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Report No: {PAD1939}

INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT

PROJECT APPRAISAL DOCUMENT

ON A

PROPOSED GRANT

IN THE AMOUNT OF US\$ 5.5 MILLION

TO THE

NATIONAL EXECUTING AGENCY

FOR A

GHANA-DEDICATED GRANT MECHANISM

{Environment & Natural Resources}
{AFRICA}

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CURRENCY EQUIVALENTS

(Exchange Rate Effective May 2016)

Currency Unit = New Ghanaian Cedi (GHS)
GHS 3.8 = US\$1.0

FISCAL YEAR

January 1 – December 31

ABBREVIATIONS AND ACRONYMS

CBA	Community-based Adaptation
CBO	Community-based Organization
CIF	Climate Investment Fund
COCOBOD	Ghana Cocoa Board
CPS	Country Partnership Strategy
CREMAS	Community Resources Management Areas
DGM	Dedicated Grant Mechanism
FAO	Food and Agriculture Organization
FC	Forestry Commission
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
G-DGM	Ghana Dedicated Grant Mechanism
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
GSC	Grievance Sub-Committee
GlSC	Global Steering Committee
LC	Local Community
M&E	Monitoring and Evaluation
MDB	Multilateral Development Bank
NEA	National Executing Agency
NGO	Non-Governmental Organization
NRM	Natural Resources Management
NSC	National Steering Committee
PAD	Project Appraisal Document
PF	Process Framework
PDO	Program Development Objective
P-ESMF	Programmatic Environmental and Social Management Framework
POM	Project Operational Manual
REDD+	Reduced Emissions from Deforestation and Forest Degradation plus Conservation of Forest Stocks, Sustainable Forest Management, and Enhancement of Carbon Stocks

SCF

Strategic Climate Fund

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GHANA
GHANA Dedicated Grant Mechanism for Indigenous Peoples Project
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PAD DATA SHEET

GHANA

GHANA Dedicated Grant Mechanism for Indigenous Peoples

PROJECT APPRAISAL DOCUMENT

GENDR AFRICA REGION

Report No:

Basic Information			
Date:	July 5, 2017	Sectors:	Forestry: 60% General agriculture, fishing and forestry sector: 40%
Country Director:	Henry Kerali	Themes:	Social dev./gender/inclusion–social inclusion: 20% Environment and natural resources management: 40% Climate change: 40%
Sector Director:	Paula Caballero	EA Category:	B - Partial Assessment
Project ID:	P145316		
Lending Instrument:	Investment Project Financing–Grant		
Team Leader(s):	Nyaneba Nkrumah		
Joint IFC: No			
Recipient: Solidaridad, West Africa			
Responsible Agency: Solidaridad, West Africa			
Contact:	Isaac Gyamfi	Title:	Director
Telephone No.:	+233(0)302522869	Email:	Isaac.Gyamfi@solidaridadnetwork.org
Project Implementation Period:			
Start Date:	November 16, 2016	End Date:	November 30, 2021
Expected Effectiveness Date:	November 16, 2016		
Expected Closing Date:	November 30, 2021		

Project Financing Data (US\$, millions)									
<input type="checkbox"/> Loan	<input checked="" type="checkbox"/> Grant		<input type="checkbox"/>						
<input type="checkbox"/> Credit	<input type="checkbox"/> Guarantee								
For Loans/Credits/Others									
Total Project Cost:	5.5			Total Bank Financing:			5.5		
Total Cofinancing:	0			Financing Gap:			0		
Financing Source					Amount(US\$, millions)				
BORROWER/RECIPIENT					0				
IBRD									
IDA: New									
IDA: Recommitted									
Forest Investment Program									
Financing Gap									
Total									
Expected Disbursements (in US\$, millions)									
Fiscal Year	2017	2018	2019	2020	2021	2022			
Annual	1.0	2.0	1.5	0.5	0.4	0.1			
Cumulative	1.0	3.0	4.5	5.0	5.4	5.5			
<p>1. The PDO to strengthen knowledge and practices of targeted local communities in REDD+ processes and sustainable forest management</p>									
Components									
Component Name						Cost (US\$, millions)			
1. Capacity Building and Institutional Strengthening						1.0			
2. Sustainable and Adaptive Community Initiatives						3.5			
3. Project Governance, Monitoring and Evaluation						1.0			

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 []
Does the Project meet the Regional criteria for readiness for implementation?			Yes []	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	
Description of Covenant				
Team Composition				
Bank Staff				
Name	Title	Specialization	Unit	
Nyaneba Nkrumah	Senior Natural Resource Management Specialist	TTL	GEN04	

Dora Cudjoe	Senior Environmental Specialist	Environment	GENN06		
Michael Gboyega Ilesanmi	Social Specialist	Social	GSU01		
Charles Ashong	Senior Procurement Specialist	Procurement	GG001		
Robert De-Graft Hanson	Senior Financial Management Specialist	Financial Management	GG031		
Edith Mwenda	Senior Counsel	Legal	LEGAM		
Charity Boafo-Portuphy	Program Assistant	Environment	AFCW1		
Nevena Ilieva	Operations Advisor	Country and Operational Services	GEN07		
Non-Bank Staff					
Name	Title	Office Phone	City		
Adu Nyarko	Consultant		Accra		
Isabel Abreu	Consultant		Accra		
Locations					
Country	First Administrative Division	Location	Planned	Actual	Comments
Ghana					

I. STRATEGIC CONTEXT

A. Country Context

2. **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 employs 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.

3. **The economy.** Ghana's overall macroeconomic conditions have continued to deteriorate since the 2012 elections, with large twin deficits 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 in 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% 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 non-food items.

4. **Environmental and social impacts.** Natural resource wealth has a critical role 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 cost 5–10 percent of GDP, with the forest sector accounting for 63 percent (US\$500 million) of this cost (Forestry Commission 2010b, reported by Reduced Emissions from Deforestation and Forest Degradation [REDD] desk, Ghana). According to the Food and 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).

5. Ghana's REDD+ Readiness Preparation Proposal, developed with financial assistance channeled through the Forest Carbon Partnership Framework (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, the emphasis has primarily been on degradation caused by multiple drivers rather than one major industrial driver.

Table 1. Direct Drivers of Deforestation

Direct Drivers (from REDD+ strategy for Ghana)
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, and so on.
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
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
Global Markets <ul style="list-style-type: none"> • Increasing demand for high value timber species • Growing global demand for chocolate and other cocoa products • Increasing global and regional demand for palm oil
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

B. Sectoral and Institutional Context

6. Ghana has a draft REDD+ strategy, which outlines the goals of this program (see Figure 1). 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 Forest Carbon Partnership Facility (FCPF) Carbon Fund for further development. Ghana is engaged in efforts to achieve REDD+,¹ with support from the FCPF and the World Bank.

7. 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 like 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, the DGM will focus on emphasizing these agroforestry ventures on farms that are further from the forests and where land is not a limiting factor.

8. The FIP is one of the three programs under the 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, re-afforestation of degraded areas, and so on. The DGM is an essential part of the FIP, focusing on local communities in the FIP project area. The 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 informed and active role in the FIP, as well as in other local, national, and global REDD+ processes. The DGM was created and developed as a special window under the FIP. The 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 Guidelines⁴

9. **The DGM Program Structure** has a Global Steering Committee (GLSC) whose is responsible for the overall program governance, monitoring of program implementation, and

¹ 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 capacity to be prepared to engage in a global REDD+ mechanism. (<http://www.un-redd.org/FAQs/tabid/586/Default.aspx>).

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

³ DGM Design Document ([link](#)).

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

mediating 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 Indigenous People and Local Communities on RED. The National Steering Committee of the Ghana DGM reports to the GLSC.

10. The Ghana Dedicated Grant Mechanism (G-DGM) 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 communities, individuals and community organizations of LC⁵s 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 sub-projects; (c) promoting coping and adaptive strategies/livelihoods that will make them more resilient to manmade pressures and climate change (also through the grant-funded sub-projects); and (d) promoting synergies with the FIP project.

C. Higher-Level Objectives to which the Project Contributes

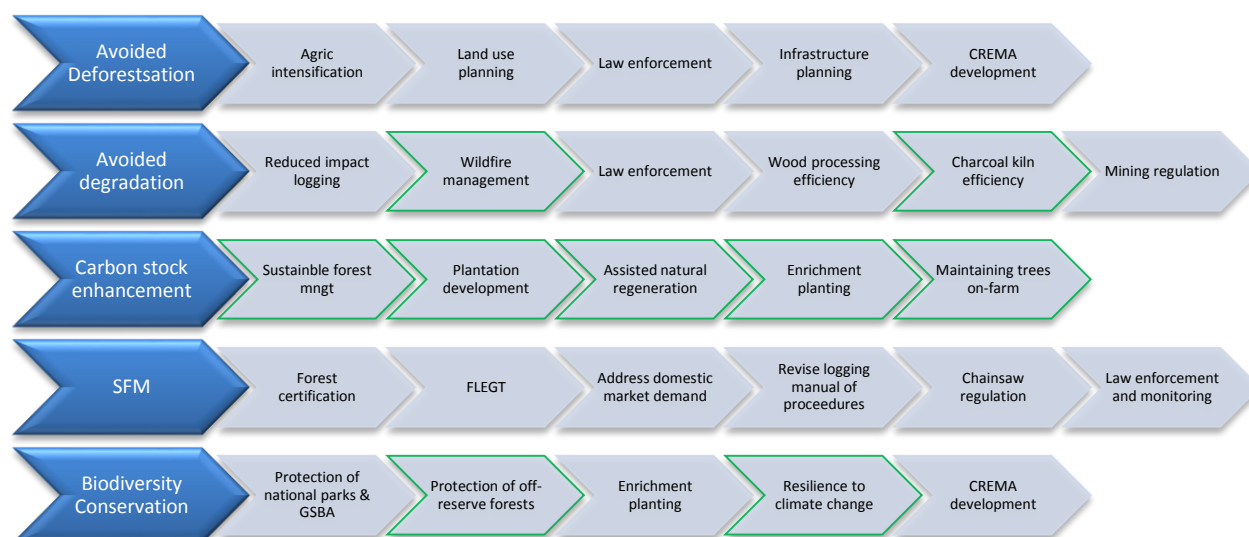
11. In April 2014, Ghana's Emission Reductions Program for the Cocoa Forest Mosaic Landscape was formally accepted into the Bank's Carbon Fund pipeline, opening up the possibility for Ghana to sign an Emission Reductions Purchase Agreement worth up to US\$50 million. This program represents an innovative, 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

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 as a result of one's family/ancestors coming 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 DGM lingo and in Ghana they would use the word traditional. Hence traditional and local are used interchangeably.

establish a results-based planning and implementation framework through which the government, the private sector, civil society, traditional authorities, and LCs can collaborate.

Figure 1. REDD+ Strategy Goals



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

12. Through the objectives of the G-DGM, the specific goals of the REDD+ strategy, emphasized in figure 1, will be reached 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, natural resources management (NRM) and (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 G-DGM). The investments in Component 2 will work toward achieving REDD+ goals, particularly those highlighted (Figure 1), which will directly contribute to achieving REDD+ goals.

13. **These objectives are fully in line with the current Country Partnership Strategy (CPS 2013–2016), (Report No. 76369-GH).** At the highest level, the Bank’s Board approved the DGM Program Framework in 2015 for a series of project. 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. A Forest Carbon Partnership Facility (FCPF) in FY14 for US\$30 million will support transformational change in Ghana’s forest-related policies and practices by piloting and validating replicable models of private-sector engagement (e.g. PPP) and participatory forest resource management. The grant will support Ghana’s Forestry Investment Plan (FIP) which will include 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 with a Dedicated Grant Mechanism for Indigenous Peoples and

Local Communities (US\$5.5 million) that will provide resources directly to community groups to build their capacity to engage on the FIP program.”

II. PROJECT DEVELOPMENT OBJECTIVES

A. PDO

14. The PDO is to strengthen knowledge and practices of targeted local communities in REDD+ processes and sustainable forest management.

15. *Project Beneficiaries:* The main beneficiaries of the Ghana FIP–DGM are LCs and their representative organizations in the Western and Brong Ahafo Regions. The Western and Brong Ahafo Regions are home to a multitude of traditional LCs, including the Krobo-speaking communities in Brong Ahafo and the Fante-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 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, in the FIP areas and were not already slated to directly benefit from the FIP. This project will target 38 core communities⁷ (already visited by the project) and an additional 14 communities (Annex 6) in these two regions. The total adult population (+18 yrs) in the 38 visited communities is approximately 25,558 (Ghana Statistical Service supplied) and the project aims to intervene in a total of 52 communities, with direct beneficiaries of approximately 11000⁸ adults.

16. *PDO Level Results Indicators.* Project results will be measured against the following key indicators (others are found in Annex 1):

- % of local community beneficiaries practicing DGM funded initiatives that contribute directly to carbon enhancement
- % Number of local community participants that increase their REDD+ and sustainable forest management knowledge score by at least 40% after basic training is complete

17. 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).

⁷ Core communities are those already engaged by the project in the course of preparation and therefore which should be included. Some general awareness was created in these communities and NSC members and focal points were from these communities.

⁸ The 11000 people will include those impacted by a) general awareness training, b) basic training; c) Community wide investments through the community grant window; d) individual investments through the 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.

