

GHANA REDD+ SOCIAL AND ENVIRONMENTAL PRINCIPLES, CRITERIA AND INDICATORS (PCIs)

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GLOSSARY

Accountability: Being answerable to all stakeholders for all actions and results

Affected Stakeholders: Any person or entity that is affected, positively or not, by interventions of the proposed and/or implemented project.

Criteria (C) define the conditions, processes, impacts and policies required in order to deliver the principles. They are the 'pre-requisites' for the delivery of each principle.

Consultation: A process through which governments consult their citizens about a specific policy or action of any nature. Only those processes that offer people the opportunity to manifest their opinion and influence decision making can be considered consultation.

Efficiency: The extent to which limited human and financial resources are applied without waste, delay or corruption.

Endemic species: A species which is native and restricted to a particular geographic region.

Environmental Services: Services provided by natural ecosystems and the species that they encompass, for sustaining and fulfilling the conditions for the existence of human life on Earth (DAILEY, 1997).

Forest Governance: Refers to the organisations, people, rules, instruments and processes through which decisions are negotiated and/or made about the management, use and conservation of forest resources. It relates to how they allocate and secure access to, rights over, and benefits from forests, including the planning, monitoring, and control of their use, management, and conservation.

Free, prior and informed consent (FPIC): Local community/Indigenous Peoples, as well as other traditional populations or groups, make use of this legal instrument to ensure the autonomy of their decision before any action of the State or society, that affects them.

Gender: Refers to the socially constructed characteristics of women and men, such as norms, roles, expected behaviours, relationships and interactions between men and women, etc.

Governance or good governance: A shared power system, where stakeholders with different interests coordinate their actions in an unstable environment. It is related to the processes or the way various stakeholders interact to create and modify rules and how these rules are implemented by these stakeholders.

Landuse rights: It is the right to trees, forest and land

Vulnerable groups: They refer to a group of landless, elderly, aged, the youth and women

Migrants: Is a person who moves from one place to another in search of work or better living conditions

Indicators (I) are the quantitative or qualitative information needed to show progress in achieving a particular criterion.

Indigenes: A person who is an original inhabitant of a given region/area

Participation: The degree of involvement by affected stakeholders in shaping and implementing policies and actions

Physical cultural resources: Sacred groves, sanctuaries, cemeteries within a specific area

Principles (P) depict the key objectives for ensuring high level of social and environmental performance of REDD+ actions. In essence, these principles need to be aligned with mandatory and voluntary safeguards standards/ frameworks, specifically the Cancun safeguards and the World Bank OPs.

Pro-Poor REDD+ Guiding Principles: Principles to guide equitable and effective REDD+ implementation

REDD+: An acronym for Reducing Emissions from Deforestation and forest Degradation in developing countries plus conservation, sustainable management of forests and enhancement of forest carbon stocks

REDD+ actions: Refer to any initiative, among the various existing possibilities related to REDD+ mechanisms, government programs and projects developed and executed by governments, private entities or civil society organizations, financed by government funds or market based mechanisms (regulatory or voluntary).

Rights-Based Approach to REDD+: An approach which is built on the tenets of good forest governance and on REDD+ supports tenure security, equitable benefit sharing, gender equity and non-discrimination against vulnerable groups

Transparency: The degree of clarity and openness with which decisions are made

CHAPTER 1. INTRODUCTION AND BACKGROUND

1.1 Natural resource management in Ghana

FAO's Forest Resource Assessment, 2010 indicates that an estimated 13 million hectares of forests are lost every year globally. Africa is one of the continents with the highest reported net loss of an estimated 3.4 million hectares of forest annually. Ghana's natural resources including flora, faunal populations, rivers and streams contribute immensely towards national development as well as urban and local livelihoods. These resources which spread across the high forest and savannah zones of the country are also declining due to deforestation and forest degradation and as a result, causing change in climate globally. Fast growing population and wildfires are the two main drivers of deforestation while agricultural expansion (50%) and Wood harvesting (35%) are main factors for degradation as identified by the REDD+ Readiness Proposal for Ghana. Also, inefficient management have contributed to the decline of forest resources.

According to the Forest Preservation Programme (FPP) study, although the boundaries of forest reserves and national parks are largely intact as well as forest plantation and landscape restoration initiatives are ongoing, deforestation and degradation have become a major challenge with an estimated rate at 2.0% per annum.

1.2 International agreements and national policies and regulations for NRM and REDD+

Natural occurring resources both on and off reserve are managed through specific systems, rules and regulations at the national and international levels. International agreements, national policies, rules and regulations as well as manuals of procedures are employed by the Forestry Commission in the management of these resources. Tables 1 and 2 below highlight some of these agreements

