub-projects refer to activities as described in *Subcomponent 2A: Community Initiatives* which will be implemented by project beneficiaries. For components 2a, which provides the grant funds, Solidaridad will disburse up to 25% of the grant to grantees in tranches, in accounts created by project beneficiaries, for preparation activities related to the activity such as labor costs for ground preparation, small community level purchases (boots, cutlasses). Beneficiaries and Solidaridad will provide the monitoring. Given the low financial and legal capacity of the community entities who are the recipients of the grants, Solidaridad will retain the remainder of the grant funds to be applied to sub-projects on behalf of the beneficiaries to ensure that procurement at larger scales can be done (e.g., fruit trees that can only be purchased outside the region, solar equipment, etc.). Beneficiaries will do the implementation, with technical assistance, as needed funded through component 2b. Each grantee's proposal will reflect detailed cost breakdown and what will be purchased by the recipient and that to be purchased by Solidaridad. The type of purchases that will be permitted and those that will not be permitted will be further detailed in the POM. Solidaridad's management of these grant funds will require it to maintain a meticulous record of each grant and the expenditures from each grant allocation.

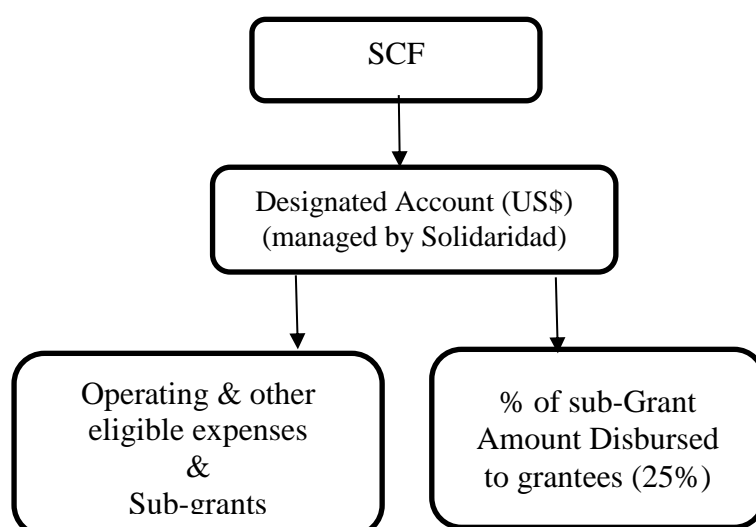
40. **Disbursement Arrangements.** Disbursement arrangements have been designed in consultation with the Recipient after taking into consideration the assessments of financial management and procurement capacities, the procurement plan, cash flow needs of the operation. To facilitate the flow of funds, the project will operate a single US\$ dedicated designated account opened with a commercial bank acceptable to the Bank. The account (*denominated in US dollars*) will be managed and operated by the Financial Controller on behalf of the Regional Director. This account will be used to finance all eligible project activities as defined in the Finance Agreement and the respective approved and annual work plans and budgets. Based on the assessment of the financial management arrangement, it is proposed that, requesting for funds and reporting on the uses of funds under the project will be on Transaction Based Reporting (using Statement of Expenditure Reports) with a proposed ceiling of US\$500,000. It is expected that the unit will maintain adequate filing and archival system of all relevant supporting documents for review by the Bank's FM team during supervision mission

and also for audit purposes. *Additional instructions for disbursements will be provided in a disbursement letter issued for this project.*

41. **Cash Advances.** The cash transfers to grantees in tranches will be considered initially as an advance, to be accounted for by Solidaridad who will obtain the expenditure information from the recipient (receipts, etc.). A sample format for documenting grants is attached in Annex 11.

42. If ineligible expenditures are found to have been made from the Designated Account, the Borrower (Solidaridad West Africa) will be obligated to refund the same. IDA will have the right, as reflected in the Finance Agreement, to suspend disbursement of the Funds if reporting requirements are not complied with. *The Bank's FM team will periodically assess the adequacy of financial management systems and this will form the basis of any change in disbursement methods.*

Disbursement Diagram



43. **Disbursement categories.** The following table specifies the categories of eligible expenditures that may be financed out of the proceeds of the grant, the allocations of the amounts to the grant to each category, and the percentage of expenditures to be financed for eligible expenditures in each category.

Table 3.1. Disbursement Category and Allocation

Category	Amount of the Grant Allocated (US\$, millions)	Percentage of Expenditures to be Financed (Inclusive of Taxes)
(1) Goods, works, non-consulting services, consultants' services; and training under Component 1, 2B and 3 of the project.	2.29	100
(2) Management Fee for Solidaridad	0.41	100
(2) Sub-Grants for subprojects as described	2.8	100

under Subcomponent 2A of the project		
TOTAL AMOUNT	5.5	100

44. **Management Fee:** Solidaridad will maintain a fee for its management of the project. The fee will be capped at 7.5% of project funds and will serve as defacto operational costs for Solidaridad to meet all its administrative and operational expenses, including rents and utilities related to the project. It will also support the services of some basic staff such as FM and M&E staff. All other staff will used on the project will be cleared by the TTL and follow normal Bank procurement processes. This fee will be in a separate cost category called “Management Fee for Executing Agency”. The fee will be disbursed to Solidaridad in two installments each year, the actual amounts for each six month period subject to the clearance of the TTL and FM staff. Documentation on fee expenditure will be a single line item in the SOE.

45. **Financial reporting arrangements.** The G-DGM program manager, through the financial controller, will be required to prepare and submit separate quarterly IFRs to account for activities funded and also request for funding under this grant. In addition, given that documentation will be transaction based, it is expected that the unit will maintain an adequate filing and archival system of all relevant supporting documents for review by the World Bank’s FM team during supervision mission and also for audit purposes. IFRs for the project are expected to be submitted not later than 45 days after the end of each quarter. The financial reports will be designed to provide relevant and timely information to the project management, activities of core and national partners, and various stakeholders monitoring the project’s performance.

46. **Financial reporting for Grant Expenditures.** The G-DGM program manager will report separately on the grant expenditures. The amount of the grant that is paid directly to beneficiaries will be considered an advance, to be accounted for by the grantee to Solidaridad, who will use the statements and receipts as part of the supporting documentation. This system can be revised during implementation as needed.

47. The formats and content of the quarterly IFRs have been agreed upon and provided by the World Bank’s FM team during negotiations. The IFR report should, at a minimum, have the following schedules/annexes, (a) statement of sources and uses of funds showing the use of funds by components according to the Project Appraisal Document (useful in monitoring implementation of the components); (b) a statement of sources and uses of funds showing the expenditure by category based on the Financing Agreement (for allocating expenditure according to the Financing Agreement); (c) a budget variance report comparing the utilization of approved budget against expenditure (useful to the TTL to monitor implementation and fund utilization); (d) a designated account reconciliation statement; and (e) specifically for the grants, a list of payments (for that quarter) out of the designated account indicating such details in aggregates for the various windows under the grants scheme, amount originally approved, transfers to date, amounts accounted for, balances outstanding, etc. Based on the review, it is confirmed that the SWA has in place an adequate accounting system, which can be relied upon to generate credible periodic financial reports.

48. **Auditing.** Since its inception, SWA has been externally audited by a reputable audit firm selected on a competitive basis and affiliated to the international audit firms and a review of a

copies of previous audit reports were satisfactory with unqualified opinions. Before the appointment of the auditor, the TOR will be cleared by IDA to ensure that the scope and coverage of the audit is satisfactory, particularly with regards the extra scope of audit work to be done on subprojects. As a financial covenant, the audit report must be submitted to IDA and copied to other donor partners within six months following the end of each calendar year together with a management letter highlighting any deficiencies in FM systems.

49. **Conclusion.** A description of the project's FM arrangements as documented in the preceding paragraphs indicates that they satisfy the World Bank's minimum requirements under OP/BP 10.00. SWA has a fully functioning finance unit and a dedicated project accounts team, and as such, the overall FM residual risk for the project is rated as substantial.

Supervision Plan

50. Based on the risk rating of the project and the current FM arrangements, it is expected that in the first year of implementation there will be at least three on-site visits to ascertain adequacy of systems and how effective the FM systems are in supporting project implementation. The FM supervision mission's objectives will include ensuring that strong FM systems are maintained throughout the project tenure. In adopting a risk-based approach to FM supervision, the key areas of focus will include assessing the accuracy and reasonableness of budgets, compliance with guidelines on the subprojects as per the approved Grants Operations Manual, compliance with payment and fund disbursement arrangements, and the ability of the systems to generate reliable financial reports. Subsequent reviews will be determined based on the financial performance, quality of withdrawal application, quality of quarterly reports and audit opinions, and this will help in ascertaining adequacy of systems.

51. For this project, the definition of certain terms is as follows:

- The term 'training activities' means the costs associated with the preparation and conduct of training seminars and workshops, costs associated with the remuneration of recruited technical training staff, field-based training, site visits, training trips overseas and locally, technical training workshops, and field visits, including travel, accommodation, subsistence costs for participants, rental of facilities and equipment, communication costs associated with these activities, and preparation and reproduction of materials and other costs directly related to the preparation and implementation of the seminars, workshops, and NSC meetings. These training costs are only associated with Component 1 and Subcomponent 2b training.
- Under goods, field-based vehicles (maximum 2) and motorcycles (maximum 2) may be purchased, as funding permits under Component 3 of the NEA. Vehicle use should not be assigned to one person and its use should be related to field work and training visits and transport of training supplies and equipment under Components 1 and 2. Other goods needed for training could include stationery, plot demarcation devices, audiovisual equipment, equipment related to showing movies, computers, etc.

- The term sub-grant activities means the actual grant disbursed to participants for activities under Component 2. In this category, the only expenses allowed are the grants to communities, CBOs and individuals (US\$2.8 million). The goods to be purchased under this component should relate directly to the subproject implementation (trees, seedlings, solar panels, etc). A separate reporting of all grant-related expenditures is required.

Procurement

52. The Procurement Assessment of the NGO, Solidaridad rated the overall risk as high.

53. **Applicable guidelines.** Procurement will be carried out in accordance with World Bank's (a) 'Guidelines: Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers', dated January 2011, revised July 2014; (b) 'Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers' dated January 2011, revised July 2014, and the provisions stipulated in the Legal Agreement; and (c) 'Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants', dated October 15, 2006, as revised in January 2011, and the provisions stipulated in the Legal Agreement. For each contract to be financed by the Loan/Credit, the different procurement methods or consultant selection methods, the need for pre-qualification, estimated costs, prior review and methods requirements, and time frame are agreed between the borrower and the World Bank in the Procurement Plan. The Procurement Plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity. In preparing the Procurement Plan, the prior review and methods thresholds associated with a risk rating of High is applicable.

54. **Procurement of works.** The procurement will be done using the World Bank's Standard Bidding Documents (SBDs). In case of National Competitive Bidding (NCB), the project must ensure that (a) foreign bidders shall be allowed to participate in NCB procedures without any restrictions; (b) bidders shall be given at least one month to submit bids from the date of the invitation to bid or the date of availability of bidding documents, whichever is later; (c) no domestic preference shall be given for domestic bidders; and (d) in accordance with paragraph 1.16(e) of the Procurement Guidelines, each bidding document and contract financed out of the proceeds of the financing shall provide that (i) the bidders, suppliers, contractors, and subcontractors shall permit the Association, at its request, to inspect their accounts and records relating to the bid submission and performance of the contract, and to have the accounts and records audited by auditors appointed by the Association and (ii) the deliberate and material violation by the bidder, supplier, contractor, or subcontractor of such provision may account to an obstructive practice as defined in paragraph 1.16(a)(v) of the Procurement Guidelines. Contracts would be procured using shopping procedures, based on a model request for quotations satisfactory to the World Bank. Direct contracting may be used where necessary, but it will be subject to the World Bank's no objection.

55. **Procurement of goods.** The procurement will be done using the World Bank's SBDs. Procurement may be done under NCB and shopping depending on the thresholds. In case of NCB, the project must ensure that (a) foreign bidders shall be allowed to participate in NCB

procedures without any restrictions; (b) bidders shall be given at least one month to submit bids from the date of the invitation to bid or the date of availability of bidding documents, whichever is later; (c) no domestic preference shall be given for domestic bidders; and (d) in accordance with paragraph 1.16(e) of the Procurement Guidelines, each bidding document and contract financed out of the proceeds of the financing shall provide that (i) the bidders, suppliers, contractors, and subcontractors shall permit the Association, at its request, to inspect their accounts and records relating to the bid submission and performance of the contract, and to have said accounts and records audited by auditors appointed by the Association; and (ii) the deliberate and material violation by the bidder, supplier, contractor, or subcontractor of such provision may account to an obstructive practice as defined in paragraph 1.16(a)(v) of the Procurement Guidelines. Contracts would be procured using shopping procedures based on a model request for quotations satisfactory to the World Bank. Direct contracting may be used where necessary, but it will be subject to the World Bank's no objection.

56. **Procurement of Non-consulting Services.** This will follow procurement procedures similar to those stipulated for the procurement of goods, depending on their nature, and using the World Bank's SBDs of Non-consultant Services dated December 2002, revised April 2007.

57. **Selection of consultants.** Consultancy services will be provided under the project. The procurement methods will include Quality- and Cost-Based Selection (QCBS); and Selection Based on Consultants' Qualifications (CQS), while selection under Quality-Based (QBS), Selection under Fixed Budget (FBS), and Least-Cost Selection (LCS) methods will be applied in appropriate circumstances, as respectively described under paragraphs 3.5 and 3.6 of the Consultant Guidelines. For all contracts to be awarded following QCBS, LCS, and FBS, the World Bank's Standard Request for Proposals will be used. Procedures of selection of individual consultants would be followed for assignments that meet the requirements of paragraphs 5.1 and 5.3 of the Consultant Guidelines. LCS procedures would be used for assignments for selecting the financial auditors. Single-Source Selection procedures would be followed for assignments that meet the requirements of paragraphs 3.10–3.12 of the Consultant Guidelines and will require the World Bank's prior review and no objection for contracts greater than or equal to US\$0.1 million.

58. **Community participation in procurement.** The communities are not implementing agencies under this project. Nonetheless, where, in the interest of project sustainability or to achieve certain specific social objectives of the project, it is desirable in selected project components to (a) call for the participation of LCs in procurement of goods and services; (b) increase the utilization of local know-how, goods, and materials; or (c) employ labor-intensive and other appropriate technologies. The procurement procedures, specifications, and contract packaging shall be suitably adapted to reflect these considerations, provided that these are acceptable to the World Bank and consistent with the World Bank's core principles of transparency, fairness, efficiency, and economy.

59. **The community may participate in delivery/provision of goods, works, and services,** through the preparation of a simple simplified proposals/quotation, with resource schedule and related cost. At least three of such proposal/quotations will be compared by the IANEA and the lowest evaluated bid, which gives value for money is selected. There is no need for a bid security. Simple contract forms must be signed between the IANEA and the community or

artisan or group delivering the services with clear measurable outputs which can and should be verifiable periodically till contract completion. Release of funds for such community participation in delivery of goods and services should be in tranches—subject to achievement of set targets. The IANEA must ensure documentation and records keeping of all the community engagements. It is expected that the IANEA will facilitate and support the communities in preparation and delivery of such goods and services, while ensuring that the results for such community participations are supervised, monitored, and achieved. The IANEA is also expected to provide the details of such community engagement and participation, based on their experience with the communities, and sample simple agreement forms in the POM.