III. PROJECT DESCRIPTION

18. The 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 and Institutional Strengthening (Estimated Total Cost: US\$1.0 million)

19. Capacity building will occur through a funnel approach. General awareness and REDD+ training will focus on broad community outreach followed by “basic training” which will focus on a subset (at least 10% of the general awareness participants). Basic training is the first step that must be undertaken by community members, eligible CBOs, and individuals to engage in the project and better understand the link between the concepts of climate change, REDD+, their activities on the ground and the grants for investments. The project will finance minor goods, services required, and operational costs under capacity building. Activities will include the following:

- (a) Promote training workshops and capacity-building 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, livelihoods, and so on (All Participants under general awareness training and basic training).
- (b) Provide on-farm training, and household level training for groups of basic training participants to demonstrate the links between livelihoods and REDD+ goals, to showcase certain concepts, to allow farmers and others to also demonstrate what they have done towards achieving REDD+ and related goals. This training is hand-on, practical and largely out of the classroom setting (Basic training participants)
- (c) Improve extension service providers’ ability to incorporate this knowledge (a) into their activities by targeting them for basic training (COCOBOD- cocoa growers extension service), assemblymen, CREMAs, district officers, school children and others) so that they can be more effective trainers to the communities over the long-term (Basic Training Participants).
- (d) Improve the chiefs/traditional authorities ability 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 (Specialized Basic Training Participants).
- (e) To 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).

20. For participants who have fully grasped key concepts from basic training and who have personalized its messages, the 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.

21. Component 1 will, in addition, finance the necessary training for grant proposal writing. All potential grantees that 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 proposals to be reviewed by the NSC.

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

22. Component 2 includes two subcomponents.

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

23. 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) community-based organizations (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/will benefit from initiatives under the FIP project will not be allowed to benefit under the DGM, to avoid doubling up on benefits.

24. Examples of initiatives that will be supported include, but are not limited to, re-forestation, agroforestry, shade-grown cocoa, 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, and others, subject to the approval of the National Steering Committee (NSC), the National Executing Agency (NEA) and the Bank. These initiatives are broken down into six 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 (additional detail found in Annex 2-Detailed Project Design):

25. It is important to note that the period for applying for grants will end within three years from approval to allow subprojects to focus on implementation, given that all subprojects should be implemented on the ground by Year 3 for most and Year 4 for CBOs. Subprojects that have clear results and benefits can apply for additional funding to expand at the end of Year 4.

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

26. This subcomponent will finance the field-based technical training (in Twi) of the selected grantee (individual, 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. Sixty (60%) percent of the grantee activities should be well into implementation on the ground by the end of the year 3, with completion in year 4. However, technical re-training should continue for all participants over a five-year duration of the project to ensure that the initiatives will be sustained even after the project ends.

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

28. The aim of this component is to support the project's effective governance and efficient management, dissemination, and monitoring and evaluation (M&E). This component will finance the incremental operational costs incurred by the NEA for effectively and efficiently carrying out its responsibilities (a) by serving as secretariat to the NSC; (b) through the project's technical coordination, M&E; and reporting to the Bank and the Global Steering Committee (GSC); (c) through the project's adequate financial management, procurement, and auditing; (d) through the project's Grievance Redress Mechanism (GRM) operation; and (e) by supervising the implementation of community initiatives and results assessments. Further information on the NEA's role and responsibilities is presented in annex 3. This component will also finance travel, staff placement in the field, recruitment of any required NEA staff not already on the staff roll, additional costs of field offices, and limited procurement of software and hardware.

B. Project Financing

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

Project Costs and Financing (US\$, millions)

Table 1: Project Financing

Project Components	Project Cost	FIP Financing (US\$)	FIP Financing (% of total)
1. Capacity Building and Institutional Strengthening	1.0	1.0	100
2. Sustainable and Adaptive Community Initiatives	3.5	3.5	100
3. Project Governance, Monitoring and Evaluation, Operationalization	1.0	1.0	100
Total Project Costs	5.50	5.50	100

IV. IMPLEMENTATION

A. Institutional and Implementation Arrangements

Implementation Arrangements

29. 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 will accompany project implementation and an NEA will be selected by the time of project appraisal to implement the project. These two requirements have already been met. The institutional roles and responsibilities of these institutions are described below.

30. **The NSC.** The NSC comprises 13 community representatives from local communities in Brong Ahafo and the Western Region, 2 NGO observers, 1 Government observer and a World Bank consultant representing the Bank during preparation (see Annex 3 and 6 for more details). 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 PDOs against indicators and promote learning from the results among stakeholders; (e) report to the GSC on national activities on a semiannual basis; and (f) mediate conflicts related to DGM funding proposals. The NSC is also expected to (g) participate in meetings of other national REDD+ committees and FIP institutions, ensuring that DGM lessons are transmitted to ongoing national processes; (h) seek feedback from LCs on the 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 NSC reports to the GSC and is able to share information directly with the Bank.

Table 2: Minimum number of people to be trained

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
Number	165	52	20	200	6500	52	4000
Total Minimum Trained	10,989 Basic Training (approx 10% minimum) of total trainees- 1100						

Table 3: Estimated minimum number of awards

Grant Window	Number awards/Year					
	Year 1	Year 2	Year 3	Year 4	Year 5	Total

Community	10	20	20	2	N/A	52
Individual	30	50	30	10	N/A	120
CBO	0	5	5	N/A	N/A	10
Total	40	75	55	15	N/A	182

1. **The NEA.** The NEA, SOLIDARIDAD, West Africa, is a nonprofit and nongovernmental organization (NGO) that was recently selected 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 Bank. A grant agreement will be signed between the World Bank and Solidaridad. The World Bank is in the process of carrying out the assessment of its procurement and fiduciary capacity and this process will be complete by the start of appraisal. 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 (TORs) for specific training and capacity-building activities; supervising their procurement; overseeing contracts to ensure satisfactory implementation and ensuring that DGM funds are used appropriately and that procurement, financial management, M&E and safeguards are carried out in accordance with Bank rules and procedures. It will also manage the redress processes for grievances and complaints and will coordinate and provide grievance information to the Global Executing Agency (GEA).

2. The NEA, under the direction of the NSC, will begin operations following approval of project effectiveness. The NEA will be responsible for the delivery of a draft Project Operational Manual (POM) prior to approval, and a finalized version prior to effectiveness. It will also produce a finalized version of the project's Grant Mechanism and Procedures as a condition of effectiveness. Subsequent sub-grant agreements will be signed by the NEA and the individual, community or CBO grantees. This operational arrangement reflects the need for a decentralized approach and to ensure that the LCs will have easy access to the selected NEA during implementation. The detailed TOR for the NEA is in Annex 8

3. **Implementation period and administrative costs.** The proposed project will be implemented over a period of five years (2016–2021). The Bank's administrative costs for project preparation and supervision will be financed from the reserve fund under the FIP and in accordance with CIF benchmarks for project preparation and supervision.

B. Results Monitoring and Evaluation

4. 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 in terms of composition, access to land and water, exposure to REDD+ concepts, etc. The Bank task team will review all data for quality assurance. The Bank 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 Bank. The NSC will provide opportunities to 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. Further detail on M&E is provided in the detailed project description section.

C. Sustainability

5. 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 organizations that provide extension and other services to communities through Component 1 so that they better understand climate change and its impacts and are able to support communities accordingly; (b) overcome gaps in LCs' knowledge about forest and natural resources management and adaptation, REDD+, and climate-change issues that are critical for decisions about livelihoods and resiliency; and (c) promote 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 sustainable forest and natural resources management and adaptation as well as their ability to improve 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 from SORT

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

B. Overall Risk Rating Explanation

The overall risk of the proposed project is Substantial. Political and Governance is rated high because of two main reasons: the year the project starts is around the elections and this may unduly pre-occupy the nation, particularly if it is not a peaceful election. Governance risks are high as there is fierce competition over financial resources, which, already in the project's preparation, has caused long delays as different agencies battle over access to the project. The technical design of the project is rated substantial because the DGM's basic design requires the local communities, in the form of the National Steering Committee (NSC), to manage the project as well as to select a National Executing Agency. The technical capacity of the NSC is very low and therefore their ability to make key decisions such as who to select as an Executing Agency is a risk to the project. Sustainability risk is substantial because communities tend to return to the

status quo if the capacity building exercise has not been transformative. The institutional risk is high because the NGO selected (Solidaridad) by the NSC has focused mostly on the commodities sector and has much less experience in REDD+ issues and therefore staffing becomes very key to ensure they deliver on the capacity building in REDD+ and climate change. Stakeholder risk is substantial because the project has to put in place measures to ensure that the most vulnerable at the community level can participate. To mitigate these risks, the Bank is: i) putting in place mechanisms that define the areas of weak Governance and seek to correct it at preparation such as pre-assessing the CBOs that are eligible to receive grants based on set criteria to avoid rent-seekers from formulating new CBOs to capture resources; ii) utilizing a capacity building approach that is long and deep enough to be transformative and can be sustained by the support structures working in the communities (district officers, extension agents, chiefs, etc); iii) giving the necessary support to the NSC, such as a consultant, to walk them through procurement instructions and to provide the necessary guidance till they no longer need it; iv) ensuring that the project monitors the number of women, youth and migrants who participate in the project and being flexible to adapt to the lowest literacy strata by requiring trainings to be done in the local language, and ensuring that there are field offices where the communities can easily access the project (see Annex 9 for more detail).

VI. APPRAISAL SUMMARY

A. Economic and Financial Analyses (TBC)

6. 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).

7. Some worldwide studies show the cost-effectiveness of the CBA/CDD approaches to issues related to this project’s objectives. Analyzing two communities (one pastoral and one agropastoral) in Northeast Kenya’s arid and semiarid lands, a study by Cooperative for Assistance and Relief Everywhere (CARE) and commissioned to the New Economics Foundation (NEF) has shown that CBA pays off across a very wide range of modeled interventions and scenarios, when systematic and planned adaptation are compared to a situation with no support to adaptation. This study concludes that under the most realistic scenarios, investing US\$1 in CBA generates between US\$1.45 and US\$3.03 of wealth accruing to the communities. Even when a high discount rate is used, the costs of intervention were 2.6 times lower on average than the costs of not intervening

to address climate change.⁹ Because interventions were based on adaptation, these results suggest that (a) a large part of climate-related socioeconomic losses and costs can be avoided through investment in local interventions and (b) even in a scenario in which there is no climate change and current trends are extrapolated, benefits outweigh costs (analysis from Brazil).

8. Meanwhile, some evidence from the Ghanaian context indicates that unlike indigenous lands in Brazil, community lands have higher levels of deforestation than state protected lands. The linkage of intact forest to rainfall patterns and so on, become just one of 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 in communities the capacity to understand these climate/REDD+ related issues- but in a very personal (and not abstract) manner, ultimately will have economic benefits that are better sustained than without the project. Thus, investing in CBA/CDD approaches—in which LCs make informed development and risk management decisions and take actions in response to the manmade and climate change impacts that they face—makes strong economic sense, even in a volatile and evolving environmental context.

9. The benefits include 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; and (iii) removal of significant amounts of carbon dioxide (CO₂) from the atmosphere due to avoided deforestation and native forest restoration, etc. (b) Socioeconomic: (i) reduced vulnerability of local communities and improving their resilience to climate shocks; (ii) increased monetary and nonmonetary benefits for forest users due to livelihood diversification and sustainable forest/land use management systems; and (iii) enhanced adaptive capacity of local communities. (c) Institutional: (i) strengthened civil society organizations of local communities; (ii) increased engagement, participation, and voice of local communities in REDD+/climate change decision-making bodies at the local, national, and global levels; and (iii) enhanced partnerships between local communities. The economic, environmental, and social benefits of CBA interventions far outweigh their costs. This suggests that they are efficient and effective. 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

10. 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

⁹ The study considers two models: (a) an economic diversification strategy through drought-resistant agriculture to support the maintenance of pastoralism using a community-based approach and (b) a direct strengthening of livestock pastoralism using drought-resistant agriculture as an adjacent instrument and different scenarios reflecting on uncertainties with regard to local impacts of regional and global climate changes to forecast the potential impacts of climate change up to 2030. It also controls results for sensitivity of assumptions and discount rates and accounts for risk and uncertainty relative to future patterns of climate change (CARE and NEF 2012).

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/CBA 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/CBA 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 civil society organizations. The project is based on a strong sense of ownership and social accountability among the grant beneficiaries and key stakeholders convened in the NSC, thus contributing toward increasing their representation in relevant decision-making arenas.

C. Financial Management (TBC during appraisal)

31. A financing/grant agreement will be signed by the NEA and the Bank to administer a grant scheme. Subsequent grant agreements will be signed by the NEA and the Communities, individual LC grantees, and CBOs outlining the grant amount and all other conditions. The NEA will also have a field-based Bank account to ensure that funds can be administered at the regional level for items that can be bought locally. The NEA will be the secretariat for the NSC.

32. In accordance with Bank requirements, it is expected that the NEA, Solidaridad, will maintain financial management arrangements that are acceptable to the Bank and which provide reasonable assurance that the proceeds of the grant are used for the purposes for which the grant was granted. In addition to Solidaridad complying with Bank fiduciary requirement, there will be a Bank approved POM that will provide clarification on the financial management, accounting, and reporting responsibilities of Solidaridad and sub-grant recipients.

D. Procurement (TBC during appraisal)

11. The procurement for the proposed project will be carried out in accordance with the World Bank Guidelines: "Procurement under IBRD Loans and IDA Credits" dated January 2014, and Guidelines: Selection and Employment of Consultants by World Bank Borrowers dated January 2014, and the provisions stipulated in the Legal Agreement. For each contract to be financed by the Grant, the different procurement methods or consultant selection methods, the need for prequalification, estimated costs, prior review requirements, and time-frame are agreed by the Recipient and the Bank's project team in the Procurement Plan. The procurement plan will be updated annually or as required to reflect the actual project implementation needs. The plan should include columns listing proposed costs and actual costs and these must be filled to reflect the final price when purchasing is complete. The POM must specify the procedures to be followed under the procurement for the sub-grants, such as: (i) the NEA prepares the technical specifications or terms of reference in coordination with the sub-grantee; (iii) the NEA and sub-

grantee work together to issue the request for quotations (for goods); (iv) for services, the NEA work on the TOR for a consultant/firm to train the sub-grantees; (v) the NEA receives the purchase order of contract (for goods) and for services, does the evaluation and recruitment; (vi) the sub-grantee receives the goods, works or services and issues a services/goods received form and sends it to the NEA; (vii) the NEA processes the supplier payment; (viii) the NEA supervises the contract execution and use of the goods received.