Table 1: International agreements and requirements for NRM and REDD +

	International agreements and guidelines for NRM and REDD+	Requirements
1.	Agenda 21 United Nations Conference on Environment and Development (UNCED) The United Nations Conference on Environment and Development (UNCED) Earth Summit held in Rio de Janeiro in 1992	<p>11.10. Forests worldwide have been and are being threatened by uncontrolled degradation and conversion to other types of land uses, influenced by increasing human needs; agricultural expansion; and environmentally harmful mismanagement, including, for example, lack of adequate forest-fire control and anti-poaching measures, unsustainable commercial logging, overgrazing and unregulated browsing, harmful effects of airborne pollutants, economic incentives and other measures taken by other sectors of the economy. The impacts of loss and degradation of forests are in the form of soil erosion; loss of biological diversity, damage to wildlife habitats and degradation of watershed areas, deterioration of the quality of life and reduction of the options for development.</p> <p>24.6. Countries should take urgent measures to avert the ongoing rapid environmental and economic degradation in developing countries that generally affects the lives of women and children in rural areas suffering drought, desertification and deforestation, armed hostilities, natural disasters, toxic waste and the aftermath of the use of unsuitable agro-chemical products.</p>
2.	2007 UN Framework Convention on Climate Change (UNFCCC) in Bali, Indonesia (decision 2/CP.13).	<p>REDD + Along with the separate decision on REDD (see above), REDD is included in the Bali Action Plan (decision 1/CP.13) as a component of enhanced action on mitigation (curbing emissions). Parties to the UNFCCC agreed to consider policy approaches and positive incentives on issues relating to REDD in developing countries and <i>the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries</i>. It is this last clause on the role of conservation and sustainable management that added the '+' to the REDD discussion.</p>

		Decision 2/CP.13 acknowledges that forest degradation also leads to emissions and needs to be addressed when reducing emissions from deforestation. The 'DD' in REDD now stands for degradation and deforestation.
3.	UN-REDD programme, the UN set up this programme 2008,	The programme is a collaboration between the UN Food and Agriculture Organization (FAO), the UN Development Programme (UNDP) and the UN Environment Programme (UNEP), and including a multi donor trust fund
4.	The COP16 agreement on REDD+ Cancun, Mexico December 2010	<p>This agreement revitalized and increased funding flows to support REDD+ readiness and invigorate donor pledges for REDD+ that amounted to close to US\$5 billion for early actions until 2012.</p> <p>"REDD+ means that farmers and rural people in developing countries can now be compensated for the climate services they provide for us all, helping us to avoid dangerous climate change. Investments in sustainable agriculture both to reduce pressure on forest land and, primarily, to secure food for everyone. FAO and the UN-REDD Programme partnership will make every effort in supporting countries to meet these critical objectives.</p>
5.	Rio + 20 At the United Nations Conference on Sustainable Development organized in Rio de Janeiro from 20th – 22nd June, 2012 (Rio + 20),	The world re-affirmed its commitment to among others; fully implement the Rio Declaration, Agenda 21, the programme for further implementation of Agenda 21 and to support green economy policies in the context of sustainable development and poverty eradication.
6.	The Bonn Challenge In September 2011	World leaders met in Bonn, Germany to launch the largest global initiative on the restoration of degraded landscapes. It is an implementation platform for several global commitments and aims at the restoration of 150 million hectares of degraded forests and deforested lands by 2020.
7.	The New York Declaration on Forests at UN's Climate	The New York Declaration on forests (NYD) , a voluntary and non-legally binding political declaration by both developed and developing nations to halve the rate of natural forest loss by 2020, and strive to end it

	Summit held in New York in 2014	by 2030. The NYD calls for the restoration of at least 350 million hectares of degraded forests and cropland which will bring significant climate benefits and also take the pressure off the natural forests.
8.	African Forest Landscape Restoration Initiative - AFR100 launched formally on 6th December, 2015 at COP 21	This is a country-led effort to restore 100 Million ha of deforested and degraded lands in Africa by 2030 to the Bonn Challenge, the New York Declaration on Forests, and the African Resilient Landscapes Initiative (ARLI) - an initiative to promote integrated landscape management with the goal of adapting to and mitigating climate change
9.	Paris Climate Agreement On 12th December 2015, during COP 21	195 UN member countries adopted the first-ever, universal, legally binding, global Climate Agreement, requiring member states to embark on ambitious pathways towards a clean economy and operations.
10.	2030 Agenda for Sustainable Development” on 25th September 2015	<p>Member states of the UN, at the Sustainable Development Summit adopted 17 SDGs and 169 targets aimed at ending poverty, fighting inequality and injustice, and tackling climate change by 2030.</p> <p>Goal # 13 is to take urgent action to combat climate change and its impacts*. There are 5 targets and 8 indicators and it is accepted the United Nations Framework Convention on Climate Change as the primary international, intergovernmental forum for negotiating the global response to climate change.</p> <p>Goal#15 looks broadly at the protection, restoration and promotion of sustainable use of terrestrial ecosystems, sustainable management of forests, combating desertification, halting and reversal of land degradation and halting of biodiversity loss.</p> <p>Target 15.2 By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally</p>
11.	Forest Law Enforcement, Governance and Trade (FLEGT) ratified the VPA with the EU in 2009	The FLEGT initiative spearheaded by the EU Action plan works through Voluntary Partnership Agreements (VPA). Ghana with common commitment to the sustainable management of all types of forest, to provide a legal framework aimed at ensuring that all timber product imports into the EU Community from Ghana covered by this Agreement have been legally produced and in doing so to promote trade in timber products. These partnerships will also facilitate third party certification Ghana shall endeavor to undertake measures

		such as plantation development, which in addition to expanding domestic wood supply will create opportunities for CDM and REDD+ initiatives
12.	World Forestry Congress 2015	Developed roadmap on mobilizing the full potential of criteria and indicators for sustainable forest management in policy and practice: the way forward

Table 2: National policies and regulations supporting NRM and REDD+ initiatives

	National Policies and regulations	
1.	Control and Prevention of Bushfires Act, 1990 (PNDC Law 229).	An ACT to prohibit the starting of bushfires and to provide for related matters. It repealed the Bush Fire Law, 1983
2.	National Land Policy, 1999.	The Policy provides the framework and direction for dealing with land ownership, security of tenure, land use and development, and environmental conservation on a sustainable basis).
3.	Act, 2000. Forest Plantation Development Fund (FPDF) (Act 583) (Amendment) Act, 2002 (Act 623).	Provides financial assistance for the development of forest plantations; provides funds for research and technical advice).
4.	National Wildfire Management Policy, 2006	Promotes effective and efficient management of wildfires for the sustainable management of natural resources and maintenance of environmental quality to improve on the socio-economic well-being of the citizenry.