60. The procedures proposed and the project activities to be carried out by community participation shall be further elaborated in the Procurement Plan or the relevant POM approved by the World Bank and made publicly available by the borrower.

61. Assignments estimated to cost the equivalent of US\$300,000 or more would be advertised for expression of interest in United Nations Development Business, DgMarket, and at least one newspaper of wide national circulation. In addition, expression of interest for specialized assignments may be advertised in an international newspaper or magazine. Foreign consultants who wish to participate in national selection should not be excluded from consideration.

62. **Capacity-building and training programs, conferences, workshops, etc.** All training and workshops will be carried out on the basis of the project's annual work plans and budget which will have been approved by the World Bank on a yearly basis and which will identify (a) the envisaged training and workshops; (b) the personnel to be trained; (c) the institutions which will conduct the training; (d) duration of the proposed training; (e) the outcome of the training; and (f) the relevance of the training to the project.

63. **Operating cost procedures.** Operating costs financed by the project are incremental expenses related to the implementation of the project, including incremental staff cost, office supplies, operation and maintenance of vehicles, maintenance of equipment communication, rental, utilities, consumables, transport and accommodation, and travel costs and per diem. The procedures for managing these expenditures will be governed by the principles outlined in the accountability framework under the project and on the operational basis acceptable to the World Bank; however, this should not be presented in the Procurement Plan.

64. **Procurement capacity assessments.** As part of the World Bank's fiduciary requirements to ensure that implementing agencies have and continue to have adequate systems, structures, and capacity to administer procurement in compliance with the World Bank's Procurement and Consultant Guidelines under the project, a procurement capacity assessment was conducted on SWA, the IA for the project. The assessment conducted on June 27, 2016 and completed on July 26, 2016, is in accordance with the Procurement Services Policy Group Guidelines and the Procurement Risk Assessment and Management System, to develop an action plan to address the deficiencies detected by the capacity analysis and to minimize the risks identified by the risk analysis, and propose a suitable World Bank procurement supervision plan for the project that is compatible with the relative strengths, weaknesses, and risks.

65. Procurement capacity assessments were conducted in July 2016 to assess SWA's capacity to implement all procurement under the project. The assessment concluded that Solidaridad's procurement systems, procedures, arrangements, and contract administration need improvement to execute a World Bank-sponsored project. Solidaridad has no experience in undertaking procurement in a World Bank project and also has no proficient procurement officer with experience and knowledge of undertaking World Bank procurement, in accordance with World Bank procurement principles and guidelines. Solidaridad has also never executed a World Bank project and the NGO's procurement is done by the financial controller, who is not a procurement specialist. However, for complex procurement, Solidaridad has a procurement specialist that they can use depending on his availability.

66. The procurement cycle management is handled by the FC, as an add-on activity, although there is no procurement function mentioned in their organogram. The bidding process management, mainly for works projects, is handled by external service providers. There seems to be no clarity and separation in the procurement execution and taking of procurement decisions, as it has not been documented and formalized, in a procurement manual. The highest-level staff for making procurement decisions is the RD. There is no standard bidding documentation established to be used by the internal auditor for the various procurement categories. Bid evaluation committees are ad hoc, and there is no evidence of the knowledge of the different evaluation procedures for the categories and types of procurements.

67. Contract management is found to be generally good, as vendors are paid on time; products are delivered on time according to specifications while handling change orders promptly, with regular meetings. Works contracts management is mostly outsourced. No procurement audit has been conducted on Solidaridad before. From the discussion with Solidaridad, it was clear that procurement records are not filed properly to allow an effective procurement audit. It does seem that there are adequate internal technical and administrative controls and anticorruption procedures. The review did not note the existence of appeal mechanisms for bidders.

68. It is also noted that Procurement Plans are not written, and, therefore, the NGO has no history of updating and using the Procurement Plan as a monitoring, evaluation, and management tool. It is noted that the entire procurement under the US\$5.5 million project will be executed by Solidaridad. Thus the value, nature, volume, and complexity of the procurements will pose some challenges to the existing staff of the organization; thus, there is a high procurement risk. The key risks for procurement include (a) lack of sufficient capacity, knowledge, and experience to undertake and manage World Bank procurement; (b) unfamiliarity with World Bank Procurement Documents, Guidelines and Procedures; (c) lack of use of the Procurement Plan as a monitoring, evaluation, and management tool; and (d) possible delays in evaluation of bids and technical proposals and clearance process following World Bank procedures. The assessment, therefore, concluded that the overall risk rating is High. Mitigation measures include recruitment of a procurement specialist who is familiar with World Bank procurement, production of a procurement manual, etc. The detailed mitigation measures can be found in annex 3, in the procurement section.

69. To address and mitigate the above risks and bring the level of the procurement risk to moderate, the following actions are proposed in table 3.2.

Table 3.2. Key Risks and Mitigation Actions

No.	Key Risks	Mitigation Actions	By Whom	By When
(a)	Lack of adequate procurement capacity and knowledge of World Bank procurement procedures	Procure a proficient procurement officer, knowledgeable and experienced in World Bank procurement to undertake and manage procurement under the project, as well as Solidaridad's procurements; assist Solidaridad in setting up appropriate procurement systems, procedures, arrangements, procurement manuals, etc. and also offer hands-on training.	Solidaridad	Effectiveness Condition
		Continuous refresher courses for staff, attendance of World Bank monthly procurement clinic and hands-on training	Solidaridad/ World Bank	Throughout the project life
(b)	Lack of comprehensive information on procurement delivery in respect of the World Bank-funded project	Prepare a Project Operational Manual for the general project with clear procurement procedures and responsibilities.	Solidaridad	Effectiveness Condition
		Organize orientation/project launch workshops for all key personnel.	Solidaridad/ World Bank	After effectiveness
(c)	Possible delays in preparation of quality technical inputs to procurement documents, evaluation of bids and technical proposals, etc.	Start preparation of procurement documentation, including preparation of TOR, specifications, bidding documents, Request for Proposals, etc.	Solidaridad	Just after Board approval
		Set up standard processing times.	Solidaridad	Throughout the project life
(d)	Possible weakness in ensuring contract management (supervision)/administration (monitoring) during contract implementation to completion	Formation of contract management and monitoring team, led by the project coordinator, including the technical and procurement teams, and beneficiaries.	Solidaridad	Just before contracts are signed
		Close monitoring to ensure adherence to stipulated sections in the respective contract documents	Solidaridad	During contract implementation
(e)	Lack of use of Procurement Plans as a planning and	Prepare a Procurement Plan for the project covering at least the first 18 months (if not the entire project) of the project life.	Solidaridad	Before the project goes to the Board-

No.	Key Risks	Mitigation Actions	By Whom	By When
	management tool			this is done
		Review and clear the Procurement Plan.	World Bank	Before the project goes to the Board- this is done
		Continuous updating of the Procurement Plan to reflect actual procurement activities	Solidaridad	Throughout the project life
		Close monitoring of the Procurement Plan on a monthly basis and closely monitor and exercise quality control on all aspects of the procurement process, including evaluation, selection, award, contract signing, and implementation to completion.	Solidaridad	Throughout the project life

70. These thresholds (table 3.3) are for the purposes of the initial Procurement Plan. The thresholds will be revised periodically based on reassessment of the project procurement risks during implementation.

Table 3.3. Threshold for Procurement Methods and Prior Review for HIGH risk rating

	Prior Review Threshold						Procurement Method Threshold						All-National Shortlist of Consultants
RISK RATING				Consultants		Single Source & Direct Contract	ICB		NCB		Shopping		
	Works	Goods	IT Systems+ Non Con. Serv	Firms	Individuals		Works	Goods + Non Con. Serv	Works	Goods + Non Con. Serv	Works	Goods + Non Con. Serv	
HIGH	≥\$5 Mil	≥\$0.5 Mil	≥\$0.5 Mil	≥\$0.2 Mil	≥\$0.1 Mil	≥\$0.1 Mil	≥\$15 Mil	≥\$3 Mil	<\$15 Mil	<\$3 Mil	<\$0.2 Mil	<\$0.1 Mil	≤\$0.3 Mil (All) ≤\$0.5 Mil (Engr+ Contract Spn)

Additional Notes

- Based on specific needs and circumstances, shopping thresholds for the purchase of vehicles and fuel may be increased up to US\$500,000 equivalent.
- The threshold for shopping is defined under paragraph 3.5 of the guidelines and should normally not exceed US\$100,000 equivalent for off-the-shelf goods and commodities and US\$200,000 equivalent for simple civil works.
- The threshold for the use of CQS is determined on a case-by-case basis considering the nature and complexity of the assignment but shall not exceed US\$300,000 equivalent other than in exceptional situations in accordance with paragraph 3.7 of the Consultant Guidelines.
- Operating expenditures are neither subject to the Procurement and Consultant Guidelines nor prior or post reviews. Operating expenditures are normally verified by the TTL and FM specialists.
- Irrespective of the thresholds and category of risk, the selection of all consultants (firms or individuals) hired for legal work or for procurement activities are respectively cleared by the Legal Vice Presidential Unit of the World Bank with the relevant expertise and the

designated Procurement Specialist (PS) or Regional Procurement Specialist (RPS) as required.

- Prior review contracts for the hiring of individual consultants. Apart from legal work and procurement assignments, irrespective of the thresholds and category of risk, which shall respectively be reviewed by the Legal Vice Presidential Unit with the relevant expertise and the designated PS or RPS as required, review of the selection process for all other individual consultants (technical experts) shall be by the TTL.
- Contracts below the threshold but falling within an exception as defined in clause 5.4 of the Consultant Guidelines are also subject to prior review or require the World Bank's prior no objection.
- Special cases beyond the defined thresholds are allowed based on applicable market conditions.
- For thresholds for which a short list may comprise only national consultants, the borrower does not need to publish/advertise in the United Nations Development Business online.
- For procurement value less than or equal to US\$0.3 million, the short lists of consultants can all be nationals (borrowers). The value can increase up to US\$0.5 million in case of consultancy assignments for engineering design and contract supervision.
- The POM must specify the procedures to be followed under the procurement for the sub-grants, such as the following: (a) the NEA prepares the technical specifications or TOR in coordination with the sub-grantee; (b) the NEA and sub-grantee work together to issue the request for quotations (for goods); (c) the NEA works on the TOR for a consultant/firm to train the sub-grantees for services; (d) the NEA receives the purchase order of contract (for goods) and conducts the evaluation and recruitment for services; (e) the sub-grantee receives the goods, works, or services and issues a services/goods received form and sends it to the NEA; (f) the NEA processes the supplier payment; and (g) the NEA supervises the contract execution and use of the goods received.

71. **Frequency of procurement supervision.** In addition to the prior review supervision which will be carried out by the World Bank, the procurement capacity assessment has recommended one supervision mission each year to visit the field to carry out post review of procurement actions and technical review. The procurement post reviews and technical reviews should cover at least 20 percent of contracts subject to post review, as the risk rating is High. In addition, post reviews of in-country training will be conducted from time to time to review the selection of institutions/facilitators/course contents of training, and justifications thereof and costs incurred. Post review involves reviewing technical, financial, and procurement reports carried out by the borrower's executing agencies and/or consultants selected and hired under the World Bank project, according to procedures acceptable to the World Bank.

72. **Fraud and corruption.** All procuring entities as well as bidders and service providers, that is, suppliers, contractors, and consultants shall observe the highest standard of ethics during the procurement and execution of contracts financed under the project in accordance with paragraph 1.16 of the Procurement Guidelines and paragraph 1.23 of the Consultant Guidelines. The Anticorruption Guidelines shall apply to the project.

73. While the thresholds of post and prior review of procurement are clearly outlined, the project should be aware that the TTL retains the right to examine procurement more closely and may request CVs of individuals, as well as any other material pertaining to the selection, for additional due diligence. In all cases of selection of individual consultants, the process must be followed with regard to (a) seeking CVs; (b) short-listing; (c) requiring short-listed candidates to attend an interview comprising a panel of NEA, NSC (where expedient), and other technical experts related to the TOR; and (d) sending a written evaluation report and contract to the World Bank in the case of prior review or in cases of post review as requested by the World Bank TTL. In all cases, the evaluation report should be sent to the NSC as a formality.

Environmental and Social (including Safeguards)

74. This proposed conservation project is expected to have a positive environmental impact because it seeks to promote sustainable development and livelihoods, forest and natural resources management, and climate change coping and adaptation strategies in indigenous lands and LCs whose livelihoods depend on the biome's natural resources. Project activities may also contribute toward reducing deforestation pressures on the remaining forests—on which the livelihood of most LCs relies—and protecting headwaters and riparian zones by reducing water and soil pollution.

75. The nature and scale of the proposed investments will not have significant adverse impacts, and the project is rated as Category B. Despite these positive impacts, the proposed project will be working in various areas, which, although off-reserve, may contain some small community forested groves. The G-DGM built upon the Ghana FIP ESMF and Pest Management Plan (PMP). The FIP ESMF has been reviewed to include activities not covered under the FIP and the specific implementing arrangements for G-DGM. These documents have been disclosed in Ghana, on www.fcghana.org, and at each office of the MLNR and FC regional and participating district offices and at the World Bank's InfoShop. Public consultations took place in all the districts covered by the G-DGM but will be re-disclosed in the specific G-DGM communities before implementation. The following safeguards have been triggered: OP/BP 4.01 - Environmental Assessment, OP 4.04 - Natural Habitats, OP/BP - 4.36 Forests, OP/BP 4.09 - Pest Management, and OP/BP 4.12 - Involuntary Resettlement.

76. Specific country-level features and operational procedures to screen, assess, mitigate, and monitor environmental impacts will be dealt with in the POM. To address the likely steep learning curve of the NEA and the NSC on World Bank safeguards policies, their application monitoring, and overall supervision, training will be provided up front once the authority is chosen and the committee is formed. User-friendly training manuals will be developed, which could also serve as a ready reference on World Bank safeguards. It is envisaged that similar tailored training will be offered to prospective applicants for the grant support under Component 2. Here again, training modules will be packaged in the form of handouts/leaflets for easy reference when developing proposals and during implementation.

77. The proposed project was prepared through an intensive consultation process with key stakeholders: LCs from the Western and Brong Ahafo Regions. Community consultations began in October 2015 during which stakeholders raised a number of issues related to the project (annex 6) and incorporated them into the design. The consultations culminated in each

community selecting an individual who was their representative to attend a regional workshop in January 2016, one in the Western Region and the other in the Brong Ahafo Region. The culmination of the regional workshop (annex 6) was the selection of the NSC members. The final workshop (March 2016), this time at the national level, invited all climate change/NRM-related NGOs/CBOs to discuss the project with the World Bank and Global DGM, culminating in the presentation of the NSC members. The first meeting of the NSC was also held in March 2016 on day 2 of the National Workshop and the second meeting was held in April 2016. The third NSC meeting occurred in May 2016 and the fourth was on June 13 to review the bids from short-listed NGOs. The main features of the proposed project design—the appropriateness of the proposed community demand-driven approach, the eligible activities and proponent organizations, the size of community subgrants, the composition of the NSC, the criteria for the selection of the NEA, the arrangements for social control, etc.—will be fully debated and approved by self-appointed representatives from the LCs in the project area.