E. Social (including Safeguards)

12. The Ghana Dedicated Grant Mechanism has been designed to have significant positive impact on the target populations and local communities. 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.

13. 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 from all stakeholders. The main features of the proposed project design (e.g., the eligible activities and proponent organizations, the size of community grants, the criteria for the selection of the NEA, and so on) will continue to be debated and approved by the NSC, which comprises community-selected representatives.

14. 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 due to changes in forest management and resource management plans, hence, the safeguards policy of the World Bank (O.P. 4.12), Involuntary Resettlement, is triggered. In this case, the appropriate safeguards instrument is a Process Framework. To this end, the Process framework for the FIP project would be updated according to the DGM context, consulted upon and disclosed in country and at the InfoShop. This Process Framework describes the steps to identify and possibly resolve any situation of restriction of access that may appear.

15. Given the CBA/CDD approach, it is not inconceivable that Voluntary Land donation will take place in 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.

16. **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 roadmap for an explicit focus on the gender aspects in the Project, reporting to the Steering Committee on a regular basis on this roadmap.

F. Environment (including Safeguards)

17. The proposed conservation project is expected to have a positive environmental impact because it seeks to promote sustainable forest and natural resources management and adaptation, and climate-change adaptation for LCs whose livelihoods depend on the earth'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. Ghana DGM built upon the Ghana FIP ESMF and PMP. The FIP ESMF has been reviewed in order to ensure inclusion of the activities covered under DGM and takes into account the different geographical locations. These documents have been disclosed in Ghana on www.fcghana.org, and at each office of MLNR and FC regional and participating District offices and at the Bank's Infoshop. 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, OP/BP 4.11 Physical Cultural Resources and, OP/BP 4.12 Involuntary Resettlement.

18. 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 upfront once the authority is chosen and the committee is formed. User friendly training manuals will be developed which could serve as ready reference on 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.

G. World Bank Grievance Redress

19. 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 PROJECT MONITORING

Results Table: PDO to strengthen knowledge and practices of targeted local communities in REDD+ processes and sustainable forest management.

PDO Indicators							
	Indicator Name	Baseline	YR1	YR2	YR3	YR4	YR 5
	C1.Number of local community participants that increase their REDD+ and sustainable forest management knowledge score by at least 40% after basic training is complete. Assumption: knowledge of REDD+ is precursory at the beginning of the program	Baseline will be established in Year 1	200	200	200	200	N/A (no training in year 5)
	C2. % of local community beneficiaries practicing DGM funded initiatives that contribute directly to carbon enhancement.	0.00	0	40	40	40	40.00
	C2. 65% of community initiatives are successfully completed and achieve their stated objectives, which are	0	0		25	50	75

consistent with FIP objectives						
Percentage of grantees that express satisfaction with the project (Percentage) Satisfaction survey	N/A	N/A	70	N/A	N/A	70.00
Percentage of women and migrants (total) grantees that execute subprojects (Percentage) Beneficiary survey	0.00	N/A	40	40	40	40.00
C3. Grievances registered related to delivery of project benefits addressed (%) (Percentage) - (Core)	0.00	70	80	100	100	100.00
Intermediary Results Indicators						
Indicator Name	Baseline	YR1	YR2	YR3	YR4	YR5
C1.5% of basic training participants are exposed to successful REDD+ practices in real time at national, regional or international levels.		0	0	0	2.5	2.5
C2.Number of changed practices among beneficiaries as a result of	0	0				

<p>the project.</p> <p>i)full sun cocoa to shade cocoa</p> <p>ii)non-renewable energy sources to sustainable sources</p> <p>iii) recovery of degraded land</p> <p>(beneficiary survey at beginning and end)</p>						
C3. The number of results stories produced by grant recipients presented during regional and global knowledge-sharing opportunities						
C3.M&E data system effectively tracks number of trainees, proposals, awards, and completion of implementation	Yes/No					

Annex 2: Detailed Project Description

GHANA Dedicated Grant Mechanism for Indigenous Peoples

The Ghana Dedicated Grant Mechanism

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 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 the FIP and other climate change-related activities, communities will not be able to receive financial assistance from both the FIP and the DGM. There will be separate FIP and DGM communities, particularly for Component 2 (community investments), although training activities may be linked where possible to benefit from trainers or training sites or knowledge sharing.
3. 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, community individuals, 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.
4. The DGM in Ghana has an indicative 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 Bank. The Bank will enter into an agreement to provide funding to the NEA and will be an observer in the NSC until project implementation, unless agreed otherwise. The NEA will report to the NSC as well as the Bank on the progress, safeguard, and fiduciary aspects of the program.

The Ghana FIP Investment Plan

5. 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 Investment Plan 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 Investment Plan identified three interrelated projects in Ghana, implemented by the 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	AfDB: Project 2 Engaging Local Communities in REDD+	IFC: Project 3 Building Private Sector Engagement in REDD+
FIP Dedicated Grant Mechanism for LCs: Working with LCs, CBOs, NGOs, cocoa agents on outreach, access, participation, and equity		

6. 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, improvements in management practices, capacity building, and communication will be supported. The project will 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 DGM in Ghana.

7. 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 Community Resources Management Areas (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 Ministry of Lands and Natural Resources and the FC, charged with forest and landscape management, 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.

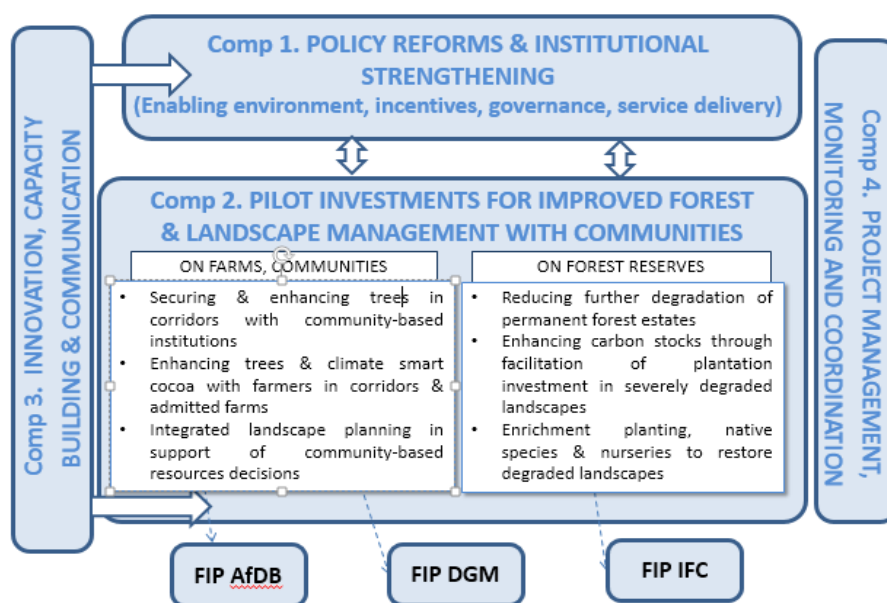
¹¹ FIP financing is channeled through the MDBs as grants and near-zero interest credits. The FIP aims to help countries complement and leverage investments to promote forest mitigation; reduce pressures on forests (including from outside the sector); strengthen institutional capacity, forest governance, 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 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 over the long term.

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

8. Figure 2.1 details the inextricable linkage between the G-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 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, given that the FIP will be in year 2 of implementation when the DGM commences. Despite the delay, the time lag has, to some extent, helped prepare communities for the arrival of the DGM. In addition, the two project preparation teams were able to make a distinction between the communities to be supported by the DGM (off-reserve) and those to be supported by the FIP (on-reserve and off-reserve). This has allowed a much more targeted preparation process for the DGM. In some cases there will be an overlap of Component 1—for example, where knowledge sharing/training on climate change and REDD+ under DGM is also offered to a community that will benefit from the investments under the FIP because those investments necessitate a basic understanding of climate change/REDD+ and the communities are nearby each other. However, the details of which few select FIP communities are supported by the DGM need to be fully decided by the NSC/NEA and FIP. Finally, broad activities financed by the FIP, such as the communication approach, outreach, and dissemination, will benefit the DGM project, particularly if these are started in advance of the 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 DGM should read and understand the operational approach of the FIP. The FIP coordinator will also sit on the 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 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 Area

9. 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.

10. The project preparation process has outlined (Annex 6) the targeted communities. Thirty-eight are already engaged as part of the preparation process and a further fourteen remain. The initial thirty eight can start the project straight away while the others would need some initial consultations. The total population in the 38 communities is approximately 25,558 adults, with the project directly benefiting approximately 11000 people.

11. **The challenge.** The FIP and Dedicated Grant Mechanism (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, coco yam, oil palm, and rubber—accounts for about half of the region’s deforestation and degradation. 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 put this incremental forest loss in place have not changed over many years (*Source*: FIP project document).

12. 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 local community (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.

13. **Ghana has not had a very long history with regard to the inclusion of Local Communities (LC) 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 (2013). 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 Forestry Investment Plan (FIP) plans to help address this issue but in the meantime, the Dedicated Grant Mechanism (DGM) project will ensure that any planted tree under the project is registered in accordance with the law and will give farmers the training they need to register their trees.

Project Strategy

14. 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 tCO_{2e} 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 that 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 include temperature increases, variability in rainfall, an increase in the length of the dry season, and the loss of further acreages of forest due to forest fires sparked by the lengthier dry seasons.

15. Considering the baseline scenario, agricultural activity is expected to continue in the Brong Ahafo and Western Regions and may increase manmade 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.

16. **Premise of the design.** The premise of the design, which to a large extent was set by the Global DGM, is that LCs gain a thorough understanding of REDD+/climate change and the impacts of deforestation etc. on sustainable livelihoods, and that this understanding is deep and concerning enough to galvanize their participation in local initiatives that are ultimately sustainable beyond the end of the project. These initiatives are meant to strengthen communities' resiliency to climate change while making positive inroads in the fight against climate change. These activities will allow LCs to better understand and engage in FIP activities and REDD+ activities at local, national and global levels.

17. The design also focuses on empowering LCs to effect this change in behavior 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, and so on.). 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 prior to engaging in each community to ensure that poorer segments of the society can benefit (youth, migrants, and so on.) and are able to attend the training sessions as their interest allows. This stakeholder analysis should not be done through a consultancy but by the rural planner in the NEA team as a quick exercise.

18. 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 learnt and to better understand the linkages between the knowledge they have understood and the investments they make on the ground. It is expected that this process,

¹² It is important to note that communities selected their 'best' candidates and to the 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.

over 5 years, will allow communities to withstand threats from within and without, thereby increasing their societal resiliency.

19. The design of this 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. 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 NGOs and CBOs in Ghana exist which are largely one or two people operated entities that capture resources destined for communities and therefore establishing legitimacy, and appropriate legitimacy for those whose operations extends to the two regions becomes key (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.

20. Given the Ghanaian context, the grant mechanism will function within 3 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 can directly benefit from the grant and the third is the CBO window. The approach suggests that the NEA will have to have the capacity to manage smaller grants (individual level grants). These will have higher transaction costs and, accordingly, operational costs will be financed at a higher amount than usual.

21. 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, and so on. 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 civil society organizations (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, Western Regions) and even the community, provided the goods meet the required level of quality

Lessons Learned

22. 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; (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 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 manmade/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 the understand the root causes and can work towards, 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, and so on) 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)

23. The list of 38 communities already engaged in the project (during preparation) is located 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 and their names listed in the Annex and these focal points attended the workshops in Brong Ahafo and Western Region. The NSC members come from within these communities. It is these communities that should be engaged first. The list also includes additional communities, should time and resources allow, that also can be included. Priority should be in selecting those that would particularly benefit in terms of natural resource issues. 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.

24. **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 has strong ties to the land in the community as a result of ancestry. He/she is not a minority and more privileges than someone with ancestral ties outside of that community or ethnic area (migrant).

25. In communities, there are those that 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 (Ewe in Volta or people from Northern Ghana and so on) 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 activities that the project supports.

26. **Despite local chiefs' governance of land allocations, many cannot not bring development to the local area.** Some chiefs do take on this mandate but with scarce funds, many cannot. 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 are 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.

27. **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 chiefs that 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 Kebi 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.

28. Community investments, however, require strong community ties as well as 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.

29. **The law now makes it legal for planters of forest trees (otherwise known as timber) to own the specific trees whereas before they were owned by the government.** The law now allows farmers to plant timber trees (that previously would be owned by the Forest Department) and register those trees as their own as well as derive all the benefits from those trees. However, the process of registering these trees is tedious and many farmers have not been able to complete this process. For this reason, the project will assist in the registration of planted trees by providing training and ushering communities through the process.

Individual Investments (Key Issues)

30. 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. Cocoa farmers have ample funds during the cocoa harvesting season but this soon runs out due to inadequate financial management 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 financial management 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 alternatives to cocoa 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 that would enhance their livelihoods.

31. 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, and so on, the requirement of continuous, even if cyclical, tree cover needs to be clearly articulated and understood, particularly by individual investors, before the call for proposals.