5.	Ghana Forest and Wildlife Policy, 2012	<p>The policy aims at promotion of climate change mitigation and adaptation measures as well as payment for ecosystem services and will also address drivers of deforestation and forest degradation</p> <p>Strategic Direction 1.8 of the policy is to develop capacities in public institutions and civil societies to engage in future international and domestic mechanisms that will respond to climate change. Efforts should be made to:</p> <ul style="list-style-type: none"> a) Enact the necessary legislations to guide allocation of carbon rights and related matters b) Support training and education in forest resource management at district levels in carbon rights allocations. c) Create national awareness about the role of forests in climate change (mitigation and adaptation)
6.	National Climate Change Policy, 2013	Provides a clearly defined strategic direction for dealing with the challenges of climate change within the current socioeconomic context of Ghana, presenting the opportunities and benefits of a green economy
7.	Ghana's Intended Nationally Determined Contribution (GH-INDC) 2015	<p>In line with its international obligations as a Party to the UNFCCC and based on its national circumstances, Ghana has put forward mitigation and adaptation actions in its INDC which resonates with the medium-term development agenda (Ghana Shared Growth Development Agenda II – GSGDA 2). 20 mitigation and 11 adaptation programme of actions in 7 priority economic sectors have been proposed for implementation in the 10- year period (2020-2030).</p> <p>To attain low carbon climate resilience through effective adaptation and greenhouse gas (GHG) emission reduction in the following priority sectors:</p> <ul style="list-style-type: none"> • Sustainable land use including food security • Climate proof infrastructure • Equitable social development • Sustainable mass transportation

		<ul style="list-style-type: none"> • Sustainable energy security • Sustainable forest management; and • Alternative urban waste management.
8.	Ghana REDD+ Strategy 2016-2035	Twenty year Strategy to significantly reduce emissions from deforestation and forest degradation whilst at the same time addressing threats that undermine ecosystem services and environmental integrity so as to maximize the co-benefits of the forests services
9.	Ghana Forest Plantation Strategy 2016 -2040	The goal of this Strategy is to achieve sustainable supply of planted forest goods and services to deliver a range of economic, social and environmental benefits
10.	Forestry Development Masterplan 2016-2036	Plan ensure the conservation and sustainable development of forest and wildlife resources to create a balance between forest products and marketing to satisfy domestic and international demands whilst ensuring good governance and transparent forestry enterprises development, biodiversity conservation and ecotourism development

1.3 IMPORTANCE OF SAFEGUARDS

1.3a Safeguards are “do no harm” policies, rules or measures intended to prevent someone or something from being damaged. safeguards are normally aimed at addressing both direct and indirect impacts on communities and ecosystems, by identifying, analyzing, and working to manage risks and opportunities.

Safeguards have been identified as very important for the provision of multiple benefits in implementation of SFM and REDD+ activities. The Cancun Agreements highlighted safeguards for REDD+ as very important to ensure that actions do not cause negative social or environmental impacts.

1.4 History of PCIs and certification in Ghana -Existing Monitoring frameworks in the NRM Sector

Principles, Criteria and Indicators (PCIs) have been used successfully as an important and powerful tool for promoting SFM through monitoring , assessing , reporting and measuring progress in the management of natural forests and forest plantations in Ghana .

The Ghanaian certification process was launched in 1995 and progressed successfully till 2004 when the certification standards were harmonised with ATO and ITTO PCIs. Details of the common standards are presented in table 3 below .

Ghana was one of the 12 African countries that have participated and benefitted from the Africa Timber Organisation (ATO) and International Tropical Timber Organization (ITTO) project dubbed: “Promotion of Sustainable Management of African forests” since 2006. The six -year multi-phased project was aimed at “promoting the sustainable management of African forests and development and implementation of the harmonized ATO / ITTO Principles, Criteria and Indicators (PCI), with the support and participation of all stakeholders at the regional level”

The project was successfully completed and reports submitted to the Forestry Commission and MLNR. Mainstreaming of the PCI in the MLNR and FC procedures is still outstanding . PCIs have also been used by the Forest Certification processes in developing forest management standards and serve useful functions in both policy and market-driven approaches.

The Natural resource sector can build on C&I for assessing progress towards various Sustainable Development Goals (SDGs) especially SDG 15,

Chapter 2: UNFCCC, World Bank and other safeguards requirements

The UNFCCC recognises that safeguards are a key part of REDD+ implementation, and links the Cancun safeguards to results-based payments, requiring that countries demonstrate how they have addressed and respected them throughout the implementation of their REDD+ interventions.¹

The specific UNFCCC safeguard requirements are the following:

Requirement 1: Implement REDD+ interventions in a manner consistent with the Cancun safeguards

Requirement 2: Establish a system to provide information on how the Cancun safeguards are being addressed and respected

Requirement 3: Provide a summary of information on how the Cancun safeguards are being addressed and respected

Box 1: The Cancun safeguards²

When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:

- (a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;

¹UNFCCC Decision 2/CP.17, Paragraphs 63 and 64, which should be read along with UNFCCC Decision 1/CP.16, Paragraph 69 and Appendix 1, Paragraph 2.