78. Due to the community demand-driven approach, the project is not expected to bring any adverse effects for beneficiary communities. Instead, it will support only activities that will contribute to (a) improve the livelihood of LCs; (b) increase their social resilience, adaptive, and mitigating capacity to deal with the social and environmental pressures that they face and that harm their social, cultural, and economic survival; (c) recover and preserve their traditional knowledge; (d) strengthen the capacity of their chiefs to better manage their resources; and (e) connect these LCs to a national and global stage of actors working on climate change issues.

79. OP 4.12 was triggered for this operation. However, sub-grants for community initiatives under Component 1 are unlikely to require acquisition of private land, and the project will not finance any activity that implies loss of private assets or restricts access to natural resources. Most of the activities will take place on (a) community land or (b) individual farm land, which is likely a piece of family land. One of the principles covered in the grant mechanism is avoiding relocation and displacement of local peoples and LCs occupying forest lands. The criteria for selection of activities ensure that no relocation or restriction of access to resources takes place. No subproject that involves loss of private assets will be financed, and proceeds from the grant cannot be used to pay for land acquisition or compensation for this purpose. However, since community activities will develop on a demand-driven basis, minor land acquisition cannot be fully ruled out at the traditional LCs. In these cases, it is expected that all impacts will be addressed through voluntary land donations by the beneficiary communities/families.

80. The project will allow community members who benefit from a sub-grant to donate land and other private assets to the subproject on a voluntary basis without compensation and without any significant or long-term impact on livelihood. The POM will clearly indicate the criteria and procedures to identify cases in which voluntary donations of land or usage rights for parcels of land are necessary for a community initiative, to ensure that these donations are fully voluntary and that adequate mechanisms are in place to confirm that affected parties in cases of loss of access or usage rights are compensated through culturally appropriate means. The following protocol will be refined in the POM and will govern voluntary donation of private assets:

- (a) Voluntary donation is an act of informed consent, and affected people will not be forced to donate land or other assets with coercion or under duress or misled to believe that they are obliged to do so.

- (b) Voluntary donation that meets the following criteria will be allowed:
- The households contributing land or other assets are direct beneficiaries of the subproject.
 - The chief has unoccupied lands under his/her authority and has decided to grant the land for this communal process.
 - No one has to be physically relocated.
- (c) Any affected people will be fully informed that they have the right to refuse to donate land and that a GRM is available to them through which they can express their unwillingness to donate. People will be encouraged to use the GRMs if they have questions or inquiries, either in writing or verbally.
- (d) For households donating land (family land), the NEA will confirm through a face-to-face meeting that the affected people agreed to donate land or other assets without compensation. The minutes of this meeting, which include confirmation that all conditions for voluntary donations are met, will be attached to the signed voluntary donation form. Both the husband and the wife of the affected household will sign this form.
- (e) Implementation of subprojects involving voluntary donation will start only after the NEA has approved the signed voluntary donation form.

81. Strong monitoring and approval mechanisms will be put in place by the NEA to ensure that asset donations are indeed voluntary and that no negative impact on livelihood will ensue. Annual social audits carried out by the NEA will verify the informed agreements of affected people.

82. The POM will also indicate the criteria and procedures to ensure that financed community initiatives are proposed by socially legitimate and representative individuals, CBOs, and community leaders and have received free, prior, informed, and broad support from the proponent communities.

83. In addition to the safeguards guidance that will be provided in each Country Operational Manual, the following activities would be ineligible for funding by the DGM:

- Purchase of land.
- Activities carried out in relation to adjudication of lands under dispute.
- Activities adversely affecting LCs or where communities have not provided their broad support. Evidence of such broad community support may be explained in the project proposal or presented in the form of a letter with the proposal.
- Removal or alteration of any physical cultural property (includes sites having archeological, paleontological, historical, religious, or unique natural values).

- Conversion, deforestation or degradation, or any other alteration of natural forests or natural habitats including, among others, conversion to agriculture or tree plantations.
- Financing of elections or election campaigning.
- Purchase of arms or ammunition.

Monitoring and Evaluation

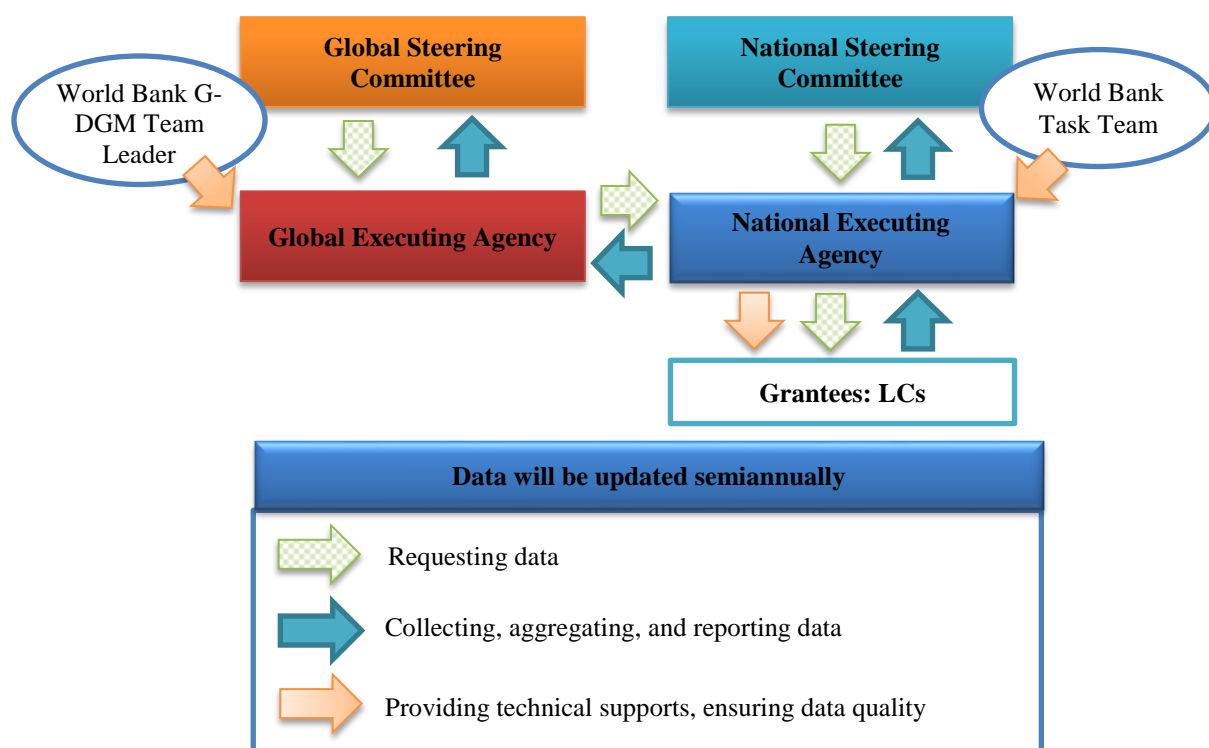
84. Results based M&E will be the key part of the G-DGM's activity to drive diverse stakeholders toward common development objectives while addressing major risks during program implementation, thereby ensuring both upward and downward accountability and enhancing synergies across the program's components. The proposed project M&E will be developed as its own M&E plan but ensuring complementarity with (a) the FIP M&E plan and (b) established FIP rules and procedures. Two main evaluations will be undertaken. A midterm evaluation will measure the progress being made and identify strengths and weaknesses, with the aim of reinforcing positive aspects and making adjustments as needed. The final evaluation will assess, among other issues, the achievement of outcomes and the sustainability of results and will identify lessons learned. Quarterly evaluations will also be required and related reports submitted to the World Bank on a quarterly basis for supervision purposes.

85. The NEA is required to update data into the M&E system on a monthly basis. This database to be established by the NEA must respond to the Results Framework, which requires the tracking of implementation progress.

86. Although all stakeholders have roles and responsibilities for robust M&E, as described in the following charts (

87. Figure 3.2), the NEA will play primary roles in tracking progress related to subproject outputs and outcomes based on each of their Results Frameworks. The NEA will prepare progress reports on results and submit them to the World Bank and the NSC twice a year, as well as quarterly progress reports, including FM and Procurement. For the NEA to fulfill such critical roles with sufficient capacity and resources, the World Bank task team will provide the NEA with technical support and review the data for quality assurance. The World Bank task team will also carry out regular supervision of activities. An independent review of the projects may also be carried out, if deemed necessary by the World Bank task team. The NSC will provide opportunities to the G-DGM stakeholders to review the progress made toward achieving the PDO, comparing it with the indicators, and to discuss lessons learned to apply them to future project design and implementation.

Figure 3.2. Standard Institutional Arrangement for DGM Monitoring, Evaluation, and Learning



Source: Brazil DGM PAD

Table 3.4. Roles and Responsibilities of the Agencies Regarding M&E Data Collection

Grantees-CBOs	<ul style="list-style-type: none"> Developing a Results Framework with the development objective, baseline data, and monitorable indicators for their subproject Collecting, updating, and aggregating the raw data and reporting them to the NEA semiannually Drafting the results stories and submitting them to the NEA
NEA	<ul style="list-style-type: none"> Ensuring that each subproject has an appropriate Results Framework Providing a means of monitoring community and individual activities while they are ongoing Collecting, updating, and aggregating the raw data on subprojects and activities with inputs from grantees monthly and reporting them to the NSC, FIP, World Bank and GEA semiannually Helping grantees draft results stories to be presented to the workshop for networking and knowledge sharing organized by the GEA Evaluating whether subprojects funded by the G-DGM achieved their objectives Providing technical support to grantees to define, measure, and present the results; ensuring data quality; and reviewing drafted results stories
NSC	<ul style="list-style-type: none"> Reviewing the progress of all subprojects and activities for capacity building and comparing them with indicators based on inputs from the NEA Discussing lessons learned to apply them to the design and implementation of future projects Following up on progress of subprojects in specific communities and reporting back to the NSC/NEA
FIP Coordinating	<ul style="list-style-type: none"> Developing and implementing the FIP monitoring system and coordinating activities among projects, the G-DGM, and the private sector throughout the implementation phase

Unit	<ul style="list-style-type: none"> Preparing the FIP's progress reports, which will include key information on the G-DGM
GEA	<ul style="list-style-type: none"> Collecting, updating, and aggregating raw data on the global component (for example, number of results stories) and reporting them to the GEA semiannually Collecting, updating, and aggregating data on subprojects and activities under the country component submitted by the NEA and reporting them to the GEA semiannually
GSC	<ul style="list-style-type: none"> Reviewing the progress of all DGM-funded subprojects and activities across countries toward development objectives and comparing them with indicators based on inputs from the GEAs Discussing the lessons learned to apply them to the design and implementation of future projects
World Bank task team	<ul style="list-style-type: none"> Providing technical support to the NEA to define, measure, and report results, ensuring data quality and reviewing drafted results stories Reviewing the evaluation made by the NEA on the success of subprojects
World Bank G-DGM team leader	<ul style="list-style-type: none"> Providing technical supports to the GEA for defining, measuring, and reporting the results and ensuring data quality Supervising M&E data system on a quarterly basis and during supervision missions

Sustainability

88. Three factors will contribute to sustaining the results and outcomes after the project period: increased knowledge of climate change/NRM issues which lead to behavior changes that are supported by local authorities, chiefs, CBOs, assembly men and extension workers.

89. For farmers and communities, knowledge is a means to engender behavior change. While farmers are primarily concerned with their cocoa farms, improved climate-smart cocoa production practices and other agroforestry management practices from the FIP and knowledge on climate change practices from the G-DGM, as well as climate-smart investments that benefit cocoa production, will help improve yields and boost incomes while also helping farms become more resilient and adaptable. With evidence of tangible benefits and appropriate outreach, the adoption of climate-smart activities is expected by farmers and communities. Improved practices should be taken up and shared more widely among farmers, contributing to financial sustainability. Ghana is pursuing other climate finance sources that will foster sustainable cocoa supply chains beyond the project period.

90. Consultations with communities should contribute to more local ownership and responsibility for NRM and more ability to capture and share benefits from local control. These changes in management responsibilities should contribute to local interest in sound NRM and forest management and improve outcomes on the ground beyond the project life.

Annex 4: Implementation Support Plan

GHANA: Dedicated Grant Mechanism for Local Communities Project

Strategy and Approach for Implementation Support

1. The proposed strategy for implementation support was developed based on the design of the project and measures required during implementation. The proposed strategy remains a flexible tool that may be amended during project supervision in response to the NEA's changing needs.
2. The implementation support strategy envisages (a) taking advantage of the NEA's existing knowledge and experience and (b) supporting further strengthening of the NEA's abilities during the course of the project. Ability to mobilize quickly on the ground was a key requirement under the project criteria for the competitive selection of the NEA.
3. **Overall implementation.** Project management will be decentralized within the NEA. For the proposed project, the NEA will be a nonprofit and an NGO competitively selected and staffed with adequate procurement, FM, and safeguards experts but with enough on-the-ground staff (intrinsic or procured) to execute the project in the two regions which are at least a seven-hour drive from the capital. For this reason, the evaluation criteria included points for the NEA's ability to have staffed field bases.
4. The NEA staff will be encouraged to participate in further training during implementation, both through on-the-job training during the World Bank's semiannual supervision missions and through participation in specific training courses on procurement, FM, and safeguards occasionally organized by the World Bank in Ghana.
5. **Technical.** Based on known national and international best practices, experts in LCs' livelihoods, forest and environmental management, climate change, and communication strategies may be required to (a) advise on the design of envisaged activities, including the preparation of the 'calls for proposals' in both grant windows as well as in the training of the community; because the NEA has been focused on commodities and livelihoods in its line of work and not in REDD+ activities, it will have to ensure that it has the appropriate experts to manage the other climate-related aspects and must submit a content-based training plan to the World Bank before implementation starts; (b) participate in project implementation support and field visits to review progress; and (c) engage with the NSC to enable knowledge transfer and guidance.
6. **Environmental and social safeguards.** Safeguards will be new to the selected NEA and has already been discussed with the agency, in detail. Further training will occur during implementation. An ESMF has been prepared for the FIP and will serve as the project's framework. The framework raises the principal positive and negative impacts of the eligible activities and defines a number of preventive and mitigating actions; specific country-level features; and operational procedures to screen, assess, mitigate, and monitor environmental and social impacts. This information will also be outlined in the POM, which will be prepared by the NEA, with World Bank assistance regarding the safeguards section.

7. **Procurement.** The NEA will prepare, evaluate, and submit key procurement documents. Further support will be provided by the World Bank team to review these documents and ensure that (a) the processes are carried out in accordance with agreed procedures and (b) World Bank templates are used.