Investments for CBOs (some Key Issues)

32. **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.

33. 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. Longer-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.

34. 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 (2008–12) 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.

35. It should be noted that unlike other DGM countries, particularly in Latin America, most CBOs in the Brong-Ahafo and Western Region do not have the capacity to handle large sums of funding nor do they have the capacity to execute more than small-scaled 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.

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

Project Components

37. 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 manmade pressures and climate-change risks they face and that threaten their livelihoods and cultural survival; and consequently, (c) protect and promote biodiversity and sociocultural diversity within this biome.

38. The project will have three components:

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

Component 1: Capacity Building and Institutional Strengthening (estimated total cost: US\$ 1.0 million).

39. **General Awareness:** Training will occur using a funnel approach. A widest part of the funnel will capture the entire targeted communities of approximately 11,000 people. The NEA will first do a community level assessment to determine the baseline of knowledge regarding REDD+ and sustainable forest management. Then, a wider general awareness will occur. This training would focus on telling the community about the project, about its objectives, about 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. General awareness should be done after consultation with the chief so that the maximum number of community members are present during all trainings. The general awareness training should 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 taken into account in the design of the project. Marginalized members of society- (women, youth, and migrants) should be encouraged to participate. General awareness training should start in the pre-identified communities already visited during preparation and who have already nominated focal points for the project (Annex 6).

40. **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 will be skeptical, others not interested and still others may not have

the time. However, some basic groups will be targeted in addition to those who want to participate. For example, selected CBOs (Annex 7), chiefs and institutions that provide extension and other related services to the communities will receive training. Women, migrants, youth and other vulnerable members of the community will also be targeted along with farmers and others. This training must be undertaken by technical specialists of the NEA that are skilled in climate change, REDD+, natural resource management as well as those who are skilled in conducting field level training and interactive training. The purpose of Basic Training is as follows:

- (a) To bring community members, CBOs, extension service workers (district officers, assemblymen) to the same level of understanding about the project, 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 so on;
- (c) To ensure communities understand that there is a link between what is being learned about climate change and REDD+ and livelihoods why they are receiving grants to embark on certain investments;
- (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, and so on) 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;

41. **To ensure uptake and understanding of the basic training message, it is important to plan the training and to 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) for issues that need to be understood outside of the community setting, videos, and films should be used; (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; (d). Should allow for a lot of discussion and bottom up learning since farmers also have relevant traditional knowledge to share.

42. **M&E target.** Basic training, which should include several sessions of training based on an established curriculum, should be completed for all participants who may want to apply for grant funding. While an initial test will be given, training should be effective enough for participants to pass an oral test at the end of the sessions that ensure that they have fully grasped the key concepts

related to climate change, REDD+ and linkages to their livelihoods on the ground. Records of scores will be kept and those that do not pass can be retrained in the second year.

43. **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 since strong chiefs, when not corrupt, 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, and so on (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. Minimum target trained- chiefs and queen mothers in all project communities, with a special focus on chiefs that are facing specific natural resource related threats (deforestation/surface mining/etc).

44. **Further Training:** After basic training, for talented candidates who show a ready interest in the issues, further in-depth training will occur. This training may include local and 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 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 and so on. The further training is expected to lead to a higher level engagement of the participants in REDD+, Climate Change issues at local, national, or global levels.

45. **Training for writing/developing sub-project Proposals:** Component 1 will, in addition, support a short training for the preparation of the individual, community and CBO window proposals (Component 2). The training will commence with interested recent graduates of basic training and will focus on the following topics: (a) presentation on the investment options according to the thematic areas outlined on page 35, 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; (d) working session on how to fill in the proposal forms (Annex 5). Where literacy is a factor, the NEA staff should have the 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 to apply for grant funding.

46. The necessary requirement for this training is completion of basic training and interest in applying for grant funding. Women, marginalized, poor, youth, and others are encouraged to attend if interested. Those who are not interested in applying for the grant after taking the class should complete a short exit interview regarding why they decided not to apply for the grant. By the end

of the training, trainers should have a full written assessment of the types of investments chosen by communities, individuals and CBOs. This information will assist with planning for the types of technical training and procurement needed to support the ventures and may reduce the time factor in procuring the appropriate goods and services.

Component 2: 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)

47. There will be three grant windows. These include community-level initiatives, individual-level initiatives and CBO level initiatives.

48. Sub-component 2A will primarily finance goods and operational costs for (a) eligible communities as well as (b) individuals living in these communities, and (c) CBOs (Annex 7), to undertake small-scale activities for 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. The CBOs should be validated by the local communities. Those who have benefited in terms of grants/loans under the FIP project will not be allowed to benefit under this component of the DGM. All grant activities must have relevance to the 7 themes below.

49. In addition, given the limited amount of funds and the number of eligible communities (Annex 6), first-tier preference will be those communities who apply through the community window. The project will track the number of women, youth and migrants who participate at each level. The second tier of preferences will be those who apply through the individual window. . The last tier of preference will be for those who apply through the CBO window. Only eligible CBOs can apply. For this reason, it is important that the NEA stress that those who have no land or no access to land can still participate in the thematic areas that do not require land (i.e., solar energy for households, container vegetable gardening, boreholes, and so on).

50. Members of the NSC are eligible to apply as individuals (but not as part of a CBO). However, the NSC member will have to wait to apply until after the first round of individual applicants have been selected. This is because there may be an inherent conflict of interest and the project must ensure that the NSCs first priority is to their community. The NSC member must follow the exact same process laid out for other applicants. If an NSC member's application is to be discussed at the Steering Committee meeting, the member has to excuse himself or herself from that meeting and remain in his/her community. In addition, all proposals will first be judged based on technical merit and so each applicant will be assigned a number, rather than a name. It is that number (without the attached name) that will be distributed to the NSC members as they deliberate and rank the proposals. After the ranking is completed and submitted to the NEA, further discussion on the site viability, the individual's commitment to do the work, and any potential site visits, where necessary, can be used with regard to finalizing the selection. The process for reviewing proposals will be well described in the Grant Document and POM and strictly adhered to.

51. Proposals will be selected according to the following seven thematic areas:

- **Increase biomass (vegetation cover) in the community and on farms to improve soil fertility, prevent runoff and soil loss.** Examples of such subprojects will include reafforestation 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 (mango, and so on 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 so on 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, and so on); processing equipment for business ventures such as *gari* making, financial planning and management for cocoa/cash-crop farmers for increased resiliency, and so on.
- **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, and so on), firefighting truck, controlled burning, and so on; composting to improve soil fertility; and so on.
- **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 galamsay, water security will be strengthened by, for example, rain water collection systems, 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, and so on.

- **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 (e.g., 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 ineligible for this type of support.
- **Capacity building for CBOs.** CBOs in the two regions require much capacity building. This theme focuses on building up CBO capacity in leadership, planning, management, technical skills in a particular area, etc. This capacity building is only for CBOs that have been established for at least 5 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 Bank.

52. All grant proposals will be assessed according to basic criteria of relevance, innovation, quality, and sustainability. Preference will be given to those subprojects that include the most vulnerable as well as those who have a good understanding of climate change, REDD+, and have undergone training under Component 1. All projects will be screened to ensure compliance with the Bank's Operational Policies on environmental and social safeguards, according to criteria to be established in the Project Operational Manual (POM). Sub-grant agreements can be signed between the NEA and CBOs that apply for funds to do a specific, related activity in the communities. However, these CBOs must have a solid reputation and strong evidence of their successful operations in the targeted populations. These sub-grant agreements must be approved by the Bank. 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.

53. Under Subcomponent 2A, sub-grant agreements for all grants will be signed by the NEA and the recipient. 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.

Community Grant Window

- (a) The **community grants window** (up to US\$40,000 per eligible community) will support proposals from communities whose forests, natural resources, traditional

livelihoods, and sociocultural organization are vulnerable to existing and potential threats posed by climate change and non-climate development challenges, including surface mining, and so on and who wish to address these threats by investing in any of the thematic areas outlined above. To be considered a community investment, this venture must be supported by the community, and the plan must include a description of community labor (how many will volunteer); community land (who will provide the land voluntarily); 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. Finally, a community structure (overall leader, workers, list of names of involved volunteers, person who records what has been achieved, one who reports back to the NEA etc) should be put in place to manage the venture to plan and to report on progress, and so on. It should be clear that this fund is not for the chief but rather for the community as a whole, whether or not the land given comes from the chief or from an individual.

- (b) **For transparency:** Purchases made on behalf of the community 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. This transparency between the NEA and the communities will reduce the number of grievances. Opportunities for community-rooted ventures to provide any materials or goods under shopping should be allowed. 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. Certainly communities under greatest threat to mining, degradation, etc should be prioritized. 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 (12 months) with clear results that can be shown (pictures, documents, etc) prior to applying for additional funds.

Individual Grant Window

- (c) **The individual grants window.** The individual micro-grants window (up to US\$3500 per individual) to support individual proposals from local individuals or local groups. Considering the window's ceiling of US\$3500 per individual or a preexisting group, 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 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 Bank and NSC. At the field level, to be reviewed by the Bank, all subproject expenditures have to be individually tallied and

records kept of items bought (amount, cost and receipts) and individuals will sign for items received. This again will reduce the number of grievances. Individuals 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 at least 1 years (12 months) with clear results if additional funds remain.

CBO Grant Window

- (e) **The CBO window.** CBOs that have some operations in the FIP or DGM communities are eligible to apply. The CBOs must have been created before 2011 and should be known and recognized by the community. These CBOs are 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 and so on) cannot exceed 10 percent of the grant. In addition, the purchase of vehicles is not permissible. The bulk of the investment 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 24 months of implementation and not before.
- (f) **Transparency initiative:** The eligibility criteria for selection of CBOs is that they (a) have to have been in existence for at least 5 years; (b) have to have operated in Brong Ahafo and/or Western Region with proven experience; (c) have to be known to the communities in which they indicate that they have operated (proof to be furnished by chief and wider community); (d) have to be on the list of eligible CBOs if funding is requested in the first 2 years of project implementation.
- (g) If the CBOs are to manage funds on their own, the CBOs must have proven organizational capacity and (a) have had successful experience in carrying out forest and environmental management experiences inside their territories; (b) 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 and nontimber forest products if they are to be allowed to manage the funds on their own; and/or (c) undertaken some level of product commercialization that is beneficial for sustainable management of forest and natural resources, adaptation to climate change, and socioeconomic development of LCs; (d) be able to carry out basic accounting and record keeping and (e) have enough staff and/or community volunteers to complete the work outlined in their proposal (f) be able to provide both the bank and NEA with financial information, project activities and proof of quality implementation.

54. All proposals under Subcomponent 1A will be assessed in accordance with basic criteria of relevance, innovation, quality, and sustainability. They will be screened to ensure compliance with the Bank's Operational Policies on environmental and social safeguards, according to criteria to be established in the POM. No community counterpart financing responsibilities will be requested and it must be emphasized that this is a grant and not a loan and so no community,

individual, or CBO is expected to sign a loan. If a certain funding window is not functioning well (decreased applicants), a portion can be rolled over to another window if that other window has inadequate funds. However, records of this should be meticulously maintained after seeking approval from the Bank.

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

55. Subcomponent 2B will finance technical assistance for: (a) grantees that have received an award for a particular sub-project (training in the specific field i.e., tree planting, solar energy, etc) and (b) field-level technical assistance (extension) related to the investments during implementation.

56. Clearly, once selected to receive grants, the communities and individuals will not have all the technical expertise to understand how to implement the activities, when to commence, nor the costs/benefits associated with each initiative, particularly if it is outside the realm of their day-to-day experience. For example, communities and individuals who want to receive solar lighting or to use a rainwater collection may have little or no knowledge about these systems. Clearly, a training plan is needed that will train individuals and the communities to be able to carry out their activity once their proposal has been selected. The NEA's planning and training team will need to assess whether to do this in stages (for example, the first week will be on the linkage to climate change; the second week on the technical content; the third week on field training and demonstrations; and so on) or whether to do training in bulk, (that is, three weeks training on every aspect) or some other configuration.

57. The NEA will group each accepted proposal into the type of training required. For example, all the proposals related to planting trees would be grouped into one for technical training. A training plan will be developed in consultation with the selected community to assess how much training is needed and how often during the period of implementation on the ground.

58. The key challenge for the NEA will be how to organize the training and 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 trained 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 training.

59. Field-based technical training should only be initiated with a grantee in response to an accepted proposal. Types of technical training must be directly linked to the needs outlined in the proposal. All training must be hands-on, practical, on-the-ground/farm-level training instead of classroom training. Once a proposal has been selected, the funds will support the technical training activities for the grantees along lines of interest. For example, those interested in agroforestry and tree planting will receive specific 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.

60. Trees funded under the DGM should go through a process of voluntary registration to

ensure that the trees can be registered to the planters. This 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. For community lots, registration will occur in the name of the community, rather than the individual chief but this process is subject first to the Bank's requirements for voluntary land donations.

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

61. The aim of this component is to support the project's effective governance and efficient management as well as the proper execution of the project's monitoring and evaluation (M&E). This component will finance the incremental operational costs incurred by the NEA to effectively and efficiently carry out its responsibilities with regard to (a) serving as secretariat to the NSC; (b) carrying out the project's technical coordination and M&E, as well as reporting to the Bank and the GSC; (c) executing the project's proper financial management, safeguards, procurement, and auditing; and (d) supervising the implementation of community initiatives and results assessments. In addition, this sum will pay for the following costs: e) cost of field operations from two regional field bases; f) costs of additional staff (procurement, safeguard) required of the NEA by the Bank; g) NEA assessed fee (no more than 10%); h) NSCs recurring costs, etc. Further information on the NEA's role and responsibilities is presented in Annex 8. This component will also finance short studies, training, travel, and limited procurement of software and hardware for the NEA.