² UNFCCC Decision 1/CP.16 Appendix 1 paragraph 2

- (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;³
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions

2.2.2 World Bank Operational Policies/Forest Carbon Partnership Facility (FCPF) REDD+ Safeguards Requirements

Countries receiving FCPF funding for readiness preparation through the World Bank are required to ensure compliance with the FCPF Readiness Fund's common approach to environmental and social safeguards for multiple delivery partners (Common Approach).⁴ This also applies to countries seeking to obtain results based funding from the FCPF Carbon Fund.⁵

The Government of Ghana has committed to meet the FCPF safeguards requirement and undertook a Strategic Environmental and Social Assessment (SESA) in 2014. The SESA process triggered some of the World Bank's safeguards operational policies and of which two key documents were produced, Environmental and Social Management Framework (ESMF) and Resettlement Policy Framework. The table below indicates the World Banks safeguards policies.

Table 3: World Bank Safeguard Policies

No	World Bank Safeguard Policy	Summary of core requirements	Potential Trigger for under REDD+ mechanism
1	<i>OP 4.01 Environmental Assessment</i>	Screen early for potential impacts and select appropriate instrument to assess, minimise and mitigate potentially adverse impacts. In World Bank operations, the purpose of Environmental Assessment is to improve decision making, to ensure that project options under consideration are sound and	Triggered

³ Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as International Mother Earth Day.

⁴ UN REDD FCPF (2012) R- PP Template Annexes Version 6, for Country Use p. 44

⁵ FCPF (2013) Carbon Fund Methodological Framework. Final. P. 17

		sustainable, and that potentially affected people have been properly consulted.	
2	<i>OP 4.04: Natural Habitats</i>	To promote environmentally sustainable development by supporting the protection, conservation, maintenance, and rehabilitation of natural habitats and their functions. Use a precautionary approach to natural resources management to ensure opportunities for environmentally sustainable development. Determine if project benefits substantially outweigh potential environmental costs.	Triggered
3	<i>OP 4.36: Forest</i>	The objective is to realize the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and global environmental services and values of forests. Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.	Triggered
4	OP 4.09: Pest Management	Support integrated approaches to pest management. Identify pesticides that may be financed under the project and develop appropriate pest management plan to address risks. If pesticides have to be used in crop protection or in the fight against vector-borne disease, the Bank-funded project should include a Pest Management Plan (PMP), prepared by the borrower, either as a stand-alone document or as part of an Environmental Assessment.	Triggered (under Strategic option M: of improving productivity of farmlands is adopted)
5	<i>OP 4.11: Physical Cultural Resources</i>	Investigate and inventorise cultural resources potentially affected. Include mitigation measures when there are adverse impacts on physical cultural resources or avoid if possible.	Triggered (but can be handled under OP 4.01)
6	OP 4.12: Involuntary Resettlement	Assist displaced persons in their effort to improve or at least restore their standards of living. Avoid resettlement where feasible or minimise. Displaced persons should share in project profits. The policy aims to avoid involuntary resettlement to the extent feasible, or to	Triggered (under Strategic Options -F: Mitigate effects of agricultural expansion

		<p>minimize and mitigate its adverse social and economic impacts.</p> <p>The policy prescribes compensation and other resettlement measures to achieve its objectives and requires that borrowers prepare adequate resettlement planning instruments prior to Bank appraisal of proposed projects.</p>	<p>(particularly cocoa in the HFZ);</p> <p>-D: Address unsustainable timber harvesting by supporting sustainable supply of timber to meet export and domestic / regional timber demand</p> <p>-H. Improve sustainability of fuel wood use</p>
7	<i>OP 4.10: Indigenous Peoples</i>	Screen to determine presence of indigenous peoples in project area. Policy triggered whether potential impacts are positive or negative. Design mitigation measures and benefits that reflect indigenous peoples' cultural preferences.	Not triggered
8	<i>OP 4.37: Safety of Dams</i>	<p>Requires that experienced and competent professionals design and supervise construction, and that the borrower adopts and implements dam safety measures through the project cycle.</p> <p>The policy distinguishes between small and large dams by defining small dams as those normally less than 15 meters in height. Large dams are 15 meters or more in height. .</p>	Not triggered
9	<i>OP 7.50: Projects on International Waterways</i>	Ascertain whether riparian agreements are in place, and ensure that riparian states are informed of and do not object to project interventions.	Not triggered
10	<i>OP 7.60: Projects in Disputed Areas</i>	Ensure that claimants to disputed areas have no objection to proposed project.	Not triggered

2.2.3 The Green Climate Fund (GCF)

The Green Climate Fund (GCF) was established at UNFCCC COP 16 in Cancun, to serve as a financial operating mechanism of the UNFCCC.⁶ It provides financing in the form of grants and concessional lending, and through other modalities, instruments or facilities as may be approved by its Board. The Governing Instrument also specifies that the GCF may employ results-based

⁶ UNFCCC Decision 1/CP.16 paragraph 102

financing approaches, including, in particular for incentivizing mitigation actions, and payment for verified results, where appropriate.⁷

The GCF was recognized by the UNFCCC as having “a key role to play” in channeling financial resources to developing countries and catalyzing climate finance.⁸ Furthermore, the GCF was requested by the UNFCCC COP, when providing results-based funding, to apply the methodological guidance consistent with UNFCCC decisions on REDD+⁹