8. **FM.** The World Bank team will continue to provide further FM training to the NEA. Supervision missions will review the project's FM system, including but not limited to accounting, reporting, and internal controls.

Implementation Support Plan

9. Considering the project's design, the level of technical support needed for implementation is substantial, particularly as relates to procurement and the technical aspects of implementation. The World Bank team will conduct semiannual supervision missions, desk reviews, and field visits to follow up on project implementation, supported by FM, procurement, social, and environmental specialists, as well as technical expertise. The proposed World Bank support includes the following:

- **Technical.** The project may engage experts in the areas of forest and climate change adaptation; CDD and CBA; LCs' livelihoods and vulnerability assessment; communication, outreach, and knowledge-sharing strategies, etc., for the purposes of providing adequate technical assistance to the NEA. In addition, the World Bank supervision team will provide technical expertise and guidance to ensure strong implementation support.
- **Financial and procurement.** FM and procurement specialists will conduct semi-annual reviews of the NEA. These reviews will include checking for compliance with agreed procurement and FM procedures, identifying potential capacity gaps such as staffing, and evaluating the adequacy of documentation and record-keeping arrangements. The World Bank's FM and procurement specialists will provide training during implementation.
- **Environmental and social safeguards.** Environmental and social specialists will monitor and evaluate the implementation effectiveness of the agreed ESMF. The World Bank will make available ongoing support when identified or required by the NEA and the NSC.
- **Project Readiness:** Effectiveness conditions include an approved Grant Manual and an approved Project Operational Manual, as well as the recruitment of a procurement specialist. In addition, the NEA will need to recruit a coordinator and a knowledge management specialist as part of their core staff.

10. The main focus of implementation support from the World Bank is summarized in table 4.1.

Table 4.1. Key Focus of Implementation Support

Time	Focus	Skills Needed	Resource Estimate (Staff weeks/year)
------	-------	---------------	--------------------------------------

Time	Focus	Skills Needed	Resource Estimate (Staff weeks/year)
1–12 months	Procurement implementation support, training, and process reviews	Procurement specialist	4
	FM implementation support, training, field reviews and audit review	FM specialist	4
	Safeguard implementation support and compliance	Environmental specialist	2
	Safeguard implementation support and compliance	Social specialist at the World Bank	2
	World Bank technical experts on demand support	Diverse qualifications	8
	Project management, implementation support, supervision	TTL	12
13–60 months	Procurement and process reviews	Procurement specialist	2
	FM field reviews and audit review	FM specialist	2
	Safeguard implementation support and compliance	Environmental specialist	2
	Safeguard implementation support and compliance	Social specialist	2
	Technical experts on demand support	Diverse qualification	6
	Project management, implementation support, supervision	TTL	8

Annex 5: Template for Grant Proposals

GRANT APPLICATION

GHANA: Dedicated Grant Mechanism for Local Communities Project

Template for Grant-Proposal for Communities

NAME: Community.....

Grantee Number: *(NEA [HQ] before evaluation, please remove name and community information after the grantee number is recorded. The NEA [HQ] will keep a record of number against name and community)*

NUMBER:

INTRODUCTION:

Mailing Address:

Physical Address: *(if different from mailing address above)*

Country:

Telephone:

Fax, if any:

Website Address, if any:

E-mail Address:

Project Lead Contact: *(name and contact information for the person responsible for correspondence regarding this project)*

Name of Chief/Other Traditional Authority: *(name and contact information for the chief executive or person who is authorized to sign contracts on behalf of your community)*

Name of Witnesses: (5) *(from the Community)*

Number of Community Members who will work on this activity

Names:

History and Mission Statement or Relevant Background of the Community describe the needs of the community in terms of the relevant themes and related problems experienced by the community and whether this activity will help solve it and how.

Describe who exactly will benefit and how

PROJECT DESCRIPTION

Project Title:

Project Location - define the geographic location where project activities will take place and what resources are available- water, land, labor, etc.:

Project Duration - the approximate time period of your proposed project that would be funded by the G-DGM (should be 1–2 years)

Project Objective:

Planned Activities:

G-DGM Thematic Area - brief description of how your project links with one or more of the following 7 broad thematic areas in the project document:

Describe which type of people will benefit from the project (ensure broad beneficiaries—including poor, women, youth, migrants)

What is the link of the proposal idea with REDD+ and the FIP forestry investment projects in the country?

How will you measure progress and success of the project? For this give specific numbers in what you plan to achieve—for example, 1 ha of trees planted, or 50 trees planted, or 30 people trained on something, or 2 ha of degraded land restored, etc.

If you plan to plant trees, what do you intend to do with them in 5 years? In 10 years?

BUDGET

Total Project Budget - enter the total budget for this project from all funding sources:

In-kind Contributions - will there be in-kind contribution from beneficiaries or your organization?

Project Budget - provide a breakdown of the proposed budget (in US\$ or local currency and only for the G-DGM-funded portion of the project)

LAND

Land: How will land be obtained if land is required? (Land cannot be taken from anyone involuntarily and all voluntary contributions must be recorded and signed if it belongs to an individual.)

LABOR

Is there any additional labor required? If so, who will provide labor—community members, volunteers, etc.? Are they paid or unpaid? If so, what is the going labor rate? How many people will provide this labor and for how many days?

SUSTAINABILITY

How will the activity be continued/sustained after the project exits?

GRANT APPLICATION

GHANA: Dedicated Grant Mechanism for Local Communities Project

NAME: Community.....

Grantee Number: *(NEA (HQ) Before Evaluation, Please remove Name and Community Information after the Grantee Number is recorded. The NEA (HQ) will keep a record of Number against Name and Community)*

NUMBER:

TEMPLATE FOR GRANT PROPOSALS FOR SUB-PROJECTS FOR INDIVIDUALS

INTRODUCTION

Name:

Male/Female

Migrant/Non-Migrant

Youth/Not Youth

Literate: Yes/No

Mailing Address:

Physical Address - *if different from mailing address above:*

Country:

Telephone:

Fax, if any:

Website Address, if any:

E-mail Address:

Project Lead Contact - *name and contact information for the person responsible for correspondence regarding this project:*

If Group Activity, name and contact for all group members. Indicate if you are one of the following (*check all that apply*): Female, Youth, Migrant, or Not Applicable:

PROJECT DESCRIPTION

Project Title:

Project Location - define the geographic location where project activities will take place and what resources are available water, land, labor:

Project Duration - the approximate time period of your proposed project that would be funded by the G-DGM (should be 1–3 years):

Project Objective:

Planned Activities:

G-DGM Thematic Area - brief description of how your project links with one or more of the following seven broad thematic areas outlined in the PAD:

History & Mission Statement or Relevant Background - describe your needs, describe what activity you are interested in doing and why, describe if you have access to water, describe any problems you have that you want the activity to address.

Describe who exactly will benefit and how.

What is the link with the FIP investment projects in the country?

How will you measure progress and success of the project? For this, give specific numbers in what you plan to achieve - for example, 1 ha of trees planted, or 50 trees planted, or 30 people trained on something, or 2 ha of degraded land restored, etc.

If you plant any trees, what do you intend to do with them in 5 years? In 10 years?

3. BUDGET

Total Project Budget - enter the total budget for this project from all funding sources (if you have other funds from somewhere else):

In-kind Contributions - will there be in-kind contribution from beneficiaries or your organization?

Project Budget - provide a breakdown of the proposed budget (in Ghanaian Cedis and only for the G-DGM-funded portion of the project). State what the amount is for.

4. LAND

Land: How will land be obtained if land is required? Describe whether the land is for you or not and the arrangement for its use and whether permission is required to use it.

5. LABOR

Is there any additional labor required? If so, who will provide labor—community members, volunteers, etc.? Are they paid or unpaid? If so, what is the going labor rate? How many people will provide this labor and for how many days?

6. SUSTAINABILITY

How will the activity be continued/sustained after the project exits and no more funds are available?

Annex 6: Establishing the National Steering Committee and Community Perceptions and Concerns

GHANA: Dedicated Grant Mechanism for Local Communities Project

Methodology

The Process

1. The process to select the study area relied on FIP-selected sites in the Brong Ahafo and Western Regions. Out of these, the following forest districts were selected by the FC for the G-DGM pilot activity: Atebubu, Kintampo Sunyani, and Dormaa (from Brong Ahafo), Enchi, Juaboso (including Bodi and Bia West), and Sefwi Wiawso (from the Western Region).

Sampling Using Stakeholder Community List

2. The sampling unit of communities for the FIP areas selected for sensitization totaled 52. With a stakeholder communities list provided by the FC, planned visits were undertaken to the Brong Ahafo and Western Regions between November 25 and December 11, 2015. In all, 38 of the 52 communities were visited for consultation.

Consultations

3. The consultation processes was based on stakeholder engagement applying focus group discussions and key informant interviews.

Stakeholder Engagement

4. Consultations were held with each of the regional managers of the FC in the Brong Ahafo and Western Regions. This paved the way for further consultations with the respective district managers (DMs) of the FC in the FIP pilot locations. Plans were then made for visits to some of the selected sites/communities. The final selection for sites visited were done with the DMs and range supervisors whose operational area cover the communities. Proposed meetings with the LC people were planned ahead of the visits.

Focus Group Discussions

5. On arrival at the communities, either a gong was beaten or public address systems at the information centers were relied on to get everyone to assemble at a location. Introduction was done by the DM or the assistant, with a mention of the projects.

6. The drafted message was explained by the consultant to the gathering in the local language (Twi). This was followed in all discussions, with questions from the communities that sought clarification on issues of concern. These concerns were taken note of and synthesized in the 'Outcome of Communities Consultations'.

Selection of Representatives

7. After these initial interactions, the people were requested to nominate a person to attend a regional workshop. In areas where there had been some group discussions before, it was easy for them to appoint and approve, by consensus, their selected representative.

8. In some communities, more than one person was nominated. The community members suggested voting to select one person. Through this open process, the gathering for the sensitization finally selected a representative to attend the workshop.

Key Informant Interviews

9. The selection of individuals was based on key informant interviews. Main sources came from the FC officials and were corroborated by the local leaders and other individuals. Their background and involvement in forest-related activities were assessed. Discussions were held with them about their key occupational activities, interest, and readiness to participate in the G-DGM projects before their names were included in the list.

GPS Locations of the Visited Communities

Table 6.1. GPS Locations of the Visited Communities

S. No.	Region/District	Community	GPS Coordinates (N; W)
	Brong Ahafo		
1.	ATEBUBU	FAKWASI	7°42.715' N; 1°33.270' W
2.		KWAME DANSO	7°43.763' N; 0°41.177' W
3.		KAMAMPA	8°03.697' N; 1°16.263' W
4.		KUMFIA	7°46.935' N; 1°13.844' W
5.	DORMAA	CHEREMBO	8°04.603' N; 1°17.856' W
6.		DUASIDAN	7°13.095' N; 2°55.716' W
7.		NSUHIA	7°11.047' N; 2°53.761' W
8.		TWUMKROM	7°20.949' N; 2°47.889' W
9.		KORADASO	7°24.234' N; 2°48.919' W
10.		ASUNSO NO. 1	7°23.122' N; 2°52.223' W
11.	SUNYANI	NAMASUA	7°30.658' N; 2°32.941' W
12.		NSOATRE	7°24.201' N; 2°28.058' W
13.		MPATASIE	7°28.307' N; 2°35.002' W
14.		ODUMASI	7°22.308' N; 2°19.297' W
15.		KOTAA	7°30.926' N; 2°34.707' W
16.	KINTAMPO	BONTE	7°44.549' N; 1°40.057' W
17.		DROMANKESE	7°44.549' N; 1°40.057' W
18.		NKORANZA	7°44.549' N; 1°40.057' W
19.		NANTE	7°57.426' N; 1°44.760' W
20.		KRABONSO	7°58.460' N; 1°49.034' W
21.		HYERESO	7°56.295' N; 1°51.067' W
22.		ANYIMA	7°53.814' N; 1°52.520' W
23.	WESTERN		
24.	ENCHI	DAMOAKROM	5°40.768' N; 2°38.101' W
25.		NYAMEBEKYERE	5°43.182' N; 2°40.242' W
26.		ASANTEKROM	5°46.920' N; 2°39.764' W
27.		JOMORO ENCHI	5°45.588' N; 2°35.502' W

28.	JUABOSO	ADWUMAM	6°22.226' N; 2°46.641' W
29.		JUABOSO NKWANTA	6°22.987' N; 2°50.536' W
30.		BENCHIMA	6°23.675' N; 2°53.572' W
31.	BODI	BODI	6°13.365' N; 2°45.335' W
32.	BIA WEST	KUNKUMSO	6°07.594' N; 3°03.696' W
33.		ELLUOKROM	7°13.095' N; 2°55.715' W
34.		ADABOKROM	6°49.168' N; 3°01.888' W
35.		CAMP 15	6°47.793' N; 2°54.238' W
36.	SEFWI WIAWSO	ASAFO	6°23.712' N; 2°39.654' W
37.		KANKYIABO	6°24.815' N; 2°40.511' W
38.		SUIANO	6°23.112' N; 2°37.917' W
39.		DATANO	6°15.750' N; 2°29.285' W

Community Selected Participants from Brong Ahafo Region

FOREST DISTRICT	NAME	COMMUNITY VISITED	CONTACT NO.	REMARKS
Brong Ahafo	Mr. Thomas Okyere	FC	0244739359	Regional manager
ATEBUBU	Jasper Yaw Dunyah Seidu Abubakari James	FC	0244701535 0548444549/ 0208220578 0244847574	Customer service officer
1.	Nana Kwame Wande II	Kamampa	0204031238	Chief
2.	Naomi Takyiwa	Kamampa	—	Charcoal buyer/financier
3.	Kwame Ahenkan	Cherembo	—	Chairman
4.	Nana Dwamena Dadie Annor Cosmoss	— Kumfia	— 0241861083	Chief, Tree Planters Association representative
5.	Nana Osei Kwadwo	Fakwasi	0247999188	Benkumhene
ATEBUBU (SENE EAST)	Mr. Aggrey	FC		
1.	Bashuru Gambo	Kwame Danso	0200462777	Maawie Charcoal Producers and Tree Planters Association chairman
2.	Dan Boadu Nimako		0208186897	South West Wood Dealers chairman
3.	Ayimaye Oscar Tawiah	Akenteng (Chief)	—	Tree planter and landowner
KINTAMPO	Edward Opoku Antwi	FC	024404657	DM
1.	Nana Krobea Asante Sarpong II	Bonte	0248564449	Chief/chairman
2.	Alhaji Srofo Alhassan	Nante	0246661957	Tongya headman and plantation owner
3.	Mercy Assaw		0543992121	Planter/member
4.	John Kissinger	Hyereso	05050169614/ 0577115027	Community leader (migrant community)
5.	Stephen Baffoe Amponsah	Krabonso	0209264606	Group representative
6.	Agnes Adutwumwaa	Ampomakwanso	—	Group leader
7.	William Takyi Abiri	Nantekwanso	0248973728	Group leader
8.	Nana Kojo Ago	Anyima	0502679596	Farmer/tree planter/chairman
9.	Nana Asew	Babator	0506994325	Chief of Babator and land