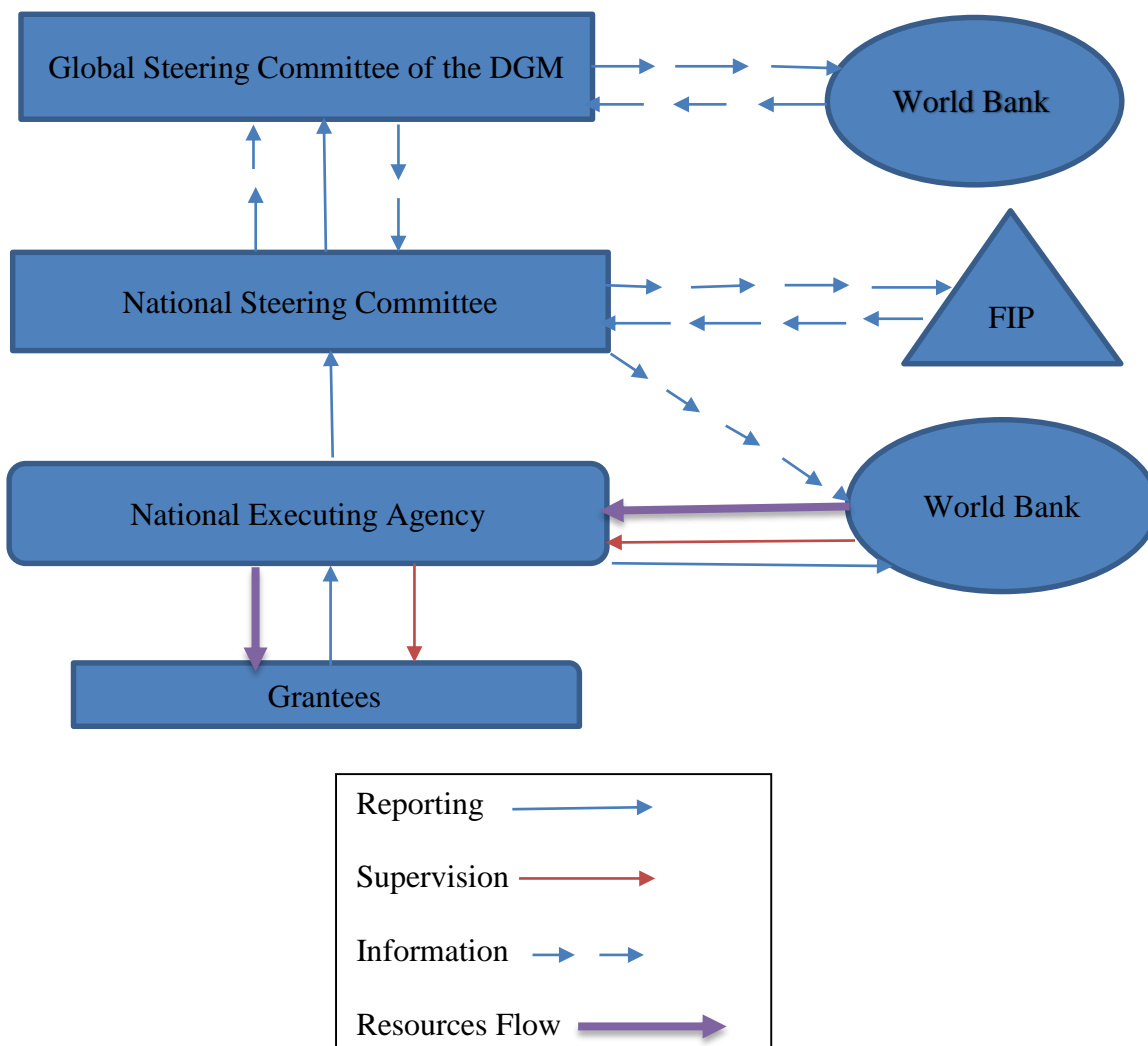
Annex 3: Implementation Arrangements

GHANA: Dedicated Grant Mechanism for Indigenous Peoples

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 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:

- 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 results frameworks 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 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 DGM lessons are transmitted to ongoing national processes; (b) seek feedback from LCs on the 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. 4 Observers assigned to the NSC were selected in March 2016 and include the FIP coordinator; two NGOs, (BANGO (Brong Ahafo NGO) and Forest Watch) and a representative of the Bank (consultant). An NEA representative will also attend the NSC meetings. The chairman of the NSC will participate as a member in the GSC.¹³ Appropriate principles of 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 Bank will remain as an observer until project preparation is complete but could remain longer if the NSC requests the Bank's continued presence as observer. If the Bank consultant 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 NSC meetings, observers will provide inputs on technical soundness, operational feasibility, and alignment of proposals with national policies.

¹³ 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).

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) was selected as the NEA through a competitive process administered by the Bank and carried out by the NSC with the assistance of the observers. The NEA is a non-profit and non-governmental organization that meets the Bank's program-related, fiduciary, and safeguard requirements. The Bank approved the short list of candidates and the final selection. The NEA will begin operations following the approval of project effectiveness. A financing/grant agreement will be signed by the NEA and the Bank to administer the grant scheme. Subsequent grant agreements will be signed by the NEA and the individual grantees. Additional information can be found in the TOR (Annex 8). The NEA's principal responsibilities include the following:

- Secretariat for the NEA and in that capacity organize meetings of the NSC (two or three times a year), including venue, hotel and travel, transport costs, and so on.
- Make arrangements for the translation of documents of the 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, and so on 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 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 Bank. This shall include written reports, videos, and photographs. All the reports must be quantified and should be able to 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 DGM as approved by the NSC, comply with all applicable policies and procedures of the 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), and
 - 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.

NEA and Requisite Human Resources

Planner

8. The NEA must be equipped with a planner, who can strategize and organize the flow of activities. The planner will be responsible for ensuring a smooth coordinated process including: (a) ensuring that the training is completed on time (b) ensuring that there is no time-delay between the basic training, preparing of grant applications and implementation; (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 (e) working with the procurement specialist to ensure that procurement is not delaying the roll out of the implementation. To reduce time delays, the planner should determine which options would work best- for example, the planner would decide whether the call for proposals should be along thematic lines (i.e., first call for all those interested in tree planting) to allow for forestry trainers to complete sessions and exit, or whether it is better to have a call for any thematic area bearing in mind that different subject area specialists would need to be recruited and available to train selected the grantees. 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

Knowledge Management Specialist

9. The NEA should also be equipped with a knowledge management specialist that 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, and so on, 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. Where possible, training should be conducted in the local language for better receptivity and should be interactive, rather than classroom lecture style. 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, as well as 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 have the 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, and so on.

11. The knowledge management specialist would be responsible for recruiting technical experts that can assist with Component 2b. That expertise can be drawn from the NEA, from the Community if expertise exists, from the Government with a Memorandum of Understanding, or from the Forestry Services Department of the Forestry Commission, 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 planner to ensure that knowledge is delivered in a timely manner so as not to delay the roll out of the project.

12. The Climate Change/REDD+/NRM specialist on the team will be responsible for overall coordination and management of the project and will develop of the technical content for all the trainings in partnership with the knowledge management specialist. This specialist bears the overall responsibility for the team and for the deliverables of the project. Delays in the roll out of the project will be directed to this coordinator as he/she is responsible for making sure that all the specialists do their work adequately. This specialist, as overall coordinator, is also responsible for ensuring that the procurement, M&E, Safeguards and FM aspects are carried out in a transparent and timely manner.

The Grievance Redress System and Information Sharing

13. **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 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.¹⁴ 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 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 local communities. Responsive actions should also be posted on the site. This mechanism should be established within the first 6 months after approval of the project.

14. 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 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.

15. The 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.

¹⁴ It is expected that the NEA can and should resolve on the spot the majority of grievances filed. When the NEA cannot resolve the issue, the grievance will be elevated to the NSC. If the NSC cannot resolve the issue, it will be elevated to the GSC. In each instance, the written response to the complainant will indicate which entity (that is, NEA, NSC, or GSC) will handle the complaint.

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.

16. 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 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 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.

17. 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 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 grievance subcommittee, which will be formed to handle escalated grievances upon request.

18. 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.

19. 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.

20. The abovementioned grievance and complaint mechanisms are without prejudice to any additional mechanism established by the MDBs to determine whether the 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.

21. The proposed project will be implemented over a period of five years (2016–2021). These implementation arrangements are also under consultation with LCs.

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

Financial Management, Disbursements, and Procurement

Financial Management

23. A financing/grant agreement will be signed by the NEA (Solidaridad) and the Bank to administer a grant scheme. Subsequent grant agreements will be signed by the NEA and the individual LC grantees, CBOs and Communities. This operational arrangement is being proposed to reflect the need for a decentralized approach and to ensure that the LCs will have easy access to the selected NEA during implementation.

24. The NEA will maintain financial management arrangements that are acceptable to the 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 flow of funds. In this regard, the NEA will need to engage the necessary expertise, systems, and capacity. The POM will describe the financial management, accounting, and reporting responsibilities of the NEA and sub-grant recipients. The Bank financial management specialist will review and approve the country Operational Manual before project appraisal.

Disbursements

25. Grant disbursements will be made on a transaction basis, and expenditures will be documented using summary sheets with records and statements of expenditure. The direct-payment disbursement method will not be used. Advance disbursement will be the primary method used. The Bank will disburse the proceeds of the grant to a separate designated account in new Ghanaian cedis held and managed by the NEA in the Bank of Ghana (To be determined). Payments for project goods and services will be made directly from this account. The designated account will have a fixed ceiling of US\$400,000. Reporting for eligible expenditures paid from the designated account will be on a quarterly basis. The minimum application size will be US\$5,000 equivalent. The project will also have a four-month grace period after the closing date, during which the Bank will accept withdrawal applications related to project transactions incurred before the closing date. Payments made for grant activities will be included in the summary sheets and statements of expenditure and forwarded to the Bank’s Ghana office.

26. For monitoring purposes, the NEA will prepare quarterly project interim financial reports and submit them to the Bank within 45 days after the end of each quarter. To maintain the same arrangements in the audit procedures applied to previous Bank operations, an audit of the project’s annual interim financial reports will be conducted by an independent audit firm acceptable to the Bank and carried out under TORs acceptable to the Bank and the Bank’s audit policy under a

multiyear contract. The audit will be due no later than six months after the end of the fiscal year. Auditors will be required to issue a single opinion on the project's financial statements and the designated account and to produce a management letter in which relevant internal control weaknesses will be identified. The NEA will also send annual financial reports to the NSC and FIP Coordinating Unit. Audit reports will be subject to the Bank's policy on access to information.

27. Table 3.1 specifies the categories of eligible expenditures that may be financed out of the proceeds of the project and the percentage of expenditures to be financed for eligible expenditures in each category:

Table 3.1. Categories of Eligible Expenditures

Category	Amount Allocated (US\$)	Percentage of Expenditures to Be Financed
(1) Sub-grants	3,500,000.00	100
(4) Training activities	1,000,000.00	100
(5) Operating costs	1,000,000.00	100
Total Amount	5,500,000.00	100

28. For the purposes of this project,

- The term 'operating costs' means the operating costs incurred for the implementation of the project, including (a) operation and regular maintenance of vehicles, repairs, fuel, and spare parts; (b) equipment and computer maintenance; (c) shipment costs (whenever these costs are not included in the cost of goods); (d) office supplies; (e) rental of office facilities; (f) utilities; (g) travel and per diem costs for technical staff carrying out supervisory and quality control activities; (h) communication costs, including advertisement for procurement purposes; (i) organization of NSC meetings; and (j) remuneration of the NEA team which includes an extended team in the field. If further clarity is needed, the NEA should contact the World Bank TTL to determine what is eligible under operating costs versus sub-grant costs.
- 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 training.
- Under goods, field-based vehicles may be purchased (maximum 2) and motorcycles (maximum 2) as funding permits under component 3 if the NEA has no dedicated vehicles for the project. 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 component 1 and 2. Other goods needed for training could include stationary, plot demarcation devices, audio visual equipment, equipment related to showing movies, computers, and so on.

- 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) and field-based technical training and extension associated with the implementation of the subprojects by grantees (US\$700,000). 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

29. The NEA chosen is SOLIDARIDAD, a nonprofit and nongovernmental organization, and, in accordance with the requirements of OP 11.00, during the appraisal period, it will be assessed for procurement capacity to (a) execute project activities and (b) ensure that beneficiary sub-grantees comply with the Bank's guidelines for procurement of goods, works, consultants, and non-consulting services. The outcome of the procurement assessment, including any necessary recruitments, will be included in the PAD.

30. Procurement delays in Ghana are often a limiting factor and therefore, the NEA must ensure the recruitment of an individual who has the skills and capacity to do procurement swiftly and with adequate planning to ensure that the goods are procured in advance to actual implementation so that there is a smooth line of delivery. Procurement should not be broken into lots without adequate justification, given that these procurements are not large and several lots often results in unnecessary time delay. Procurement contracts for a procurement specialist should not extend beyond one year (renewable) and should be renewed only after review of the consultant's expediency in ensuring quick turnaround in procurement and the transparency of the process. In this case, if procurement is delaying the project or is not transparent, the specialist should be replaced as quickly as possible.

31. While the thresholds of post and prior review of procurement are clearly outlined, the project should be aware that the task team leader 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 Bank in the case of prior review or in cases of post review as requested by the Bank task team leader. In all cases, the evaluation report should be sent to the NSC as a formality.