The GCF defines ‘results’ as mitigation outcomes (greenhouse gas emission reductions and/or enhancements in forest cover and carbon stocks) measured and verified against a benchmark (FREL/FRL) expressed in tons of carbon dioxide equivalent per year. In addition however, the GCF notes that “results based finance may include incentives for intermediate, predefined, and measurable milestones or outputs (such as policy performance and results from REDD+ phase 2 activities) that will be necessary in order to effectively reduce deforestation and forest degradation, and ultimately leading to phase 3 results.”¹⁰

Thus according to the GCF, results based funding is considered as a broader concept in which results based payments is embedded. The GCF adopts a flexible approach where results based funding could take the form of payments for emissions reductions and enhancement of carbon stocks but also as incentives for intermediate predefined measurable milestones or outputs.¹¹ It has been acknowledged that “a period of experimentation” will likely be required in order to operationalize this flexible approach.

2.2.4 AfDB Safeguards Framework

Environmental and social sustainability is key to economic growth and poverty reduction in Africa. The African Development Bank’s Strategy for 2013-2022 emphasizes the need to assist regional member countries in their efforts to achieve inclusive growth and transition to green growth. In addition, the Bank is committed to ensuring the social and environmental sustainability of the projects it supports. The Integrated Safeguard System is designed to promote the sustainability of project outcomes by protecting the environment and people from the potentially adverse impacts of projects. The safeguards aim to:

- Avoid adverse impacts of projects on the environment and affected people, while maximizing potential development benefits to the extent possible;

⁷ GCF governing instrument Governing Instrument, paragraphs 54 and 55

⁸ UNFCCC Decision 9/CP.19

⁹ Namely decisions 4/CP.15, 1/CP.16, 2/CP.17, 12/CP.17, 9/CP.19 and 11/Cp.19 to 15/CP.19

¹⁰ Green Climate Fund (2016) Initial Operationalization of results-based finance for REDD+, Meeting of the Board
GCF/B.14/03

¹¹ Ibid paragraph 17-18

- Minimize, mitigate, and/ or compensate for adverse impacts on the environment and affected people when avoidance is not possible; and
- Help borrowers/clients to strengthen their safeguard systems and develop the capacity to manage environmental and social risks.

The ADB requires that borrowers/ clients comply with these safeguards requirements during project preparation and implementation. The Integrated Safeguards Policy Statement sets out the basic tenets that guide and underpin the Bank’s approach to environmental safeguards. In addition, the Bank has adopted five OSs, limiting their number to just what is required to achieve the goals and optimal functioning of the ISS:

Operational Safeguard 1: Environmental and social assessment – This overarching safeguard governs the process of determining a project’s environmental and social category and the resulting environmental and social assessment requirements.

Operational Safeguard 2: Involuntary resettlement land acquisition, population displacement and compensation – This safeguard consolidates the policy commitments and requirements set out in the Bank’s policy on involuntary resettlement, and incorporates a number of refinements designed to improve the operational effectiveness of those requirements.

Operational Safeguard 3: Biodiversity and ecosystem services – This safeguard aims to conserve biological diversity and promote the sustainable use of natural resources. It also translates the commitments in the Bank’s policy on integrated water resources management into operational requirements.

Operational Safeguard 4: Pollution prevention and control, hazardous materials and resource efficiency – This safeguard covers the range of key impacts of pollution, waste, and hazardous materials for which there are agreed international conventions, as well as comprehensive industry-specific and regional standards, including greenhouse gas accounting, that other multilateral development banks follow.

Operational Safeguard 5: Labour conditions, health and safety – This safeguard establishes the Bank’s requirements for its borrowers or clients concerning workers’ conditions, rights and protection from abuse or exploitation. It also ensures greater harmonization with most other multilateral development banks.

2.2.5 Linkages Between World Bank, AfDB and National Safeguards Requirements

The table below outlines the various linkages among the World Bank, AfDB and Ghana’s National Safeguards (EPA Regulations).

Table 4: Linkages and Differences Between National, World Bank and AfDB Safeguards

Topic	Ghana legislation /EPA requirement	WB policy requirement	AfDB requirement
Environmental Assessment (Instruments)	SEA, EIA, PEA, (Forms EA 1 & 2) , EMP	SESA, ESIA, ESMF, ESMP	SESA, ESIA, ESMP
Content of EA	Physical, Biological and Social environment. Health and safety (workers/public). National laws and relevant international conventions	Physical, Biological and Social environment. Health and safety (workers/public). National laws and relevant international conventions	Physical, Biological and Social environment. Health and safety (workers/public) and labour issues. Climate change assessment. National laws and relevant international conventions
EA consultation	Stakeholder consultations and public involvement.	Stakeholder consultations and public involvement	Stakeholder consultations and public involvement
EA Disclosure	EIA notification in a national daily. Send draft copies to relevant stakeholders. Public hearing for sensitive projects.	EIA notification in a national daily. Send copies to relevant stakeholders. Info shop publication at Bank website. Send final copies to relevant stakeholders esp. ESMP.	Similar to WB
Timing of compensation payment	Prompt	Prior to displacement	Prior to displacement