FOREST DISTRICT	NAME	COMMUNITY VISITED	CONTACT NO.	REMARKS
				provider/planter
10.	Kwasi Frimpong	Dromankese	0249653262	Charcoal Union chairman
11.	Grace Yaa Pokuah	Nkoranza	0244886837	Nkoranza Charcoal Association leader
SUNYANI	Isaac Sintim Mr. Brobbey Ruth Nana Gyapong Hannah Marri	FC	0244465597 0244169587 0244224349 0244216003	DM Coordinator Range supervisor Range supervisor
1.	Yaw Owusu Nana Gyau	Odumasi	0500515494 0244934999	Chairman Plantation owner/timbers merchant
2.	Evans Agyekum	Nsoatre	0209010249	Leader
3.	Yusif Boadan Kyeremeh	Nsoatre	0240206202	Group leader
4.	Agyeman Mutala	Mpatasie	0201245350	Leader
5.	Oppong Dartey	Namasua	0243245391	Leader
6.	—	Kotaa	—	No representative provided as they could not settle on one
DORMAA	Kofi Kyeremeh Augustina Acquah Juliet Adu Boahen	FC	0244474239 0244941567 0206697388	DM Range supervisor Range supervisor
1.	Ansu Siaw	Asunso No. 1	0207613974	Leader
2.	Ennin Alexander	Koradaso	0208806887/ 0200383601	Leader
3.	Martin B, Asuma	Koradaso	0208194024/ 0243044006	Private plantation developer
4.	Paul Kwabena Kumi	Twumkrom	0209004394	Leader
5.	Oppong William	Nsuhia	0248649557	Leader
6.	Obiri Kwasi Jacob	Duasidan	0206810551	Secretary

Community Selected Participants from the Western Region

FOREST DISTRICT	NAME	COMMUNITY VISITED	CONTACT NO.	REMARKS
Western Region	Lydia Opoku Augustine Gyedu	FC	0240865991 0208170822	Regional manager Assistant regional manager
ENCHI	Lawrence Fosu Francis Mbir John Antirakwa Kofi Sarpong Kingsford Baiden	FC	0244581957/ 0506331878 0246356373 0204245783 0243215454	DM Range supervisor Forester Range supervisor Social Responsibility Agreement Committee chairman, Tano-Nimire Forest Reserve
1.	Hayford Duodu	Enchi	0240824818	Coordinator, Forest Fringe Communities in Aowin
2.	Paul Bimpong	Damoakrom	0242657065	Community representative
3.	Isaac Kwafo	Nyamebekyere	0249343381	Community representative
4.	Stephen Yeboah	Asantekrom	0240854662	Community representative
5.	James Danso	Jomoro Enchi	0245887715/ 0547533435	Community representative
SEFWI WIAWSO	Dery Chemogo Justice	FC	0244684857/ 0208486209 0200383702	DM ADM
1.	Alex Kwame Fuakye	Kankyiabo	0245387947	Already involved in agro activities
2.	Robert Ebate Buah	Asafo	0543746257	Unit committee member
3.	Emmanuel Frimpong	Suiano	0245616398	Community representative
4.	George Nkuah Nana Afidagyaw III	Datano	0543356791 0249279149	Community representative
JUABOSO BIA				
JUABOSO	Hebry Kudiabor Baafi Frimpong	FC	0244861850/ 0206159143 0244428251	DM ADM
1.	Nana Kwasi Bennie II	Adwumam	0242601888/ 0204218943	Chief and active leader
2.	Peter K. Acheampong	Juaboso Nkwanta	0541574434	Community representative
3.	Daniel Kofi Kyei	Benchimam	0247118686	Community representative
BODI	Hebry Kudiabor Baafi Frimpong	FC	0244861850/ 0206159143 0244428251	DM ADM (Assistant District Manager)
1.	Samuel Chebure Nana Akua Nsiah	Bodi	0243081776/ 0209499600 0245831329	Community representative Queen mother
BIA EAST	Hebry Kudiabor Baafi Frimpong Adamu Maxwell	FC	0244861850/ 0206159143 0244428251 0249463992	DM ADM Range supervisor
1.	Emmanuel Kofi Afrifa	Adabokrom	0542500707	Community representative

FOREST DISTRICT	NAME	COMMUNITY VISITED	CONTACT NO.	REMARKS
2.	Ernest Boahen	Camp 15	0504414744	Community representative
BIA WEST	Hebry Kudiabor Baafi Frimpong	FC	0244861850/ 0206159143 0244428251	DM ADM
1.	Kwarteng Benedict Francis Duku JGK Agyin	Elluokrom	0249587475 0241425315 0545732193	Committed (BSc Environmental Science) CREMA chairman Chairman, Rainforest Alliance
2.	Kennedy Mensah	Kumkumso	0273307050	Leader/community representative

Outcome of Community Consultations

Issues Raised by Community Members (Chart and Summary Notes)

ISSUES CUTTING ACROSS																
Communities		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
		Type of tree species to be planted	What to be done with old trees on farms	Failure of group activities	Who will own the trees at maturity/benefit	Who will acquire the lands (fragmented) for the project and the size required	Timely supply of inputs especially seedlings and by who	Registration of trees	Can trees be harvested	Project should be devoid of politics	Who owns trees planted in admitted farms	Community ready to release land	What will be the time of harvesting	Can individuals be assisted to acquire land from chiefs	Who/where will inputs come from	Fire effects on plantations/ control mechanism
Western Region	ENCHI															
	DAMOAKROM															
	NYAMEBEKYERE															
	ASANTEKROM															
	JOMORO ENCHI															
	SEFWI WIAWSO															
	KANKYIABO															
	ASAFO															
	SUIANO															
	DATANO															
	JUABOSO															
	ADWUMAM															
	JUABOSO NKWANTA															

	BENCHIMAM															
	BODI															
	BODI															
	BIA EAST															
	ADABOKROM															
	CAMP 15															
	BIA WEST															
	ELLUOKROM															
	KUMKUMSO															
Brong	ATEBUBU															
Ahafo																
	KAMAMPA															
	CHEREMBO															
	KUMFIA															
	FAKWASI															
	SENE EAST															
	KWAME DANSO															
	KINTAMPO															
	BONTE															
	NANTE															
	HYERESO															
	KRABONSO															
	AMPOMAKWANSO															
	NANTEKWANSO															
	ANYIMA															
	**DROMANKESE															
	**NKORANZA															

	SUNYANI															
	ODUMASI															
	NSOATRE															
	MPATASIE															
	NAMASUA															
	KOTAA															
	DORMAA															
	ASUNSO NO. 1															
	KORADASO															
	TWUMKROM															
	NSUHIA															
	DUASIDAN															
		15	2	5	16	10	9	3	2	5	1	6	1	6	3	6
	Expressed % (per 44 communities)	31.8	4.5	11.4	36.4	22.7	20.5	6.8	4.5	11.4	2.3	13.6	2.3	13.6	6.8	13.6

Note: **DROMANKESE and NKORANZA were combined with the BONTE meeting.

Color	Indication
	Supportive-
	Caution - further outreach and explanation needed
	Neutral
	Incompatible, so explanation needed that trees cannot be harvested but rather rotational harvesting is required to ensure continuous cover

Issues from Community Engagement (Matrix)

Rank	Issues	Proportions				
		Brong Ahafo		Western Region		Total No. of Communities
		Frequency	%	Frequency	%	
1.	Who will own the trees at maturity/benefit	7	43.75	9	56.25	16
2.	Type of tree species to be planted	10	66.67	5	33.33	15
3.	Who will acquire the lands (fragmented) for the project and the size required	9	90.0	1	10.00	10
4.	Timely supply of inputs especially seedlings and by who	5	55.56	4	44.44	9
5.	Community ready to release land	1	16.67	5	83.33	6
6.	Can individuals be assisted to acquire land from chiefs	6	100.00	—	—	6
7.	Fire effects on plantations/control mechanism	6	100.00	—	—	6
8.	Failure of group activities	5	100.00	—	—	5
9.	Project should be devoid of politics	5	100.00	—	—	5
10.	Who/where will inputs come from	3	100.00	—	—	3
11.	Registration of trees	—	—	3	100.00	3
12.	Can trees be harvested	1	50.00	1	50.00	2
13.	What to be done with old trees on farms	—	—	2	100.00	2
14.	Who owns trees planted in admitted farms	1	100.00	—	—	1
15.	What will be the time of harvesting	1	100.00	—	—	1
16.	Who will own the trees at maturity /benefit	7	43.75	9	56.25	16
17.	Type of tree species to be planted	10	66.67	5	33.33	15
18.	Who will acquire the lands (fragmented) for the project and the size required	9	90.00	1	10.00	10
19.	Timely supply of inputs esp. seedlings and by who	5	55.56	4	44.44	9
20.	Community ready to release land	1	16.67	5	83.33	6
21.	Can individuals be assisted to acquire land from chiefs	6	100.00	—	—	6
22.	Fire effects on plantations/control mechanism	6	100.00	—	—	6
23.	Failure of group activities	5	100.00	—	—	5
24.	Project should be devoid of politics	5	100.00	—	—	5
25.	Who/where will inputs come from	3	100.00	—	—	3
26.	Registration of trees	—	—	3	100.00	3
27.	Can trees be harvested	1	50.00	1	50.00	2
28.	What to be done with old trees on farms	—	—	2	100.00	2
29.	Who owns trees planted in admitted farms	1	100.00	—	—	1
30.	What will be the time of harvesting	1	100.00	—	—	1

Box 6.11. Analysis and Assessment of Leading Issues

Who owns the tree or will benefit?

Several communities were concerned about the ownership of trees to be planted by the groups or individuals. This was so because the tree tenure system as practiced did not favor the farmer who nurtured naturally occurring trees or planted trees but had no registration or ownership documentation. From the analysis, it is observed that 36.4 percent of the communities wanted to own the trees planted and benefit through harvesting or by other means to realize income or make direct use of wood products.

Assessment: This is incompatible with the long-run objective of the program.

Type of tree species to be planted

Ranking second highest among issues raised by the discussants from the communities was that of the type of trees to be planted. The rationale was that trees planted will be of some benefit to the people. Their preferences were in the indigenous trees known to them. Again, 34.1 percent wanted to know the type of trees to be planted—either indigenous or exogenous. The rationale was to find out if the trees will be of future benefit. A further analysis shows that this came from three more communities, putting the percentage of those who wanted to benefit from the trees at 40.9 percent.

Assessment: This is incompatible with the long-run objective of the program.

Who will acquire the lands (fragmented) for the project and the size required?

This issue was raised by 22.7 percent of the participating communities. Out of the 10 communities who posed this question, 60 percent were from the Western Region. In the Brong Ahafo Region, it was apparently clear that lands in large parcels were available and ready to be released by the traditional authorities. In the Western Region, however, it is fragmented and mostly under cocoa plantations. The 10 communities who expressed these concerns have at one time or the other benefited from the degraded/deforested portions of the forest reserves and expressed the need to be considered for access to the forest reserve.

Timely supply of inputs especially seedlings and by who

This was mostly posed by communities who have had experiences with one project/program in the past and constituted 20.5 percent. Supply of seedlings were delayed in those situations and their efforts failed.

Community ready to release land

The consultations and discussions realized that 13.6 percent of the communities were ready to release land parcels for the project. Further analysis show that majority of these (83.3 percent) communities were from the Brong Ahafo Region and the remaining 16.7 percent from the Western Region. The lands in the communities visited in Brong Ahafo are in the hands of the traditional authorities or the allodial titleholders and it is not difficult to access large tracks of land. In the Western Region, however, plantations have led to fragmented land parcels and thus, consent of the individual or families that own the lands is needed.

Can individuals be assisted to acquire land from chiefs?

All 13.5 percent of individuals who wanted to have access to land for the project are from the Brong Ahafo Region. In the areas visited in the Western Region, cocoa growing is the major occupation and thus, interest in tree plantations was not as high as compared with that of Brong Ahafo.

Fire effects on plantations/control mechanism

Annual bushfires have become a ritual in many parts of Brong Ahafo where the vegetative cover dries in the long, dry season. Twenty-five percent of communities in Brong Ahafo wanted to be sure that fire protection mechanisms are built into the program to ensure sustainable afforestation. Activities related to cropping had suffered over the years and prospective tree growers shared the view that without such a mechanism the project will suffer a setback.

Failure of group activities

This was basically expressed in five communities (11.4 percent) visited. They were all from the Brong Ahafo Region. In the past, agro-based group work has not survived in the communities concerned. They thus preferred individuals assisted to rope into the project.

Project should be devoid of politics

The 11.4 percent of visited communities who raised this concern were from the Brong Ahafo Region. Some earlier afforestation projects in the region failed because of politics that obstructed the projects and their implementation.

Who/where will inputs come from?

The 6.8 percent of communities raising this concern had earlier experiences where inputs, including seedlings, never arrived for efforts made toward similar projects. Knowing this information will help them to follow up when the need arises.

Registration of trees

All the three communities that wanted to know of registration of trees for future benefits were from the Enchi District of the Western Region. This has come about because of farmers who planted trees in their farms but did not register and have thus lost the rights to the trees.

Can trees be harvested?

Around 50 percent each of harvested trees came from the Brong Ahafo Region (Nante) and Western Region (Adabokrom). These are communities close to the forest reserve and were involved in plantation developments in the reserve. The intent of this issue was to get it clear if they are beneficiaries of the projects that participated on government lands.

What to be done with old trees on farms?

The two communities from the Western Region who were concerned with this issue were Adabokrom and Adwumam. The farmers have some trees that have matured for lumbering in their farms.

Who owns trees planted in admitted farms?

Ownership of trees in admitted farms was a key concern of the people of Nante in Brong Ahafo. They have admitted farms.

What will be the time of harvesting?

Krabonso in the Brong Ahafo Region is popular in the charcoal-making industry. Their concentration is on establishing a woodlot that can periodically be harvested.

Assessment: This is incompatible with the long-run objective of the program.

Annex 7: Detailed Summary of CBOs operational at the project sites

GHANA: Dedicated Grant Mechanism for Local Communities Project

CBOs that meet eligibility criteria

Brong Ahafo

- Maawie Charcoal Producers and Tree Planters Association from Kwame Danso Community
- Taungya Farmers Group, from Koradaso Community
- Bonte Charcoal Producers and Tree Planters Association from Bonte Community
- Charcoal Union from Dromankese with an established teak farm
- Nkoranza Charcoal Association from Nkoranza, who plant trees and sell charcoal
- Dormaa Traditional Area, which manages a forest sanctuary
- Nsuhia Community Group that plants in degraded areas and has in the past been targeted
- Nsoatre Community Group that restores degraded forest and helps fight fires

Western Region

The Kunkumso Farmers Association in Kunkumso.