32. **Procurement of works:** Small works are expected under this procurement and should be carried out using shopping procedures as indicated by the Guidelines. These can be done by local or community contractors or labor unless in cases where several similar works are to be done in many communities. Direct contracting can be used when the condition of the Guidelines are met.

33. **Procurement of goods:** There are likely to be many small goods and this can be done under shopping procedures. For larger quantities (e.g., to supply several communities or individuals), National Competitive Bidding (NCB) should be used. For NCB, bidding documents must be acceptable to the Bank and the Bank bears the right to review the bidding and evaluation procedures for post review procurement and will review all prior review bidding processes. If requirements are met in the Guidelines, Direct Contracting may also be used.

34. **Selection of consultants:** All contracts estimated to cost more than US\$100,000 equivalent per contract will be subject to prior review by the Bank. Quality Based Selection (QBS) would be the default method for selection of firms but Quality Based Selection, Selection under a Fixed Budget (FBS) and Selection based on the Consultants' Qualifications (CQS) can also be used if the requirements of the guidelines are met. Individual consultants should be selected in accordance with procedures of Section V of the Bank's Consultant Guidelines.

35. **Training-related expenses (non-consultant)** would include comparison of vendors (3) for event logistics, transportation, catering, material preparation, etc). Procurable items must follow the proper procurement or selection process in accordance to the above paragraphs. Training related expenses (consultant services) will follow the selection of consultant procedures.

Environmental and Social (including Safeguards)

36. 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.

37. 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. Ghana DGM built upon the Ghana FIP ESMF and PMP. FIP ESMF has been reviewed in order to include activities not covered under FIP and the specific implementing arrangements for DGM. These documents have been disclosed in Ghana on www.fcghana.org, and at each office of MLNR and FC regional and participating District offices and at the Bank's Info-shop. Public consultations took place in all the districts covered by DMG but will be re-disclosed in the specific DGM communities prior to 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, OP/BP 4.11 Physical Cultural Resources and, OP/BP 4.12 Involuntary Resettlement.

38. 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 upfront once the authority is chosen and the

committee is formed. User friendly training manuals will be developed which could also serve as ready reference on 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.

39. The NEA is responsible for safeguards matters. To address the likely steep learning curve of the NEA on World Bank safeguards policies, their application monitoring and overall supervision, training will be provided. User friendly training manuals will be developed which could also serve as ready reference on Bank safeguards. It is envisaged that similar tailored training will be offered to prospective applicants for the grant support under Component 2.

40. 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 into the design. The consultations culminated in each community selecting an individual that was their representative to attend a Regional Workshop in January, 2016, one in Western Region and the other in Brong-Ahafo region. The culmination of the regional workshop (annex 6) was the selection of the national steering committee 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 Bank and Global DGM, culminating in the presentation of the NSC members. The first meeting of the NSC was held also in March, 2016 on day two 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 June 13th 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 sub-grants, the composition of the NSC, the criteria for the selection of the NEA, the arrangements for social control, and so on—will be fully debated and approved by self-appointed representatives from the LCs in the project area.

41. 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.

42. 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.

43. 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.

44. 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.

45. 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.

46. In addition to 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:

- (a) Purchase of land;
- (b) Activities carried out in relation to adjudication of lands under dispute;
- (c) Activities adversely affecting local communities, or where
- (d) 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;
- (e) Removal or alteration of any physical cultural property (includes sites having archeological, paleontological, historical, religious, or unique natural values);
- (f) Conversion, deforestation or degradation or any other alteration of natural forests or natural habitats including, inter alia, conversion to agriculture or tree plantations;
- (g) Financing of elections or election campaigning; and,
- (h) Purchase of arms or ammunition

Monitoring and Evaluation

47. Some intermediate level outcomes and indicators that need to be tracked monthly:

- Local communities knowledge strengthened in REDD+ and sustainable forest management
 - Indicator: Number of local beneficiaries attending trainings in REDD+ and sustainable forest management disaggregated by sex
 - Indicator: Number of local community members that successfully score 65% and above on the oral knowledge test at the end of basic training.
 - Number of local community support structures (chiefs, extension agents, district officers) that receive training as a result of the project.
- Local community led sub-projects that contribute to FIP and REDD+ are successfully implemented in DGM target areas:
 - Indicator: Number of subprojects successfully completed and achieved their objective which are consistent with FIP objectives
 - Sub-indicator: Number of community selected subprojects that practice DGM funded initiatives to increase biomass, disaggregated by sex
 - Sub-indicator: Number of community selected subprojects that practice DGM funded initiatives that adopt energy efficiency measures, disaggregated by sex
 - Sub-indicator: Number of community selected subprojects that practice

sustainable livelihood initiatives, disaggregated by sex

- Demand driven subprojects consistent with FIP objectives are sourced and approved by DGM National Steering Committee.
 - Number and funding amount of grants approved by the National Steering Committee

48. Results M&E will be the key part of the 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 (c) 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 Bank on a quarterly basis for supervision purposes.

49. 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. Specifically, the results framework requires that the M&E tracks the indicators outlined in Annex 1 including: (a) The number and percentage of the targeted people who are trained (monthly); (b) The number of participants who apply for funding by type; (c) the number and percentage of grants awarded by type per year; (d) the percentage of subprojects that complete and meet their objectives (monthly); (d) Two surveys of satisfaction (Year 2 and Year 5); a beneficiary survey in year 1; (e) Number of women and migrants engaging in Component 1 and 2 (monthly); Number of grievances submitted (orally and written) (monthly); (f) Number of grievances resolved (monthly); (g) Number of subproject proposals with clear objectives, results, and baseline data (monthly); (h) Number of chiefs, queen mothers, extension support, CBOs, community members, NSC members, high school students and so on trained (monthly); (i) Procurement delays (monthly); (j) goods received by participants, ground prepared for investment, etc); (k) Percentage (and number) of subprojects that have started and completed each year in accordance with the results matrix; etc. , and so on.

50. Although all stakeholders have roles and responsibilities for robust M&E, as described in the following charts (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 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 Bank task team will provide the NEA with technical support and review the data for quality assurance. The 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 Bank task team. The NSC will provide opportunities to the 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. The following charts illustrate the standard institutional arrangement for DGM monitoring, evaluation, and learning.

Figure 3.2. Standard Institutional Arrangement for DGM Monitoring, Evaluation, and Learning¹⁵

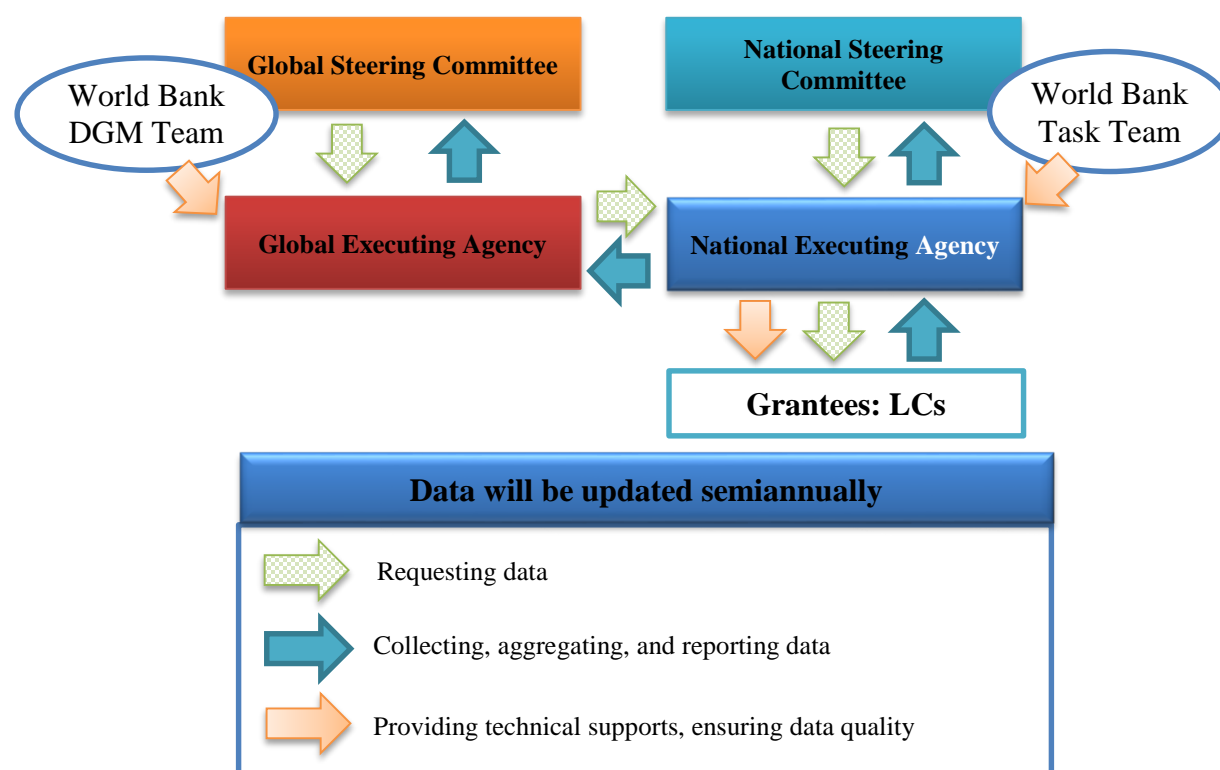


Table 3.2. Roles and Responsibilities of the Agencies regarding M&E Data Collection

Stakeholder	Roles and Responsibilities
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, 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 DGM achieved their objectives

¹⁵ From Brazil DGM Project Appraisal Document

Stakeholder	Roles and Responsibilities
	<ul style="list-style-type: none"> • 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 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 NSC/NEA
FIP Coordinating Unit	<ul style="list-style-type: none"> • Developing and implementing the FIP monitoring system and coordinating activities among projects, DGM, and the private sector throughout the implementation phase • 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 GEAs • Discussing the lessons learned to apply them to the design and implementation of future projects
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 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

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

52. 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 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.

53. 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 Indigenous Peoples

1. 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 National Executing Agency's (NEA's) changing needs.
2. The implementation support strategy envisages (i) taking advantage of the NEA's existing knowledge and experience, and (ii) 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 National Executing Agency will be a nonprofit and nongovernmental organization competitively selected and staffed with adequate procurement, financial management and safeguards experts but with enough on the ground staff (intrinsic or procured) to execute project in the two regions which are at least a 7 hr drive from the capital. For this reason, the evaluation criteria included points for the NEAs 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 Bank's semiannual supervision missions, and through participation in specific training courses on procurement, financial management and safeguards occasionally organized by the Bank in Ghana.
5. Given the number of subprojects to be awarded (Table 2 and 3), the NSC cannot be the stumbling block to project implementation and must execute its duties rapidly, but with due diligence. It is suggested that given the climate patterns of Ghana that most awards are done in January, February and latest by March. Training and Procurement will then commence and be completed in April and by May at the latest, with implementation in the rainy seasons of June and July particularly for any vegetation/tree related investment. For the volume of awards to be done each year, the NSC will have to meet for a block of time to process the number of requests, particularly in Year 1 and Year 2. The number of awards should dwindle in year 3, 4 and 5 as implementation takes precedence.
6. **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: (i) 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 Bank as a deliverable in the first two months of implementation 3; (ii) participate in project implementation support and field visits to review progress; and (iii) engage with the NEA and NSC to enable knowledge transfer and guidance.

7. **Environmental and Social Safeguards.** Safeguards will be new to the selected NEA and during the appraisal mission, this will be discussed with them, in detail. An Environmental and Social Management Framework (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 Bank assistance regarding the safeguards section.

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

9. **Financial Management (FM).** The Bank team will continue to provide further FM training to the NEA. Supervision missions will review the Project's financial management system, including but not limited to accounting, reporting and internal controls.

B. Implementation Support Plan

10. Considering the Project's design, the level of technical support needed for implementation is considered high on the technical side, high on the procurement side, and moderate on the environmental and social sides. The 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 Bank support includes:

- **Technical.** As may be required for purposes of providing adequate technical assistance to the NEA, carrying out proper assessments of project activities and results, and providing guidance on the envisaged dynamic planning process of activities, implementation support may engage experts in the areas of forest and climate change adaptation; community-driven development and community-based adaptation; LCs' livelihoods and vulnerability assessment; communication, outreach and knowledge-sharing strategies.
- **Financial and Procurement.** FM and procurement specialists will conduct semiannual 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 recordkeeping arrangements and systems. The Bank's FM and procurement specialists will provide training during project preparation and implementation.
- **Environmental and Social Safeguards.** Environmental and social specialists will monitor and evaluate the implementation effectiveness of the agreed Environmental and Social Framework. The Bank will make available ongoing support when identified or required by the NEA and the NSC.

11. The main focus of implementation support from the Bank is summarized in the table below.

Time	Focus	Skills Needed	Resource Estimate (SW*/year)
1–12 months	Procurement implementation support, training, and process reviews	Procurement Specialist	4 SW
	FM implementation support, training, field reviews and audit review	FM Specialist	4 SW
	Safeguard implementation support and compliance	Environmental Specialist Social Specialist at the Bank	2 SW 2 SW
	Bank Technical experts on demand support	Diverse qualifications	8 SW
	Project management, implementation support, supervision	Task Team Leader Operations Analyst	8 SW 12 SW
13–60 months	Procurement and process reviews	Procurement Specialist	2SW
	FM field reviews and audit review	FM Specialist	2 SW
	Safeguard implementation support and compliance	Environmental Specialist Social Specialist	2 SW 2 SW
	Technical experts on demand support	Diverse qualification	6 SW
	Project management, implementation support, supervision	Task Team Leader Operations Analyst	8 SW 12 SW

*Note: SW = Staff-Week(s)

Annex 5: Template for Grant Proposals for Sub-Projects

GHANA: Dedicated Grant Mechanism for Indigenous Peoples

1. 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:

Organization Chief Executive – name and contact information for the chief executive or person who is authorized to sign contracts on behalf of your organization:

Total Permanent Staff:

Year Organization Established:

History & Mission Statement or Relevant Background –brief description of your organization's history and mission relevant to the proposed project. 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.