Calculation of compensation	Fair and adequate (Replacement Cost Approach) -Depreciation factored	Full Replacement Cost -No depreciation	Full Replacement Cost -No depreciation
Squatters	Are deemed not to be eligible and therefore not entitled to any compensation	Are to be provided resettlement assistance (but no compensation for land)	Are to be provided resettlement assistance (but no compensation for land)
Physical displacement	In the event where inhabitants have to be physically displaced, the State is to resettle them on <i>“suitable land with due regard for their economic well-being and social and cultural values”</i> .	Affected people who are physically displaced are to be provided with residential housing, or housing sites, or, as required, agricultural sites at least equivalent to the old site. Compensation and resettlement assistance	Similar to WB. Compensation and resettlement assistance.
Vulnerable groups	No specific provision	Particular attention to be paid to vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children.	Similar to WB
Information and Consultation of PAPs	The owner/occupier of the land must be formally notified at least a week in	Displaced persons and their communities are provided timely and	Similar to WB

	advance of the intent to enter, and be given at least 24 hours' notice before actual entry	relevant information, consulted on resettlement options, and offered opportunities to participate in planning, implementing, and monitoring resettlement.	
Grievance	Access to Court of Law and Alternative Dispute Resolution (ADR) options	Appropriate and accessible grievance mechanisms to be established	Appropriate and accessible grievance mechanisms to be established

2.3 Country Approach to Safeguards (CAS)

Ghana has decided to adopt a Country Approach to Safeguards (CAS) in order to meet and implement its safeguards requirements for REDD+. In addition to responding to the United Nations Framework Convention on Climate Change (UNFCCC) requirements, a country approach to safeguards will allow Ghana to consider further objectives, including, for example, meeting the safeguard requirements of organizations (e.g. donors) providing interim results-based REDD+ payments/finance, such as the Forest Carbon Partnership Facility (FCPF), and also contributing to the social and environmental sustainability of national policies and their implementation.

The objective of the adopted roadmap is to provide a clear conceptual overview and outline a clear process for a CAS for Ghana. This approach aims to meet applicable international safeguard requirements, notably those of the UNFCCC and FCPF. It also aims to ensure:

1. That REDD+ policymakers and implementers in Ghana have a complete understanding of the scope and extent of these international requirements, and
2. That the aforementioned actors also have a clear and complete understanding of the activities that need to be undertaken in order to develop a country approach to safeguards that is consistent with international best practice

Ghana Country Approach to Safeguards: <http://fcghana.org/nrs/phocadownload/Inception-Report-Ghana REDD Database final April 4 2017.pdf>

2.4 Ghana Legal Analysis/ Interpretation of the Cancun Safeguards

The legal frameworks of most countries already protect and regulate many of the rights and objectives enshrined in the Cancun safeguards. However, the precise way in which these general rights and duties are spelt out will likely differ from country to country. The analysis of the legal framework is therefore considered a crucial step to be able to interpret or explain how the broad rights and duties embodied in the Cancun safeguards text are reflected in the country. This is useful as the resulting 'country-specific clarification, interpretation or explanation' of the Cancun safeguards can be used as a more precise and tailored substantive 'standard' to ensure and report on the extent to which consistency with the Cancun safeguards is being ensured during REDD+ implementation.

Objectives

The analysis of Ghana's relevant legal framework has the following objectives:

- a) **To identify and analyse the aspects of Ghana's legal framework that are relevant to the Cancun safeguards**
- b) **To provide recommendations to address identified gaps or weaknesses**

http://fcghana.org/nrs/phocadownload/DRAFT_Report_legal%20analysis_Ghana_12Jan2017.pdf

2.5 Clarification of the Cancun Safeguards in Accordance with Ghana's National Circumstances

Parties to the UNFCCC agreed to a set of seven broad principles that are expected to be applied in accordance with national circumstances. In the final series of decisions on REDD+, agreed in Paris at COP 21, Parties to the UNFCCC developed some further guidance "on ensuring transparency, consistency, comprehensiveness and effectiveness when informing on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected."¹²

As part of this guidance, the COP "strongly encourages" developing country Parties, when providing the summary of information on how the Cancun Safeguards are being addressed and respected, to include, inter alia: "A description of each safeguard in accordance with national circumstances."¹³

Ghana's approach to safeguards has been developed in accordance with national circumstances by identifying the various rights and obligations that are embodied in the Cancun safeguards, and examining how these are reflected in the country context.

¹² UNFCCC Decision 17/CP.21, see also UN-REDD [brief on summaries of information](#)

¹³ Ibid, paragraph 5(b) see also UN-REDD [brief on summaries of information](#) for further analysis

The clarification of the Cancun safeguards in accordance with national circumstances outlines the environmental, social and governance objectives the country seeks to achieve throughout the design and implementation of REDD+.

The clarification, interpretation or description of the Cancun Safeguards in accordance with Ghana's circumstances is considered an essential step in the design of an effective safeguard governance framework for REDD+ for two reasons:

- **It is one of the foundations of the Safeguard Information System (SIS)** as it is key to determining the types of information that are to be *gathered* by the SIS; and
- **It is central to the preparation of the summary of information**, as it helps to determine the information that should be *provided* to the UNFCCC to demonstrate how the safeguards are being addressed and respected.

The 'national context' in relation to safeguards means two things:

- The policies, laws and regulations (PLRs) that reflect the rights and obligations embodied in the safeguards (including international legal commitments)

A.1 The REDD+ actions (and specifically the policies and measures or PaMs) that are included in the National REDD+ Strategy to address the domestic drivers of deforestation, forest degradation and 'plus' activities'.