-
- Rainforest Alliance and CREMA from Elluokrom plant trees on their cocoa farms as part of their activities.
- Jomoro Agro Forestry Group from Jomoro Enchi is well established and has received funds from CARE International (2008–2012) and Conservation Foundation (2012–2014) on climate change issues.

CBOs that meet eligibility criteria

Brong Ahafo

Maawie Charcoal Producers and Tree Planters Association from Kwame Danso Community

Taungya Farmers Group, from Koradaso community

Bonte Charcoal Producers and Tree Planters Association from Bonte Community

Charcoal Union from Dromankese with an established teak farm;

Nkoranza Charcoal Association from Nkoranza, who plant trees and sell charcoal

Dormaa Traditional Area, which manages a forest sanctuary;

Nsuhia Community group that plants in degraded areas and have in the past been targeted

Nsoatre Community group that restores degraded forest and helps fight fires.

Western Region

The Kunkumso Farmers Association in Kunkumso

Rainforest Alliance and CREMA from Elluokrom plant trees on their cocoa farms as part of their activities.

Jomoro Agro Forestry Group from Jomoro Enchi is well established and has received funds from CARE international (2008–12) and Conservation Foundation (2012–2014) on climate-change issues.

Community Fact Sheet - Summary Report for all (eligible and ineligible) CBOs

Region:	BRONG AHAFO	Date	27/11/15
District:	ATEBUBU	GPS	7°42.715' N; 1°33.270'W
Community:	FAKWASI		
Community and under which chief		Abease Traditional Area (Paramountcy)	
CBO		Newly established group. No name yet.	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures.		<ul style="list-style-type: none">Activities started in 2015.There are no records on paper.It is done informally though is coherent.	
Base membership		Most farmers of the community are said to be involved.	
Purpose and function of the CBO		Woodlot production and tree plantation development.	
Activities completed by the CBO including date, and with what funding, if any		<ul style="list-style-type: none">Hold meeting for technical advice from district FC officers;No funding.	
Profile of members (education level, interests)		Mostly basic ¹⁶ with few having secondary education.	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email, if used		Nana Osei Kwadwo (Teacher and former assembly man)	
How active number of times meet per year		Had 3 meetings already; September 2015—held 2 meetings; October 29, 2015—held 1 meeting.	
Assessment - ready to engage? Interested but not ready to engage?		<ul style="list-style-type: none">InterestedReady to start projectsCommunity leadership had made over 100 ha land available	
Region:	BRONG AHAFO	Date	28/11/15
District:	ATEBUBU	GPS	7°43.763' N 0°41.177'W
Community:	KWAME DANSO		
Community and under which chief		Dwan Traditional Area	
Name of the CBO		Maawie Charcoal Producers and Tree Planters Association	
Date established (has to be 5 years or more) Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		<ul style="list-style-type: none">Charcoal Producers Association. Established in 2006Wood Dealers Association. Established in 2014	
Base membership		About 400, with 90 active women as members	

¹⁶ Basic education is Elementary level education

Purpose and function of the CBO		For establishing a woodlot to sustain the charcoal industry	
Activities completed by the CBO including date, and with what funding if any		<ul style="list-style-type: none">• Making charcoal• Nursery and supply of seedlings• Has 500,000 seedlings at the time of visit• Land preparation and planting of trees• Fund generated through contributions• Established 25 ha acacia woodlot and 13 ha teak plantation• Procured tipper truck, for sending seedlings and equipment and workers to the field• 2010–2012—supplied seedlings to National Forest Plantation Development Project in Sene (East/West), Atebubu Amanteng, and Pru Districts• Obtained land from traditional authorities free of charge	
Profile of members (education level, interests)		About 4 graduates, 15 with secondary education; the rest have basic and no formal education	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Bashir Gambo (Association Chairman) - 0200462777 Box 53, Kwame Danso (About 90 women)	
How active number of times meet per year		Quarterly meetings. Minutes recorded	
Assessment - ready to engage? Interested but not ready to engage?		They are interested in the project and ready to engage.	
Region:	BRONG AHAFO	Date	27/11/15
District:	ATEBUBU	GPS	8°03.697’ N 1°16.263’ W
Community:	KAMAMPA		
Community and under which chief		Abease Traditional Area	
CBO		No active CBO/farmers association.	
Date established (has to be 5 years or more) Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		—	
Base membership		—	
Purpose and function of CBO		—	
Activities completed by the CBO including date, and with what funding, if any		—	
Profile of members (education level, interests)		—	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		<ul style="list-style-type: none">• Nana Kwame Wande II (chief, association chairman) 0204031238• Naomi Takyiwa (charcoal buyer)	
How active number of times meet per year		—	
Assessment: Ready to engage? Interested, but not ready to engage?		Interested and ready to engage. The area is a charcoal production one and they are prepared to go into woodlot and tree plantation.	
Region:	BRONG AHAFO	Date	27/11/15
District:	ATEBUBU	GPS	7°46.935’ N; 1°13.844’ W
Community:	KUMFIA		
Community and under which chief		Abease Traditional Area	
CBO		Anasuna Farming Group	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2009 Meet between 4 or 5 times a year No records available	

Base membership		20 people	
Purpose and function of CBO		To do afforestation/woodlot for the charcoal industry	
Activities completed by the CBO including date, and with what funding, if any		Government entered and a local chief took over—project abandoned and was destroyed by wildfires	
Profile of members (education level, interests)		Mostly basic education.	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Kofi Asare Mr. Annor Cosmoss (0241861083)	
How active number of times meet per year		4 meetings a year Meetings concentrate on reafforestation to sustain industry	
Assessment: Ready to engage? Interested, but not ready to engage?		Ready to embrace the project Has an overgrown nursery but were not supported to transplant	
Region:	BRONG AHAFO	Date	27/11/15
District:	ATEBUBU	GPS	8°04.603' N; 1°17.856' W
Community:	CHEREMBO		
Community and under which chief		Chief under Abease Traditional Area – Apakanhene	
CBO		Community	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		National Forest Plantation Development Project 2010–12	
Base membership		25	
Purpose and function of the CBO		<ul style="list-style-type: none">• Restore vegetative cover• Create jobs for rural community and• Address future wood deficit	
Activities completed by the CBO including date, and with what funding, if any		<ul style="list-style-type: none">• Tree planting—project failure• Reason. Delayed payment, nonavailability of logistics• GoG funding	
Profile of members (education level, interests)		<ul style="list-style-type: none">• -Basic education• -High interest• Supervised by Zoil Ghana	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Chairman - Kwame Ahenkan Last meeting: Met 11/11/15 Have executives formed after the capacity-building workshop	
How active number of times meet per year		Active forestry to take over	
Assessment - ready to engage? Interested, but not ready to engage?		Interested and ready to engage	
Region:	BRONG AHAFO	Date	03/12/15
District:	DORMAA	GPS	7°13.095' N; 2°55.716' W
Community:	DUASIDAN		
Community and under which chief		Dormaa Traditional Area	
CBO		No group formed.	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		–	
Base membership		–	
Purpose and function of the CBO		–	
Activities completed by the CBO including date, and with what funding, if any		The entire community has a sanctuary close to the outskirts. The protection and conservation of the area is done by all the inhabitants. The community adheres to forest conservation.	
Profile of members (education level, interests)		–	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Obiri Kwasi Jacob 0206810551	

How active number of times meet per year		The community meets to discuss protection measures about their natural resources. The FIP was thus launched at Duasidan.	
Assessment - ready to engage? Interested, but not ready to engage?		They are interested and ready to engage. They are currently expanding the buffer to the sanctuary by planting additional trees at the fringes of the local forest reserve.	
Region:	BRONG AHAFO	Date	03/12/15
District:	DORMAA	GPS	7°11.047' N; 2°53.761'W
Community:	NSUHIA		
Community and under which chief		Under Dormaa Paramountcy	
CBO		Farmers group (no name)	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Started in 2007. No formal meetings with recorded minutes. Meetings are informal to receive technical knowhow on tree planting from FC field officers.	
Base membership		Over 30 farmers involved.	
Purpose and function of the CBO		Degraded forest reserve in the area has been earmarked for enrichment planting	
Activities completed by the CBO including date, and with what funding, if any		–	
Profile of members (education level, interests)		Basic, MSLC	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Oppong Williams (rep) 0248649557	
How active number of times meet per year		Not regular	
Assessment - ready to engage? Interested, but not ready to engage?		They are interested and willing to engage	
Region:	BRONG AHAFO	Date	03/12/15
District:	DORMAA	GPS	7°20.949' N; 2°47.889'W
Community:	TWUMKROM		
Community and under which chief		Under Dormaa Paramountcy	
CBO		Farmers	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures.		Group established in 2004 No record books available. Meetings are held with FC TOs.	
Base membership		Over 80	
Purpose and function of CBO		To plant more trees in their environment as land is getting degraded	
Activities completed by the CBO including date, and with what funding, if any		Many farms have trees now	
Profile of members (education level, interests)		MSLC, basic, secondary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Paul Kobina Kumi 0209004394	
How active number of times meet per year		Meetings are mostly held during the farming seasons on how to plant trees in degraded areas. Individual farmers have trees on farms.	
Assessment - ready to engage? Interested, but not ready to engage?		Ready and interested.	
Region:	BRONG AHAFO	Date	03/12/15
District:	DORMAA	GPS	7°24.234' N; 2°48.919'W
Community:	KORADASO		
Community and under which chief		Under Dormaa Paramountcy	

CBO		Taungya Farmers Group	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		In 2007 No record books available	
Base membership		The community	
Purpose and function of CBO		To restore the degraded forest	
Activities completed by the CBO including date, and with what funding, if any		The community was under three forest-related initiatives, namely Heavily Indebted Poor Country, Taungya, and CDM—under which a 256 ha teak plantation was developed in the forest reserve.	
Profile of members (education level, interests)			
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Enning Alexander 0208806887/0200383601	
How active number of times meet per year		They meet several times in the year. No minutes books sighted as the group’s secretary was not available that day.	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready and interested. Many of the farmers have trees in their cocoa farmers as well as smaller plantations.	
Region:	BRONG AHAFO	Date	03/12/15
District:	DORMAA DISTRICT	GPS	7°23.122’ N; 2°52.223’W
Community:	ASUNSO NO 1		
Community and under which chief		Under Nana Nsao Agyei: Dormaa (Wamfie) Traditional Area	
CBO		Climate Change Development Association	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2013 No records books available	
Base membership		20 members	
Purpose and function of CBO		Tree growing in the forest reserve	
Activities completed by the CBO including date, and with what funding, if any		Tree planting intercropped with food crops Some cocoa farms have trees planted in them	
Profile of members (education level, interests)		Basic, secondary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		<ul style="list-style-type: none">Osofo Adinkra Dickson (0242543440)Ansu Siaw (0207613974)	
How active number of times meet per year		24 meetings in a year	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and very interested to participate	
Region:	BRONG AHAFO	Date	02/12/15
District:	SUNYANI	GPS	7°30.658’ N; 2°32.941’W
Community:	NAMASUA		
Community and under which chief			
CBO		Namasua Farmers Association (no longer active). It has been revamped with the introduction of the FIP.	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2003, and worked till 2005	
Base membership		240	
Purpose and function of the CBO		To develop tree plantations	
Activities completed by the CBO including date, and with what funding if any		Planted 30 ha of teak, <i>Cinderella</i> , <i>ofram</i> , <i>emire (spp.)</i> were also planted by individuals	
Profile of members (education level, interests)		Basic, secondary education. Some had no formal education.	
Contact information for president, vice president,		Oppong Dartey (0243245391)	

phone number, address, and one member (preferably woman), and email if used			
How active number of times meet per year		–	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready to engage and interested	
Region:	BRONG AHAFO	Date	02/12/15
District:	SUNYANI	GPS	7°24.201' N; 2°28.058'W
Community:	NSOATRE		
Community and under which chief		Nsoatre Traditional Area	
CBO		–	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Some have been cultivating trees in their farms since 1995. A company called Green Ghana came in later but ended deceiving them and abandoned the community.	
Base membership		Community	
Purpose and function of the CBO		To restore degraded forests and prevent fire outbreaks	
Activities completed by the CBO including date, and with what funding, if any		Individuals planted trees in their farms, especially cocoa.	
Profile of members (education level, interests)		<ul style="list-style-type: none">No formal education, basic, secondary, and tertiary.They are mostly farmers.	
Contact information for president, vice president, phone number, address, and one member (preferably woman), if email if used		Evans Agyekum (0209010249) Kwasi Boadan Kyeremeh (0240206202)	
How active number of times meet per year		The cocoa farmers and tree planters meet quarterly.	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready to engage and interested as well. They have indicated willingness to offer land for establishing nursery for the G-DGM initiative and other forest-related projects.	
Region:	BRONG AHAFO	Date	02/12/15
District:	SUNYANI	GPS	7°28.307' N; 2°35.002'W
Community:	MPATASIE		
Community and under which chief		Brekum Traditional Area	
CBO		The farmers association that existed was basically into food crops production	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2011 but no longer functioning as a group	
Base membership		Farmers in the community	
Purpose and function of the CBO		To receive technical knowhow in farming activities	
Activities completed by the CBO including date, and with what funding if any		They were funded by the GoG	
Profile of members (education level, interests)		–	
Contact information for president, vice president, phone number, address, and one member (preferably women), and email if used		Agyekum Mutala (0201245350)	
How active number of times meet per year		Group members no longer meeting at the time of visit.	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready to engage and interested in the project	
Region:	BRONG AHAFO	Date	02/12/15
District:	SUNYANI	GPS	7°22.308' N; 2°19.297'W
Community:	ODUMASI		
Community and under which chief		–	
CBO		Community	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in the 1980s but became defunct. New one established in 2015.	

Base membership		50	
Purpose and function of the CBO		Planting trees in cocoa farms	
Activities completed by the CBO including date, and with what funding, if any		They were involved in the Taungya Plantation system and helped in planting trees in the degraded forest reserves	
Profile of members (education level, interests)		Basic, secondary, tertiary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Nana Gyan (0244934999)	
How active number of times meet per year		Now have new association with elected executive members. Hold biweekly meetings	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and interested in participating in the project	
Region:	BRONG AHAFO	Date	02/12/15
District:	SUNYANI	GPS	7°30.926' N; 2°34.707' W
Community:	KOTAA		
Community and under which chief		Under Brekum Traditional Area	
CBO		No group	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		—	
Base membership		—	
Purpose and function of the CBO		—	
Activities completed by the CBO including date, and with what funding, if any		—	
Profile of members (education level, interests)		—	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		The community was divided on who should represent them. The range supervisor suggested that since their sensitization programs are done together with Mpatasie, they have to come together as a group. The queen mother, supported by the elders, rejected that offer as well	
How active number of times meet per year		—	
Assessment - ready to engage? Interested, but not ready to engage?		Community polarized and likely to bring that to bear on the initiative	
Region:	BRONG AHAFO	Date	30/11/15
District:	KINTAMPO	GPS	7°44.549' N; 1°40.057' W
Community:	BONTE		
Community and under which chief		Under Nkoranza traditional area	
CBO		Bonte Charcoal Producers and Tree Planters Association.	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2000. Meet quarterly	
Base membership		Over 300	
Purpose and function of the CBO		Tree planting to sustain industry and protect environment	
Activities completed by the CBO including date, and with what funding, if any		Individuals have plantations sizes ranging from 2ac–8ac (mostly teak and acacia) Self-financing (contributions from group members)	
Profile of members (education level, interests)		MSLC, secondary school	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		<ul style="list-style-type: none">Nana Krobea Asante Sarpong II (chairman) 0248564449Kodwo Antwi (organizer) 0545152739Margaret Konadu (treasurer) 0249263613Osofo Noah (Vice chairman) 0201695904	
How active number of times meet per year		Quarterly Meeting	
Assessment - ready to engage? Interested, but not ready to engage?		Very active, ready, and interested in the project. Self-help initiative very high.	