2. PROJECT DESCRIPTION

Project Title:

Project Location – define the geographic location where project activities will take place:

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

Project Objective:

Planned Activities:

DGM Thematic Area– brief description of how your project links with one or more of the following 7 broad thematic areas described in the project document.

Describe who will benefit from the project and how those communities are involved in the design and implementation of the project:

What is the link with the FIP investment projects?

How will you measure progress and success of the project? For this give specific numbers in what you plan to achieve that your output will be measured against- (for example, 1 hectare of trees planted, or 50 trees planted, or 30 people trained on something, or 2 hectares of degraded land restored, etc).

If you plant any trees, what do you intend to do with them in 5yrs and 10 years from now

3. 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 local currency and only for the DGM funded portion of the project)

4.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). Preference is for stool lands or community lands.

5.LABOR

Who will provide Labor- community members, volunteers etc? Are they paid or unpaid? How many people will provide this labor?

6. SUSTAINABILITY

How will the activity be continued/sustained after the project exits and there is no more funding available?

TEMPLATE FOR GRANT PROPOSALS FOR SUB-PROJECTS FOR COMMUNITIES

1.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 & Mission Statement or Relevant Background of Community–describe the needs of the community as a whole 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

2. 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 DGM (should be 1-2 years)

Project Objective:

Planned Activities:

DGM Thematic Area– brief description of how your project links with one or more of the following 6 broad thematic areas in the project document:

Describe who will benefit from the project (ensure broad beneficiaries- including poor, women, youth, migrants)

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 hectare of trees planted, or 50 trees planted, or 30 people trained on something, or 2 hectares 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?

3. 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 DGM funded portion of the project)

4.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).

5.LABOR

Who will provide Labor- community members, volunteers etc? Is labor paid or unpaid? How many people?

6. SUSTAINABILITY

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

TEMPLATE FOR GRANT PROPOSALS FOR SUB-PROJECTS FOR INDIVIDUALS

1. 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

2. 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 DGM (should be 1-3 years)

Project Objective:

Planned Activities:

DGM Thematic Area– brief description of how your project links with one or more of the following 6 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 hectare of trees planted, or 50 trees planted, or 30 people trained on something, or 2 hectares 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:

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 DGM funded portion of the project)

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

Who will provide Labor for the activity?

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 Indigenous Peoples

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 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 Brong Ahafo and Western Regions. This paved the way for further consultations with the respective District Managers of the FC in the FIP pilot locations. Plans were then made for visit to some of the selected sites/communities. The final selection for sites visited were done with the DMs and range supervisors (TOs) 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 Representative

7. After these initial interactions, the people were asked 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. The individuals were chosen on the basis that they have been involved in farming and forest-related programs.

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 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, their interest, and readiness to participate in the DGM projects before their names were included in the list.

GPS Locations of the Visited Communities

Table 5.1. GPS Locations of the Visited Communities

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
	WESTERN		
23.	ENCHI	DAMOAKROM	5°40.768' N; 2°38.101' W

24.		NYAMEBEKYERE	5°43.182' N; 2°40.242'W
25.		ASANTEKROM	5°46.920' N; 2°39.764'W
26.		JOMORO ENCHI	5°45.588' N; 2°35.502'W
27.	JUABOSO	ADWUMAM	6°22.226' N; 2°46.641'W
28.		JUABOSO NKWANTA	6°22.987' N; 2°50.536'W
29.		BENCHIMA	6°23.675' N; 2°53.572'W
30.	BODI	BODI	6°13.365' N; 2°45.335'W
31.	BIA WEST	KUNKUMSO	6°07.594' N; 3°03.696'W
32.		ELLUOKROM	7°13.095' N; 2°55.715'W
33.		ADABOKROM	6°49.168' N; 3°01.888'
34.		CAMP 15	6°47.793' N; 2°54.238'W
35.	SEFWI WIAWSO	ASAFO	6°23.712' N; 2°39.654'
36.		KANKYIABO	6°24.815' N; 2°40.511' W
37.		SUIANO	6°23.112' N; 2°37.917'W
38.		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	RM
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 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

FOREST DISTRICT	NAME	COMMUNITY VISITED	CONTACT NO.	REMARKS
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 FR
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
	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
1. 2.	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

FOREST DISTRICT	NAME	COMMUNITY VISITED	CONTACT NO.	REMARKS
1.	Emmanuel Kofi Afrifa	Adabokrom	0542500707	Community representative
2.	Ernest Boahen	Camp 15	0504414744	Community representative
BIA WEST	Hebry Kudiabor Baafi Frimpong	FC	0244861850/ 0206159143 0244428251	DM ADM
1. 2. 3.	Kwarteng Benedict Francis Duku JGK Agyin	Elluokrom	0249587475 0241425315 0545732193	Committed (BSc Environmental Science) CREMA chairman Chairman, Rainforest Alliance
4.	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 esp 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/w/here 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 & 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	10.0	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	–	–	6
7.	Fire effects on plantations/control mechanism	6	100	–	–	6
8.	Failure of group activities	5	100	–	–	5
9.	Project should be devoid of politics	5	100	–	–	5
10.	Who/where will inputs come from	3	100	–	–	3
11.	Registration of trees	–	–	3	100	3
12.	Can trees be harvested	1	50.0	1	50.0	2
13.	What to be done with old trees on farms	–	–	2	100	2
14.	Who owns trees planted in admitted farms	1	100	–	–	1
15.	What will be the time of harvesting	1	100	–	–	1

Box 5.1. Analysis and Assessment of Leading Issues

Who owns the tree or will benefit

A number of 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 FR.

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 title holders 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 regarding 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

All 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 obstruct 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 seedling never arrived for efforts they made toward similar projects. Knowing this 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 FR 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 and 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. Though they stay at OFR, 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.

Issues from Community Engagement (Matrix)

Rank	Issues	Proportions					
		Brong Ahafo		Western Region		Total No. of Communities	
		<i>Freq.</i>	<i>%</i>	<i>Freq.</i>	<i>%</i>		
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	90.0	1	10.0	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	–	–	6	
22.	Fire effects on plantations/control mechanism	6	100	–	–	6	
23.	Failure of group activities	5	100	–	–	5	
24.	Project should be devoid of politics	5	100	–	–	5	
25.	Who/where will inputs come from	3	100	–	–	3	
26.	Registration of trees	–	–	3	100	3	
27.	Can trees be harvested	1	50.0	1	50.0	2	
28.	What to be done with old trees on farms	–	–	2	100	2	
29.	Who owns trees planted in admitted farms	1	100	–	–	1	
30.	What will be the time of harvesting	1	100	–	–	1	

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

GHANA: Dedicated Grant Mechanism for Indigenous Peoples

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's done informally though 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">• Interested• Ready to start projects• Community 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 2006• Wood Dealers Association. Established in 2014	
Base membership		About 400, with 90 active women as members	
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	

¹⁶ Basic education is Elementary level education

		<ul style="list-style-type: none">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) 0204031238Naomi 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, ofram, 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, phone number, address, and one member (preferably woman), and email if used	Oppong Dartey (0243245391)		
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 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)	

		3. Bismark Baffoe (0207730884) 4. 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		
Community:	KRABONSO (Admitted Community)	GPS	7°58.460' N; 1°49.034' W
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 2014 No 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 chair William Takyi Abiri (0248973728) – Group leader Agnes 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		
Community:	HYERESO (Migrant Community)	GPS	7°56.295' N; 1°51.067' W
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;

Community:	ANYIMA		1°52.520'W
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 farms• Trees 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 (preferably woman), and email if used		Peter Kennedy Acheampong (education: MSLC holder) 0541574434	
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 Akuafu 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	6°24.815’ N; 2°40.511’ 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	6°23.112’ N; 2°37.917’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	6°15.750’ N; 2°29.285’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) Nyamebekyere 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) Telephone No.: 0244072808 0508966715/ 0249535794 Email: agridef@yahoo.com Operational Location Bia East / Bia West
2.	Defence Against AIDS, Poverty and Underdevelopment (DAAPU) 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

	Operational Location JUABOSO
3.	Human Care and Maintenance Foundation (HUCAM) 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 Operational Location Brong Ahafo Dormaa Municipal Sene West District Berekum Municipal Dormaa East Jaman North
4.	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 Contact person: Emmanuel Kwafo Mintah Operational Location Brong Ahafo
5.	Save Our Environment Foundation Contact Person: Collins Osei Tel: 0208189800/ 0243560615 Email: sefen1@hotmail.com Collinsosei1@hotmail.com Operational Location Brong Ahafo

Annex 8: Terms of Reference for the NEA of the DGM

GHANA: Dedicated Grant Mechanism for Indigenous Peoples

Background

1. The DGM for Indigenous Peoples and Local Communities was created and developed as a special program under the FIP. The FIP is one of three programs of the SCF, a Multi-donor Trust Fund created in 2009, through a partnership called CIF to provide an accelerated funding to reduce deforestation and forest degradation in tropical countries. For more information, please refer to the FIP Design Document.¹⁷ The DGM is designed as part of the FIP to provide grants to indigenous peoples and LCs in the country to support their participation in development strategies, FIP investment programs and projects, and to other REDD + at the local, national and state levels. For more information, please visit www.dgmglobal.org and www.climateinvestmentfunds.org.
2. The DGM Design Document emphasizes on the need to strengthen the capacity of indigenous people and LCs so that they are able to participate effectively in all phases of the FIP and the REDD+ process and create livelihood opportunities that can also generate benefits of mitigation and adaptation, while respecting culture, traditional knowledge and indigenous forest management systems. In the pilot countries of the FIP.¹⁸ The DGM completes the projects and programs supported under the FIP and it is expected that the activities of the DGM are in addition to FIP investments and take advantage of synergies wherever possible.
3. The DGM in Ghana has an indicative financing envelope of US\$5.5 million grant funding. This funding DGM will be used for activities which are to be defined by the NS C of the DGM in Ghana, the Project Appraisal Document, and the Operational Guidelines. The project will be implemented by the NEA under the supervision of the NSC and the Bank.
4. The Bank will sign an agreement to provide funding to the NEA, and be observant of the NSC. The NEA, in turn, will report to the Bank on the progress, fiduciary aspects, and program security.
5. The NEA will work in close coordination with the World Executing Agency DGM during the project period to ensure consistency in the information gathering and report production and other aspects of the implementation of DGM countries with all the projects running.
6. Global DGM Operational Guidelines emphasize the need to strengthen the capacity of indigenous people and LCs traditionally dependent on forest resources to (a) participate effectively at all stages of the FIP and other REDD processes and (b) maintain lifestyles, which are both capable of generating benefits related to mitigation and adaptation to climate change and respect the culture, knowledge, and traditional forest management models of these populations. In the eight countries involved in the initial phase of the FIP (Ghana, Burkina Faso, Democratic Republic of Congo, Indonesia, Laos, Mexico, Brazil and Peru), the DGM is a complementary action to

¹⁷ FIP Design Document ([link](#))

¹⁸ Ghana, Burkina Faso, Democratic Republic of Congo, Ghana, Indonesia, Lao PDR, Mexico, and Peru

projects and programs supported by the FIP and expects the FIP was found that their activities have synergies and contribute to achieving the objectives of the same.

7. The DGM-Ghana will be run by the NEA under the supervision of the Steering Committee and the Bank.

8. The Bank will enter into a grant agreement with the NEA and the NEA is expected to implement the DGM-Ghana, and its fiduciary, environmental and social safeguard policies that apply to the project.

9. Selecting the NEA will occur before project approval. Therefore, the grant agreement with the selected agency will be signed only after approval of the project by the Bank board, with the date scheduled for September 2016 and may be extended.

10. Before the conclusion of the grant agreement, the selected agency should engage in the preparation of the POM and the Environmental Management Plan for the project. The NEA should also participate in the assessment mission (appraisal mission) project to become aware of its details, check and agree on the proposed agency arrangements, and validate the project, which will be implemented by the agency.

11. Operating costs¹⁹ of the NEA will be covered by the project, through an advance. Each new advance shall be subject to proof of the expenses of the previous advance. The limit for reimbursement of operating costs is approximately 12 percent of the total amount to be donated, so US\$660,000.00 over 5 years. The remaining disbursements for the implementation of the proposed activities in this TOR and will be made by advance or after execution of the activity with the NEA being required to submit documentary proof of expenses. Such expenses are to be related to disbursement of funds for the community proposals (tree planting/plantations/efficient stoves/ soil and water conservation measures, sustainable livelihoods, and so on) the capacity-building aspects.

12. After signing of the grant agreement, the retroactive expenses related to the preparation of (a) the Operational Manual, (b) Environmental and Social Management Plan for the project, especially pertaining to the community grant portion and (c) the draft manual of procedures for disbursing funds to community members, will be compensated with 5 percent limit on the amount for reimbursement of operating costs, therefore, US\$33,000. These expenses may have occurred from the date of selection of the NEA, and should follow the rules of the Bank (Consultant Guidelines, Procurement Guidelines, and AntiCorruption Guidelines).