2.6 Information Needs Assessment for Ghana's SIS

As part of the Warsaw Framework on REDD+, developing countries are required to develop **"a system for providing information on how the safeguards are being addressed and respected throughout the implementation of [REDD+] activities."**¹⁴ This system is generally referred to as the Safeguard Information System or 'SIS'. However, the UNFCCC does not provide any guidance as to what type of information is expected to be provided to demonstrate how safeguards are being 'addressed' and 'respected' throughout the implementation of their REDD+ activities.¹⁵

Early country experiences have highlighted that, during the process of designing the SIS, a useful step tried to define the 'types' of information that could be provided to demonstrate how each of the Cancun safeguards has been addressed ('front end' or pre-REDD+ implementation measures) and respected (impacts, outcomes). This is known as **'defining the information needs'** of the SIS and can contribute to determining the institutional arrangements for the SIS (who will

¹⁴ Decision 1/CP.16, paragraph 71(d)

¹⁵ UNFCCC Decision 12/CP.17 paragraph 3

compile and analyze the information, what sources will produce the information, how will it flow from the project level to the national database), as well as help define reporting formats/structure/templates. This process helps determine the information to be included in the Summary of Information (SOI) that needs to be submitted to the UNFCCC.¹⁶

¹⁶Decision 9/CP, Paragraph 4, UNFCCC Decision 2/CP.17, op cit, Paragraph 63 and 64.

Chapter 3. PCIs Governing Monitoring of Social and Environmental Safeguards

3.1 REDD+ Social and Environmental Principles and Criteria

Impacts (both negative and positive) of REDD+ projects/actions need to be effectively monitored in order to secure optimal benefits to stakeholders as well as to ensure that potential risks are addressed appropriately. A comprehensive framework of *Principles, Criteria* and *Indicators(PCIs)* is useful in providing guidance for the effective monitoring of social and environmental safeguards issues in relation to REDD+. These should be developed through a participatory approach involving stakeholders at the local and national levels, and must conform to international safeguards standards.

Ghana's approach to the development of safeguards Principles, Criteria and Indicators within the country's context involves the identification of key elements from existing mandatory and voluntary safeguards standards/frameworks such as the UNFCCC (Cancun) Safeguards and World Bank Operational Policies, that relate to the rights of local communities; inclusive participation of all relevant stakeholders; equitable sharing of benefits and risks; gender mainstreaming; Free, Prior and Informed Consent (FPIC); enhancement of biological diversity and ecosystem services, and other key issues that affect social and environmental performance of REDD+ programmes and/or projects.

3.2 Defining PCIs for Monitoring REDD+ Safeguards in Ghana's

3.2.1 Contextualization of the terms Principles, Criteria and Indicators (PCIs)

In contextualizing what REDD+ Safeguards PCIs mean for Ghana, existing mandatory and voluntary safeguards frameworks were analysed to provide baseline information for the formulation of the PCIs. Specific focus was on the UNFCCC (Cancun) safeguards and World Bank Safeguards Operational Policies (OPs). It was also very critical to understand what the terms Principles, Criteria and Indicators for REDD+ safeguards mean in the Ghanaian Context.

The Ghanaian approach adopts REDD+ Social and Environmental Standards (SES)'s definition of what Principles, Criteria and Indicators (PCIs) mean in the light of REDD+ safeguards. By this;

- **Principles (P)** depict the key objectives for ensuring high level of social and environmental performance of REDD+ actions. In essence, these principles need to be aligned with mandatory and voluntary safeguards standards/ frameworks, specifically the Cancun safeguards and the World Bank OPs.

- **Criteria (C)** define the conditions, processes, impacts and policies required in order to deliver the principles. They are the ‘pre-requisites’ for the delivery of each principle.
- **Indicators (I)** are the quantitative or qualitative information needed to show progress in achieving a particular criterion.

The analysis also considers the Rights-Based Approach to REDD+ and Seven (7) guiding principles¹⁷ proposed by IUCN for addressing the needs of the poor in the development and implementation of REDD+ strategies. These Pro-poor Principles (PPPs) were formulated through the implementation and testing of multi-stakeholder processes at the national and landscape level in 5 different countries, including Ghana.

Table 6: Seven Pro-Poor REDD+ Guiding Principles

7 principles to guide equitable REDD+ implementation

Principles		Themes
1. Ensure vulnerable groups are informed, consulted and participate in decision making at all levels and phases of the REDD+ process, in an enabling environment.	Yellow	Stakeholder Engagement Access to Information
2. Guarantee rights and access to information about processes and outcomes of REDD+ including the positive and negative impacts on the environment and livelihoods of communities.		
3. Ensure equitable and transparent sharing of benefits and responsibilities vertically and horizontally, with specific attention to vulnerable groups.	Blue	Equitable Benefit Sharing
4. Clarify and secure the rights (of access, use and control) to resources (land/tree/forest/carbon) of vulnerable groups.	Purple	Rights to resources Customary practices
5. Recognize and integrate customary practices and values in the design and implementation of REDD+ activities.		
6. Establish and address the nature and scope of forest dependency, particularly among vulnerable groups.	Red	Forest dependency
7. Enhance resilience of vulnerable livelihoods through conserving and restoring natural ecosystem functions, including biodiversity.	Green	Livelihood and Ecosystem Resilience

3.2.2 Methodology for Defining Principles, Criteria and Indicators (PCIs) Needed to address the Cancun Safeguards and World Bank Operational Policies (Ops)

¹⁷ IUCN (2014). The Pro-Poor REDD+ Approach; 7 Principles to Guide the Equitable REDD+ Implementation

Development of the methodology for defining the PCIs for Ghana, benefitted from lessons from other countries, particularly the Brazilian and Indonesia case¹⁸.