Region:	BRONG AHAFO	Date	30/11/15
District:	KINTAMPO DISTRICT	GPS	7°44.549’ N; 1°40.057’W NB: meeting held at Bonte
Community:	DROMANKESE		
Community and under which chief		Under Nkoranza	
CBO		Charcoal Union	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 995 Has 1.5 acre teak farm	
Base membership		Form part of the Bonte group	
Purpose and function of the CBO		To unite and support members in their activities	
Activities completed by the CBO including date, and with what funding, if any		<ul style="list-style-type: none">Established charcoal market at DromankeseEnsure sanity in the tradeSelf-financing	
Profile of members (education level, interests)		Basic, secondary, tertiary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		<ul style="list-style-type: none">Kwasi Frimpong (chairman) 0249653262Adu Bimpong (Secretary) 0208152120Agartha Boatemaa (Women’s organizer) 0509926707Nana Danso Abeam (Chief, member)	
How active number of times meet per year		Membership base-2004 5 times	
Assessment - ready to engage? Interested, but not ready to engage?		Ready and interested	
Region:	BRONG AHAFO	Date	30/11/15
District:	KINTAMPO DISTRICT	GPS	7°44.549’ N; 1°40.057’W NB: meeting held at Bonte
Community:	NKORANZA		
Community and under which chief		Under Nkoranza traditional area	
CBO		Nkoranza Charcoal Association	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2005	
Base membership		Over 100	
Purpose and function of the CBO		Plant trees and sell charcoal	
Activities completed by the CBO including date, and with what funding, if any		Planted trees but farm destroyed by annual bushfires	
Profile of members (education level, interests)		MSLC Secondary teacher training	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		<ul style="list-style-type: none">Grace Yaa Pokuaa - chairperson 0244886837Francis Donyima - vice chairmanThomas Antwi - secretary 0244936268	
How active number of times meet per year		Quarterly	
Assessment: Ready to engage? Interested, but not ready to engage?		They are ready and interested. They want to go into tree plantations and establish woodlot for their activities.	
Region:	BRONG AHAFO	Date	01/12/15
District:	KINTAMPO	GPS	7°57.426’ N; 1°44.760’W
Community:	NANTE		
Community and under which chief		Under Nkoranza traditional area	
CBO		ADRA – NANTE GROUP	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		1992–1996 Individual planters in the community	

Base membership		–	
Purpose and function of the CBO		For livelihood and future life sustainability	
Activities completed by the CBO including date, and with what funding, if any		<ul style="list-style-type: none">Teak farms in the forest reserve under the Taungya systemIndividual fundingADRA provided incentives (package)	
Profile of members (education level, interests)		Basic, secondary	
Contact information for President, Vice President, phone number, address, and one member (preferably woman), if email if used		<ol style="list-style-type: none">Alhaji Srofo Alhassan (0246661959) Taungya Headman plantationMercy Assaw (0543992121)Bismark Baffoe (0207730884)Oppong Emmanuel (0242677874)	
How active number of times meet per year		Since ADRA activities collapsed, there had not been meetings but individuals continue to plant trees.	
Assessment - ready to engage? Interested, but not ready to engage?		Ready and interested	
Region:	BRONG AHAFO	Date	01/12/15
District:	KINTAMPO	GPS	7°58.460' N; 1°49.034'W
Community:	KRABONSO (Admitted Community)		
Community and under which chief		Under Nkoranza traditional area	
CBO		Benkasa Farmers Group Nantekwanso Farmers Group Ampomakwanso Farmers Group	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		<ul style="list-style-type: none">Established in 2014No minutes sighted	
Base membership		Over 50	
Purpose and function of CBO		For tree planting to preserve forest	
Activities completed by the CBO including date, and with what funding, if any		Planted trees—individuals (more than 10 acres) Grow food crops	
Profile of members (education level, interests)		–	
Contact information for President, Vice President, phone number, address, and one member (preferably woman), if email if used		<ul style="list-style-type: none">Stephen Baffoe Amponsah – Group chairWilliam Takyi Abiri (0248973728) – Group leaderAgnes Adutwumwaah – leader (Ampomakwanso)	
How active number of times meet per year		6 times meeting in a year. No minutes/records made available	
Assessment: Ready to engage? Interested, but not ready to engage?		Ready and interested	
Region:	BRONG AHAFO	Date	01/12/15
District:	KINTAMPO	GPS	7°56.295' N; 1°51.067'W
Community:	HYERESO (Migrant Community)		
Community and under which chief		Under Nkoranza traditional area	
CBO		No existing group, being sensitized by FC, and are willing to participate	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		–	
Base membership		–	
Purpose and function of CBO		–	
Activities completed by the CBO including date, and with what funding, if any		–	
Profile of members (education level, interests)		Mostly no formal education. Few with basic and secondary education	

Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		John Kissinger (Assembly Man) Kintampo South 0577115027	
How active number of times meet per year		No group. They are migrant farmers and skeptical about the benefits they stand to get from woodlot or tree plantations.	
Assessment - ready to engage? Interested, but not ready to engage?		They have already been sensitized by the FC and they are now ready and interested in forest development.	
Region:	BRONG AHAFO	Date	01/12/15
District:	KINTAMPO	GPS	7°53.814’ N; 1°52.520’W
Community:	ANYIMA		
Community and under which chief		–	
CBO		No group now. They were in the Taungya system	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Some started in 1982 as individual plantation developers in the degraded area of the forest reserve	
Base membership		–	
Purpose and function of the CBO		Was to rehabilitate the degraded forest reserve	
Activities completed by the CBO including date, and with what funding, if any		Individual farmers have some plantations in the forest reserves	
Profile of members (education level, interests)		Basic, secondary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Nana Kwabena Ago (farmer and tree planter) – 0502679596	
How active number of times meet per year		They are no longer active. The land they worked on was the forest reserve and the degraded areas are done with.	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready and interested. There are limitations with regard to land availability.	
Region:	WESTERN	Date	07/12/15
District:	ENCHI	GPS	5°40.768’ N; 2°38.101’W
Community:	DAMOAKROM		
Community and under which chief		Aowin Traditional Area, Enchi	
CBO		–	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Started in 2006 Supported by Samatex and Vision 2050	
Base membership		About 70	
Purpose and function of CBO		Community Resource Natural Protection	
Activities completed by the CBO including date, and with what funding, if any		<ul style="list-style-type: none">Individual planting trees along rivers/streams and cocoa farmsTrees in farms and creation of awareness of Social Responsibility Agreement	
Profile of members (education level, interests)		Basic/Secondary/No formal education	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Paul Bimpong (0242657065) SHS (Secondary education)	
How active number of times meet per year		Meet over 6 times in a year	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and highly interested. The group members are fighting against illegal mining in the area as they are aware of the destructive nature of land by such operations.	
Region:	WESTERN	Date	07/12/15
District:	ENCHI	GPS	5°43.182’ N; 2°40.242’W
Community:	NYAMEBEKYERE – (Migrant Community)		

Community and under which chief		Under Aowin Traditional Area, Enchi	
CBO		–	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2014 Ministry of Forestry supplied them with seedlings	
Base membership		All community people involved	
Purpose and function of the CBO		It was to start new farms with the trees.	
Activities completed by the CBO including date, and with what funding, if any		Planting of indigenous tree species in the coca farms	
Profile of members (education level, interests)		They are from Krobos, Akuapims (Eastern Region of Ghana), Gas (Greater Accra) and others from Northern Sector (Northern, Upper East and West Regions of Ghana). They have basic and secondary educational background	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Isaac Kwafo (0249343381) Diploma in Education	
How active number of times meet per year		Meet about 6 times a year and receive technical assistance from the TOs of the FC	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and interested. As migrant farmers, they have the sustainability of their farms at heart to ensure their continuous occupation of lands they acquired.	
Region:	WESTERN	Date	07/12/15
District:	ENCHI	GPS	5°46.920’ N; 2°39.764’W
Community:	ASANTEKROM		
Community and under which chief		Aowin traditional area, Enchi	
CBO		CREMA	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2015	
Base membership		Community	
Purpose and function of the CBO		To go into planting of trees in their farms in 2016 under the FIP.	
Activities completed by the CBO including date, and with what funding, if any		Established nursery to plant in 2016	
Profile of members (education level, interests)		Basic and secondary. Others have no formal education.	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Stephen Yeboah (0240854662) Degree holder	
How active number of times meet per year		Meet TOs quarterly on the FIP project	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and interested in natural resource management, especially planting trees on their cocoa farms	
Region:	WESTERN	Date	07/12/15
District:	ENCHI	GPS	5°45.588’ N; 2°35.502’W
Community:	JOMORO ENCHI		
Community and under which chief		Aowin Traditional Area, Enchi	
CBO		Jomoro Agro Forestry Group	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Care International from 2008–2012 3 year program Conservation Foundation from 2012–2014	
Base membership		About 50 persons (male/female)	
Purpose and function of the CBO		Toward climate change issues	
Activities completed by the CBO including date, and with what funding, if any		Assisted with technical assistance by Care International/Conservation Foundation to plant trees on their cocoa farms	

		Funding from individuals	
Profile of members (education level, interests)		Basic, MSLC, secondary, none	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		James Danso (0245887715/ 0547533435) Secondary	
How active number of times meet per year		Quarterly meetings	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and interested. They have been engaged in tree planting since 2008	
Region:	WESTERN	Date	09/12/15
District:	JUABOSO	GPS	6°22.226' N; 2°46.641'W
Community:	ADWUMAM (Admitted Community)		
Community and under which chief		Boizan Stool Land, under Sefwi Wiawso Traditional Area	
CBO		—	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		—	
Base membership		—	
Purpose and function of the CBO		—	
Activities completed by the CBO including date, and with what funding, if any		This location had admitted farms at the time of acquisition and conversion to a reserve. It had however developed into a community. They continue to press for more land but according to the regulations, the excess population have to move outside the forest reserve. The FC is not releasing more land to them. They were involved in the 2007 Heavily Indebted Poor Country Initiative to rehabilitate degraded areas of the reserve with enrichment plating.	
Profile of members (education level, interests)		The people there are farmers with basic education, with few having secondary and tertiary education.	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Nana Kwasi Bennie II (Chief) - 0242601888/0204218943	
How active number of times meet per year		They meet regularly with FC TOs on issues bordering their occupation of the location. They called for project monitoring so as not to end projects abruptly.	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready to engage and very interested in issues of the reserves. This is due to the fact that their livelihood is purely agro-based and they get involved in programs/projects introduced by the FC	
Region:	WESTERN	Date	09/12/15
District:	JUABOSO	GPS	6°22.987' N; 2°50.536'W
Community:	JUABOSO NKWANTA		
Community and under which chief		Under Wiawso Traditional Area	
CBO		—	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		—	
Base membership		—	
Purpose and function of the CBO		—	
Activities completed by the CBO including date, and with what funding, if any		Through interactions with the FC staff over the years, they have planted trees as individual farmers in their farms.	
Profile of members (education level, interests)		—	
Contact information for president, vice president, phone number, address, and one member		Peter Kennedy Acheampong (education: MSLC holder) 0541574434	

(preferably woman), and email if used			
How active number of times meet per year		Meetings are upon arrangements from the FC field officers	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready to engage and interested in the project	
Region:	WESTERN	Date	09/12/15
District:	JUABOSO	GPS	6°23.675' N; 2°53.572'W
Community:	BENCHIMA		
Community and under which chief		Under Wiawso traditional area	
CBO		–	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		–	
Base membership		–	
Purpose and function of CBO		–	
Activities completed by the CBO including date, and with what funding, if any		They have started planting trees on their cocoa farms as the old system (sunshine cocoa) has not helped them.	
Profile of members (education level, interests)		Farmers, mostly with basic education	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Daniel Kofi Kyei (0247118686)	
How active number of times meet per year		They always respond to calls from FC and COCOBOD/MoFA technical advisors	
Assessment - ready to engage? Interested, but not ready to engage?		Wholly accept the project	
Region:	WESTERN	Date	09/12/15
District:	BODI	GPS	6°13.365' N; 2°45.335'W
Community:	BODI		
Community and under which chief		Sefwi Wiawso	
CBO		–	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		–	
Base membership		–	
Purpose and function of CBO		–	
Activities completed by the CBO including date, and with what funding, if any		–	
Profile of members (education level, interests)		Basic, secondary, tertiary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Nana Akua Nsiah – Queen mother, Sefwi Bodi (0245831329) Chebure Samuel Duncan (0243081776 / 0209499600)	
How active number of times meet per year		Meetings are mostly at the call of the FC officers	
Assessment - ready to engage? Interested, but not ready to engage?		Ready and interested	
Region:	WESTERN	Date	10/12/15
District:	BIA WEST	GPS	6°07.594' N; 3°03.696'W
Community:	KUNKUMSO		
Community and under which chief		Kunkumso – Dabiso Stool land, Wiawso	
CBO		Kunkumso Farmers Association	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		2001 No paperwork	
Base membership		50	
Purpose and function of CBO		Community protection of the GSBA in the area and plant trees	

		on their cocoa farms	
Activities completed by the CBO including date, and with what funding, if any		Have planted trees on their cocoa farms	
Profile of members (education level, interests)		All farmers with basic and secondary education (few)	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Kennedy Mensah 0273307050 Secondary	
How active number of times meet per year		Meet about 6 times a year	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready to engage and interested in the project. They want to be assisted to raise seedlings on time for such a project	
Region:	WESTERN	Date	10/12/15
District:	BIA WEST	GPS	7°13.095' N; 2°55.715'W
Community:	ELLUOKROM		
Community and under which chief		Kunkumso – Dabiso Stool land, Wiawso	
CBO		1. Rainforest Alliance 2. CREMA	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		1. Rainforest Alliance established in 2007 – date 2. CREMA established 2007 – date Funding by OLAM (PBC)	
Base membership		Rainforest Alliance - All cocoa farmers CREMA - The whole community	
Purpose and function of the CBO		Tree in farms Cocoa certification Environmental protection and sustainability	
Activities completed by the CBO including date, and with what funding, if any		Tree planting Certified cocoa Have trees in farm (planted over 3,000 trees in their farms)	
Profile of members (education level, interests)		Farmers with basic and secondary and few with tertiary education	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Kwarteng Benedict (Farmer) 0249587475 BSc. Environmental Science JGK Agyim – Chairman, Rainforest Alliance 0545732193 Francis Duku (Member, CREMA) 0241425315	
How active number of times meet per year		Rainforest alliance meets 5 times a year CREMA – 7 meetings in 2015 (11-member Executive)	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and very interested	
Region:	WESTERN	Date	10/12/15
District:	BIA EAST	GPS	6°49.168' N; 3°01.888'W
Community:	ADABOKROM		
Community and under which chief		Under Wiawso traditional area	
CBO		–	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		–	
Base membership		–	
Purpose and function of the CBO		–	
Activities completed by the CBO including date, and with what funding, if any		– Some individuals have personally planted trees in their farms	
Profile of members (education level, interests)		–	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Emmanuel Kofi Afrifa (0542500707)	