13. The activities eligible for this grant were defined through a broad consultation process with LCs traditionally dependent on forest resources and cocoa in the Brong Ahafo and Western

¹⁹ The term 'operating costs' means the operating costs incurred for the purposes of the implementation of the project, including (a) operation and maintenance of vehicles, repairs, fuel, and spare parts; (b) equipment and computer maintenance; (c) shipment costs (whenever these costs are not included in the cost of goods); (d) office supplies; (e) rental of office facilities; (f) utilities; (g) travel and per diem costs for technical staff carrying out supervisory and quality control activities; (h) communication costs, including advertisement for procurement purposes; (i) organization of NSC meetings; and (j) remuneration of the NEA team.

Regions. The amount given to the communities must remain a grant and should not be converted to any loan (temporary or otherwise) scheme.

Mission

14. The NEA will be responsible for implementing the project and will serve as secretariat to the NSC of the DGM of Ghana. (task 3)

15. The NEA will work to facilitate the work of the NSC and to provide reports on the operational and financial aspects to the Bank and to the NSC.

16. The NEA will be responsible for two main tasks:

- Task 1: Capacity building in REDD+/climate change to enable the communities to engage further in the FIP as well as in local, national, and global discussions. (This will be undertaken before the first handover of funds to the community to ensure there is a link between knowledge and receipt of financing) and reinforced throughout the years of the project.
- Task 2: Implementing the national grant element of the DGM, which includes specific investments (individual or community level) in investments that can be linked to REDD+ and reduction of GHGs (renewable energy, soil and water conservation, agroforestry, tree planting, nursery establishment and sustainable livelihoods that are linked to the above, and so on). Planning for this should also begin in the first year of implementation.

Main Tasks of the Agency

Task 1: Capacity building in REDD+/climate change to enable the communities to engage further in the FIP as well as in local, national, and global discussions (US\$ 1,000,000);

17. The NEA will be responsible for the education and training of the community members and the NSC to understand the REDD+/climate change linkages, climate-smart interventions and activities, and to be able to see the link between global, national, and local goals concerning carbon/deforestation, and so on. The communities should be able to understand the linkage between their current activities and climate change and gain an appreciation of climate-smart activities, which the project will finance. The communities chosen are largely in cocoa growing and charcoal production areas and so specific messages should also be developed to target these groups. An effort to understand the communities' concerns and any resistance to the key messages should be assessed with a view to improving the messaging on the basis of their concerns and questions.

18. The NEA will, in that regard, perform the following activities:

- Impart technical content related to climate change/REDD+ into knowledge management packets that can be absorbed by the community and that are relevant to their lives. The knowledge management packets will focus on (i) the technical content

and (ii) application - the means by which that knowledge is best imparted to communities. To this end, the core team must work together to produce a plan that can be executed and is effective. This content will constitute a basic training for the communities.

- Devise a plan that focuses on building community capacity and comprehension in these areas, which includes diverse types of communication—theatre videos, songs, radio, pamphlets, lectures, workshops, visits to agroforestry centers of farms, oversees visits/regional visits, and so on. The training and communication strategy for the first year must be presented to the Bank and the NSC within the first two months after grant signature.

19. The NEA, subject to NSC approval, will

- produce an overall general knowledge and five-year communication plan within the six months of implementation;
- have staff stationed on the ground (Brong Ahafo/Western Regions) within four months of grant signature;
- ensure that it has adequate staff field-based to carry out a consistent campaign each year of the project;
- develop feedback mechanisms so the communities can inform the NEA what they are interested in finding out about learning and incorporate that into the overall strategy to ensure community interest;
- execute basic training in REDD+/climate change to ensure that communities are knowledgeable about REDD+/climate change, mitigation and adaptation measures practiced locally, nationally, and globally;
- with the DGM, develop training specifically to address the needs of the NSC in their current role and as necessary;
- ensure that basic training is completed for all communities within the first 18 months of project implementation;
- identify specific trainings/workshops/classes/exchange visits/courses for highly engaged subsections of the community (5 percent) to be able to engage in FIP/climate change forums/REDD+ forums on a local, global, and national scale;
- provide training on FIP/REDD+/climate change to chiefs, CBOs and other agencies (COCOBOD, agriculture extension and so on) that work with targeted communities to ensure that their programming in communities is complementary with the training given to community members. Develop special leadership training for chiefs and elders to combat threats such as surface mining, deforestation, and so on;

- strengthen the community's capacity to understand climate-smart cocoa and ensure relevance to their daily reality. Invite international and other experts (local included) for communities to understand how climate-smart cocoa can work for communities;
- involve the expertise of other NGOs/government agencies/and so on where necessary to provide insight, and technical experience;
- document all activities undertaken with video, photography, and narratives and also request feedback from participants after every activity and record their responses;
- conduct feedback surveys to ensure that the responses are used to improve the impact of the engagement/activity; and
- provide technical assistance to individuals and communities for the preparation of grant proposals.

20. In this regard, work hand in hand with LCs through trainings, workshops and one-on-one assistance to ensure that the proposals sent are a true reflection of what is intended by the community member.

Task 2: National Grants of the DGM (US\$3.5 million)

21. The NEA will be responsible for the implementation of all activities of the component 'national grants' as approved by the NSC. These activities will include, but not limited to, the following:

- Responsible for the execution of the DGM, including disbursements to grantees according to the agreement with the Bank
- With NSC inputs, produce a user-friendly Grant Manual in English and Twi for grantees and potential grantees that describes the intent of the activities, type of activities, eligibility requirements, evaluation procedures, grievance redress mechanisms, and so on. Include particular steps for community proposals and individual proposals as well as steps for ascertaining, in the case of tree plantings, and land tenure arrangements. Produce a draft before signing of the grant agreement with finalization within two months of grant signature
- Assess technical training needs that accompany each proposal and ensure that this training is executed in a manner that ensures minimal time wastage
- Implement training for each type of proposal (forestry/agroforestry; energy; risk assessment) to ensure that grantees are equipped to manage the investment
- Provide on-the-ground field technical support for grantees as they implement their subprojects
- The agency must have the required support staff on the ground to ensure continuity of support

- Fully understand community dynamics to specifically ensure an inclusive access to the grant by all but also including the very poor, women, those who may not understand English but wish to participate, migrants in communities, and so on
- The NSC reviews and makes funding decisions on eligible project proposals. However, the NEA reviews criteria for selection of candidates for the grant with the NSC, and utilizes measures to ensure the transparency and integrity of the process, advertising, and dissemination of results
- Oversee the implementation of the projects receiving grants including providing the technical outreach, procuring goods and services, and working hand in hand with community members as they undertake these activities

Task 3: Project Management, Monitoring and Evaluation (Total US\$1,000,000)

- The NEA will act as secretariat to the NSC to
 - organize meetings of the NSC, which could be two or three times a year including venue, hotel and travel and transport costs;
 - arrange for the translation of documents of DGM and interpretation services, if necessary, during meetings or to the country or countries of the working languages;
 - develop and facilitate on behalf of the NSC, a suitable mechanism for resolving complaints and claims;
 - implement all aspects of the project on the ground, including Components 1, 2 and 3 and ensure their successful implementation on time;
 - ensure that they have the experienced staff (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, and so on 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 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;
- the NEA will monitor and produce quarterly reports on the outcome of important project milestones and make updates to the NSC and the 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 schedule agreed with the World Executing Agency of the DGM;
- procure goods and services on time without much deviation from the procurement plan to ensure that products are delivered in a sequential manner particularly trees and forest items, which 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 DGM as approved by the NSC, the NEA shall comply with all applicable policies and procedures of the Bank. Ensure value for money for procured goods and services so that more community members can be served;
- prepare/revise or update the POM for the project DGM. The Operational Manual describes how the component 'national grants' will be administered, including procedures (due before grant signing) and conduct efficient management, M&E of the project as well as all the fiduciary, safeguards and procurement aspects of DGM-Ghana
- Conduct annual audits (Bank no objection) using an internationally reputable firm

Reporting and Deliverables

22. The NEA shall submit the following reports and deliverables for approval by the NSC:

- National Strategy of communication in Brong Ahafo and Western Regions
- Annual work plans and budget for the project
- Guideline documents (Grant Mechanism/Procedures) developed as a manual-related to the implementation of the community activities (draft manual due before effectiveness)
- POM (due before signing the grant agreement)

- Procurement plan (First year procurement plan due before grant signature)
- Quarterly financial reports
- Quarterly reports on the state of implementation in a format to be agreed with the Bank and the NSC. These reports will include the description of activities, the status of implementation, funding allocations for the previous period, the state disbursement, and channeling activities
- Procurement reports as according to the grant agreement
- Environmental and social management screening tools for sub-project (along with any plans that may be necessary) (at a time to be agreed with the Bank)
- Annual auditor report - in a format to be agreed with the Bank
- Final report on the project, after the execution of all activities
- Other documents and requirements as specified in the Project Appraisal Document

Profile of Agency

23. The agency must have proven experience in implementation, management, and program coordination of projects in the areas of environment, activities related to climate-smart interventions/climate-smart livelihoods.

24. A good experience in activities related to climate change, protection and sustainable use of forests will be an advantage.

25. As stipulated in the requirements above, the agency must have the

- organizational and operational institutional structure to be able to manage projects and programs of this magnitude;
- provide a list of at least five (more if possible) similar projects or programs implemented successfully; and
- provide an overview of successful experiences (positive results) with local organizations and partners in the implementation of projects and programs and any other significant initiatives with farmers' organizations, local authorities, and rural enterprises to demonstrate its expertise in capacity-building program design,

26. The agency must have at least the following skills or acquire such skills:

- One head of mission - senior expert - NRM/forestry/climate change/REDD+
- One specialist - urban/rural planner (priority specialist), rural development/community development,

- One specialist - knowledge management/interactive training
- One specialist - procurement specialist

27. The CVs of the proposed specialists must be signed by the person whose CV is being proposed and sent with the submitting package

Other Additions Expected of an NEA to Ensure Successful Implementation of the DGM Ghana

28. Specialist for M&E - minimum requirements such as relevant expertise in M&E, minimum three-year experience in M&E, results presentation, as well as computer skills sufficient to present the evaluation to an international agency.

- Brong Ahafo/MA/MS/ level specialist in forestry/climate smart livelihoods/environment/NRM/alternative energy who can also support the senior expert in the field and also prepare and supervise the implementation of environmental safeguard instruments.
- Team of personnel, particularly trainers, who will reside in Brong Ahafo/Western Regions and be able to do outreach, hands on learning and implementation of activities
- Financial expert who will generate financial management reports required by the Bank-must have a degree in business, finance, CPA, public administration and a minimum of three years' experience to implement procedures and fiduciary systems, financial management and internal audit
- The agency must be very clear to distinguish between the staff already available and the staff required for the project. Lack of such a distinction will be grounds for disqualification.

29. The agency must present the logistics currently at its disposal to achieve its mission- office, cars, staff, and so on and what it must acquire to achieve its mission. Again, the distinction between what it has and what it must acquire must be make clear to avoid disqualification.

Annex 9: SORT Risk Rating

GHANA: Dedicated Grant Mechanism for Indigenous Peoples

Detailed Risk Category Information

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

1. **Political Risk: High.** The country is facing elections in November, 2016 and this is exacerbated by both economic and political uncertainties and unrest. During the months prior to the elections and afterwards, civil unrest may be at its height. There are several reasons for this: a) the cost of living has increased, with focus on the utilities sector, and there have been several demonstrations at the electricity cooperation as discontent rises with the electricity rates; b) the two main political factions have had an acrimonious relationship and their supporters are very polarized; c) there have already been incidences of violence related to politics in the last few months. The project will be effective just around the election time and it is possible that these issues may delay the initial startup of the project.

2. **Governance Risk: High.** The project operates in Ghana which has marked Governance issues. 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, formulating CBOs to try to access the funds, etc. There is also the risk of individuals forming alliances to access the funds and dispersing soon after. 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, 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 any expose of the name of the candidate for further assessment.

3. **Technical Design Risk: Substantial.** The NSC has no experience in assessment, procurement, FM, M&E and yet the NEA is required to report to them. In addition, the NSC is to select an NEA using the Bank procurement guidelines. These tasks will be difficult for a group of community members to meaningfully achieve. To overcome this risk, the project has recruited a consultant to work hand in hand with the NSC to ensure that capacity training

ensues, particularly related to selection of the NEA. This has worked to some extent and the NSC is now conversant with how the Bank selection 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, is expected to fill this residual gap.

4. **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, which is commodity farmers (growing sustainable cocoa, palm and mining productivity) 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 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 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 DGM program and not those that reflect Solidaridad. These possible areas of dissonance must be agreed upon clearly during appraisal and prior to the start of implementation.

5. **Stakeholder Risk. Substantial.** The education level of stakeholders is very low and many are illiterate. The capacity of these communities to understand the concepts of REDD+ and the further engage in the FIP require solid capacity building throughout the project, but particularly in Year 1, which should introduce them fully 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 but 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 done 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, and so on.

Annex 10: Grievance Redress Mechanism (GRM)

GHANA: Dedicated Grant Mechanism for Indigenous Peoples

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 DGM will ensure that a transparent, timely and fair process is adopted to address each complaint. The 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 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 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.

6. 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.

DGM Framework Operational Guidelines

7. Where possible, complainants will be handed a receipt and a flyer that describes the 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:

8. 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

9. 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.

10. All feedback and complaints received will be displayed on the 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.

11. **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.

12. If the complaint does not fall under the mandate of DGM operations at the country level, but relates to (i) the policies of the DGM as a whole, (ii) the governance of the 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.

13. **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.

14. Feedback and /or complaints regarding the DGM may be sent to:

Name of Organization (NEA) and name of individual:

Address: _____

Email: _____

Phone number: _____

15. Name of GEA and staff member:

Address: _____

Email: _____

Phone number: _____

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

DGM Framework Operational Guidelines

16. 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.

17. 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.

18. 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.