How active (number of times met per year)		–	
Assessment - ready to engage? Interested, but not ready to engage?		The chief was ready to let them have access to lands for plantation development. They are interested	
Region:	WESTERN	Date	10/12/15
District:	BIA EAST	GPS	6°47.793’ N; 2°54.238’W
Community:	CAMP 15		
Community and under which chief		Under Wiawso traditional area	
CBO		Krakrom Akuafo Kuo (Krakrom Farmers Association)	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2005 Paperwork not available	
Base membership		Farmers	
Purpose and function of CBO		Cocoa Mass Spraying	
Activities completed by the CBO including date, and with what funding, if any		Spraying cocoa farms with approved chemicals	
Profile of members (education level, interests)		Basic, secondary, and tertiary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Ernest Boahen (teacher and farmer) (0504414744)	
How active (number of times meet per year)		Meet 5 times a year. Farmers have been meeting with the FC TOs from time to time on need to have trees on cocoa farms.	
Assessment - ready to engage? Interested, but not ready to engage?		Ready to engage and interested. Some are committed to release their lands for plantation development. Caution: There are more migrants from Brong Ahafo region in the community undertaking cocoa farming. Camp 15 is subtly polarized on ethnic and political grounds and it affects their decisions on leadership.	
Region:	WESTERN	Date	8 – 12- 2015
District:	SEFWI WIAWSO	GPS	6°23.712’ N; 2°39.654’
Community:	ASAFO		
Community and under which chief		Sefwi Wiawso traditional area	
CBO		Farmers Group	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Established in 2015 Minutes/records could not be produced	
Base membership		Over 70	
Purpose and function of the CBO		Tree planting in cocoa farms to increase life span of cocoa trees	
Activities completed by the CBO including date, and with what funding, if any		MoFA supplied seedlings	
Profile of members (education level, interests)		No formal education, basic, secondary, and tertiary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Robert Ebate Buah (Technical Level) Unit Committee Member and farmer (0543246257)	
How active (number of times meet per year)		Meet FC TOs based on needs of the season	
Assessment - ready to engage? Interested, but not ready to engage?		They are interested and ready to engage for the project.	

Region:	Western	Date	8 – 12- 2015
District:	SEFWI WIAWSO	GPS	6⁰24.815’ N; 2⁰40.511’ W
Community:	KANKYIABO		
Community and under which chief		Sefwi Wiawso Traditional Area	
CBO		No group existed	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		2011–2015: Amajaro and Kuapa Cocoa Buying Companies have been advising coca farmers periodically on the need to plant trees on cocoa farms.	
Base membership		All farmers	
Purpose and function of the CBO		Teach them how to use appropriate and approved chemicals and ways to apply	
Activities completed by the CBO including date, and with what funding, if any		Applying chemicals on their farms No direct funding received. It is in the form of training and capacity building	
Profile of members (education level, interests)		No formal education, basic and secondary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Alex Kwame Fuakye (Farmer) (0245387947/ 0203326922 Thomas Kwame Yeboah (0546328138)	
How active (number of times meet per year)		Kuapa meet farmers 5 times a year while Amajaro meets them once a year	
Assessment - ready to engage? Interested, but not ready to engage?		The farmer group that Amajaro and Kuapa meet regularly has 70 involved.	
Region:	WESTERN	Date	18/12/15
District:	SEFWI WIAWSO	GPS	6⁰23.112’ N; 2⁰37.917’ W
Community:	SUIANO		
Community and under which chief		Under Wiawso Traditional Area (Boako Mponuahene – Boako hene)	
CBO		–	
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures		Since 2009, farmers have been meeting informally on their activities	
Base membership		Farmers	
Purpose and function of the CBO		Tree planting on cocoa farms	
Activities completed by the CBO including date, and with what funding, if any		Individuals have planted trees in their farms. Former assembly member	
Profile of members (education level, interests)		Basic, secondary	
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used		Frimpong Emmanuel (farmer) 0245616398 (Diploma from UCC)	
How active (number of times meet per year)		Meet over 4 times in a year	
Assessment - ready to engage? Interested, but not ready to engage?		They are ready to engage and interested in the project	
Region:	WESTERN	Date	08/12/15
District:	SEFWI WIAWSO	GPS	6⁰15.750’ N; 2⁰29.285’ W
Community:	DATANO		
Community and under which chief		Under Wiawso traditional area	
CBO		Taungya Group Nyamebekyere Group	

	Adom Nyame Group
Date established (has to be 5 years or more). Any paperwork to prove—take pictures with camera; also any books accounts—take pictures	Taungya Group (2007) Nyamebikyere Group (2011) Adom Nyame Group (2011)
Base membership	Over 70
Purpose and function of the CBO	Tree planting in cocoa farms
Activities completed by the CBO including date, and with what funding, if any	Planted trees in the degraded forest. There are no longer places in the forest reserve for such activities
Profile of members (education level, interests)	–
Contact information for president, vice president, phone number, address, and one member (preferably woman), and email if used	George Nkuah - farmer (0543356791) Holds Diploma in Education
How active (number of times meet per year)	The various groups meet at different times but there are no fixed intervals for meetings
Assessment - ready to engage? Interested, but not ready to engage?	They are ready to engage but skeptical about land availability,

Individuals

SOME KEY INDIVIDUALS	
1.	Ayimaye Oscar Tawiah (Chief) of Akenteng community , Land provider – 0245734716
2.	Daniel Boadu Nimako (Chairman) - Sene East Wood Dealers Association - 0242209190 (Kwame Danso community). The group has 65 members. Monthly dues GHC 10.00. Meeting - biweekly. Trees planted: rosewood, papa (indigenous spp. 6 ha done)
3.	Nana Asew (Chief of Babator community) (0506994325): Private tree plantation developer. Has released land for afforestation program in his stool land area
4.	Martin B Asoma (private plantation developer) Koradaso community . Has 50 ha teak plantation established since 2008 and still ongoing. He has 8 permanent workers, 15 casual workers. Activities are in the degraded forest reserve. He has another plantation at Nsisrisi near Brekum. 0208194024/0243044006
5.	Hon. Hayford Duodu (NRM activist) (0240824818) (Enchi Community): Works with Care International, and Conservation Foundation; Coordinator – Forest Fringe Communities in Aowin, Chairman – Tano-Anwia Forest Management Committee, Chairman – Agro Forest Committee, Representative – Enchi District Forest Area on issues relating to natural resources. Achievements: through Tano-Anwia Forest Management Group: They established a committee for the 5 forest fringe communities and opened bank accounts for the Social Responsibility Agreement payments. As Chairman of Agro Forest Committee, they planted trees in the Jomoro Enchi community
6.	Brian Kpakpa Dogha : Interested in nursery establishment, and has 20 acre land to develop it into tree plantation. Already has some acreages planted – 0244616760
7.	Nana AfidagYaw III (Chief of Datano) ready and interested to release land off reserve for the project. (0249279149)

List of NGOs Operating in the Areas Visited in Brong Ahafo and Western Regions

1.	Agriculture – Environmental and Infrastructural Development Foundation (AGRIDEF) Contact Details Street Address: P. O Box 1210 - Takoradi (Regional office) P.O Box 87 - Sefwi Essam-Dabiso (District office)
----	---

	<p>Telephone No.: 0244072808 0508966715/ 0249535794</p> <p>Email: agridef@yahoo.com</p> <p>Operational Location Bia East / Bia West</p>
2.	<p>Defence Against AIDS, Poverty and Underdevelopment (DAAPU)</p> <p>Contact Details Street Address P.O. Box KN 2389 Kaneshie, Accra Telephone No: 233 244 40 9930 Fax Phone +233 302 2419733 Email daapu@yahoo.com</p> <p>Operational Location JUABOSO</p>
3.	<p>Human Care and Maintenance Foundation (HUCAM)</p> <p>Contact Details: Street Address: P.O. Box BC 65. City/Town: Bechem, Ghana Telephone No.:+233 0540543051 ngo.hucam@yahoo.com http://www.hucamghana.com</p> <p>Operational Location Brong Ahafo Dormaa Municipal Sene West District Berekum Municipal Dormaa East Jaman North</p>
4.	<p>AMPA Resource Organization Acronym: ARO Head Office Address: Near Star Photos, Market Street-Nsawam Mailing Address: P.O. Box 198, Nsawam Contact: +233 (0) 244101915/ (0) 244027758 E-mail: ampaorganization@gmail.com <i>Contact person: Emmanuel Kwafo Mintah</i></p> <p>Operational Location Brong Ahafo</p>
5.	<p>Save Our Environment Foundation Contact Person: Collins Osei Tel: 0208189800/ 0243560615 Email: sefen1@hotmail.com Collinsosei1@hotmail.com</p> <p>Operational Location Brong Ahafo</p>

Annex 8: Grievance Redress Mechanism (GRM)

GHANA: Dedicated Grant Mechanism for Local Communities Project

1. The Local Communities and other interested stakeholders may raise a grievance related to a grant award decision, representation in the NSC or Grievance Sub Committee (GSC), or the governance of the program. Irrespective of the nature of the grievance, the G-DGM will ensure that a transparent, timely and fair process is adopted to address each complaint. The G-DGM will have a three-tier Grievance Redress Mechanism that will:

- i. make a written record of all complaints received;
- ii. encourage immediate, on-the-spot resolution of issues; and,
- iii. publicly report on complaints received and actions taken on each complaint.

A. Communication and Access to Information

2. The program in each country will ensure culturally appropriate, easy access to information on the program, grant-funded projects, status of project proposals under review, and contact points. This information will be provided on the GEA and NEA websites as well as radio and other culturally appropriate means of communication.

3. The NEAs and the GEA will maintain open lines of communication and actively reach out to the stakeholders. Information on G-DGM implementation will be shared with stakeholders through websites and through information-sharing meetings organized for this purpose. The NEAs and GEA will regularly review feedback received, respond to questions and comments on the websites, and report to the NSC and GSC on actions taken. This is an important part of their responsibility under the G-DGM.

B. Complaints Handling Process

4. The initial point of contact for all grievances will be with a dedicated staff member within the NEA. All NEAs and the GEA will assign a staff member to receive and acknowledge complaints and feedback. The name and contact information of the staff member will be on the website and printed brochures of the program. The designated staff member will acknowledge complaints within 10 business days with a written response to the complainant, detailing the next steps it will take, including escalation to the NSC or the GSC Grievance Sub-Committee level where appropriate.

5. If the NEA cannot resolve the issue, the grievance should be elevated to the NSC. If the NSC cannot resolve the issue, it will elevate to the GSC. The time taken for the NSC to resolve complaints brought to its attention will be specified in the Country Operational Manual of the respective country. Because the GSC meets infrequently, a Grievance Sub-Committee of the GSC will be formed to handle escalated grievances upon request.

- 1. It is expected that the majority of grievances filed can and should be resolved on the spot by the dedicated staff member within the NEA. Further detail is available below and in a

grievance handling manual that each NEA will be responsible for producing. Complaints can be submitted by phone, SMS, fax, email, regular mail, or in person. Anonymous complaints can be made by phone or through a letter.

G-DGM Framework Operational Guidelines

2. Where possible, complainants will be handed a receipt and a flyer that describes the G-DGM and the Grievance Redress Mechanism procedures, which will be read to them at their request. Each Country Operational Manual will provide the contact details for receiving questions and complaints, as follows:

3. The NEA will record all complaints received in a publicly accessible online system that will allow complaints to be tracked and monitored. The system will track and report on:

- ☐ number of complaints received
- ☐ number and percent of complaints that have reached agreement
- ☐ number and percent of complaints that have been resolved
- ☐ number and percent of complaints that have gone to mediation
- ☐ number and percent of complaints that have not reached agreement

4. The database will also report the issues and geographic areas generating the most complaints. The information provided by the database is expected to help the NEA and GEA improve the mechanism and better understand and address the social impacts of the projects.

5. All feedback and complaints received will be displayed on the G-DGM website with complaint numbers to help the complainant in tracking progress. In the countries, this information will be available in a more culturally appropriate manner, depending on local circumstances.

6. **Assess, Assign, Acknowledge:** If the complaint is related to decisions on grant applications by the NSC, the complaint should be referred to the NSC. If it relates to MDB policies, an MDB staff member from the respective country office of the MDB may be invited by the NSC to its meeting to interpret the relevant policy. If the matter is not resolved, it will be referred to the Grievance Sub-Committee of the Global Steering Committee.

7. If the complaint does not fall under the mandate of G-DGM operations at the country level, but relates to (i) the policies of the G-DGM as a whole, (ii) the governance of the G-DGM in the country, or (iii) complaints that could not be resolved at lower levels, the matter will be taken to the Grievance Sub-Committee of the GSC.

8. **Resolution and Closure:** In each instance, the written response will indicate which entity (i.e. the NEA, NSC or GSC) will handle the complaint. That entity will then seek agreement on an approach with the complainant. The parties will engage in the process, implement the agreed actions, and record the outcome.

9. **Feedback and /or complaints regarding the G-DGM may be sent to:**

Name of Organization (NEA) and name of individual:

Address: _____

Email: _____

Phone number: _____

10. Name of GEA and staff member:

Address: _____

Email: _____

Phone number: _____

Feedback and complaints received will be posted online at (website.....) along with action taken.

G-DGM Framework Operational Guidelines

11. Alternatively, the parties could be unwilling or unable to engage in the process. In this instance, the complainant will be offered the option of taking the matter to the next level (i.e. the NSC or the GSC), referring the issue for mediation, or closing out. The appropriate entity will record all outcomes in writing. It is expected that resolution and closure should occur within 30 days of receipt of the initial complaint at the staff level.

12. The Grievance Sub-Committee of the NSC will offer independent mediation or alternative dispute resolution as an option in all instances. Regardless of where the complaint is handled (i.e. at the staff level, NEA, NSC, or GSC level), the dedicated staff member will make a brief written note of the options discussed with the complainant(s) and the agreed action(s) to be taken to resolve the issue. Following implementation of the agreed action(s), the outcome will be recorded (i.e. resolution and/or closure) and both parties will sign.

13. Whether agreements are reached through direct conversations or mediation, all supporting documents of meetings needed to achieve resolution should be part of the file related to the complaint. At all stages of the process the NEA will keep the MDB in the country informed and maintain a comprehensive record of all correspondence and decisions on the issue.

GHANA: Dedicated Grant Mechanism for Local Communities Project

118