An initial identification/drafting of PCIs was carried out by a technical team through a step-wise approach, after which the draft PCIs were subjected to stakeholder consultations at the local and national levels for feedback and finalization.

The following process was used in the design/identification of the initial PCIs:

- i. Identification and prioritisation of elements contained in existing instruments relevant to REDD+ safeguards with particular focus on the Cancun Safeguards and the World Bank's Operational Guidelines. This aspect relied a lot on analysis or information in Ghana's draft Clarification Document for the Cancun Safeguards¹⁹.
- ii. Identification of themes or clusters. These elements were subsequently grouped into themes/common clusters.
- iii. Each cluster/theme was then considered as an emerging 'Principle' and was mapped against the seven (7) Cancun safeguards. Where possible, attempts were made to align a single principle to each major safeguard.
- iv. After aligning the major principles to the seven (7) Cancun safeguards, the elements were reformulated into 'Criteria' and related 'Indicators'.
- v. To ensure that the PCI framework is gender responsive, a comprehensive assessment of gender differentiated roles and responsibilities and their effects on REDD+ Principles, Criteria and Indicators was also carried out.

¹⁸Directorate General of Climate Change, Ministry of Environment and Forestry (2015): Safeguards Information System for REDD+ in Indonesia: Moving towards an Operational SIS-REDD+.

¹⁹ Draft Clarification of Cancun Safeguards in Accordance with Ghana's National Circumstances

Table 7: Cancun and World Bank Safeguards Principles, Criteria and Indicators (PCIs)

***Kindly note rationale behind numbering for indicators :** AP 1 means "Safeguard a" Principle 1; AC 1 is "Safeguard a" Criteria 1; AQ 1a is "Safeguard a" Qualitative indicator 1; AQn 1a means "Safeguard a" Quantitative indicator 1.

REDD+ Safeguard	World Bank Safeguard OP	Principle	Criteria	Indicators	
				Qualitative	Quantitative
<i>a That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;</i>	OP 4.01 on Environmental Assessment and OP 4.36 on Forests	AP 1 Consistency with objectives of national forest programmes	AC 1 REDD+ interventions complement the objectives under Ghana's national forest programmes	AQ 1a Evidence of consistency and alignment of interventions with the objectives of national forest programmes	AQn 1a Number (or percentage) of Corporate Plans, HIA Management Plans, Forest Reserve Plans, District Assembly Medium Term Development Plans, Projects, etc. which complement national forest programmes
					AQn 1b Percentage of planned actions initiated and implemented

		AP 2 Consistency with objectives of international conventions and agreements applicable to REDD+ in Ghana (see relevant PLR Analysis)	AC 2 REDD+ interventions are consistent with international conventions/agreements	AQ 2a Description of how REDD+ interventions are consistent with the objectives of international convention (refer to table 1)	AQn 2a Number of Corporate Plans, Annual Work Plans, Projects, etc. which are consistent with international conventions and agreements
<i>b. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;</i>	OP 4.36 on Forests	BP 1 Transparency and effectiveness of national forest governance	BC 1 Effective and efficient REDD+ implementation at all levels, scales and contexts, shall be governed by good forest governance principles.	BQ 1a Description and evidence of how existing frameworks and measures (eg: FGRM, BSP, etc) have been implemented	BQn 1a Number of grievances received and percentage addressed
			BC 2 REDD+ interventions shall strengthen national and sub-national governance structures	BQ 2a Description and evidence of how national and sub-national governance structures (Safeguards Governance structure, HIA	-

				Governance Board, Consortium, CREMA, etc.) are functioning	
			BC 3 REDD+ interventions shall involve all affected/relevant stakeholders in decision making and give consideration to gender representation	BQ 3a Description and evidence of how vulnerable groups are involved in decision making	BQn 3a Percentage of women in decision making bodies/governance groups at all levels
					BQn 3b Percentage of vulnerable groups (landless, elderly, aged, the youth and women) involved in decision making bodies/governance groups
					BQn 3c Number and attendance rates of stakeholder representatives at meetings

					BQn 3d Number of stakeholder groups/organisations represented in decision making bodies and fora
			BC 4 REDD+ interventions shall support access to information and effective communication between stakeholders about processes, risks, decisions and results/ benefits	BQ 4a Description of how information is requested, when and how it is provided	BQn 4a Percentage of adults within REDD+ project areas who have knowledge of the existence of the REDD+ project/ programme organisation
				BQ 4b Description of how corruption issues are identified and addressed should be made available to the public	BQn 4b A report of the number of corruption cases received and percentage addressed
				BQ 4c Policy statement on information disclosure by the REDD+	BQn 4c Number of information requests and percentage provided

				implementing entity	
				BQ 4d Description of the roles and responsibilities and contact details of NRS Staff	BQn 4d Number of publicly accessible project information releases which are timely, frequent and thorough
			BC 5 REDD+ interventions shall be implemented through the judicious application of available human and financial resources	BQ 5a Document outlining the organizational structure, tasks and functions of the REDD+ implementing entities	BQn 5a Percentage variation of expenditure against approved budgets
				BQ 5b Financial management reporting procedures outlined	
			-	BQ 5c Description of how REDD+ finance (readiness, implementation	-

				and results) have been spent.	
				BQ 5d Description/ statistics of how project finance has been spent (internal and external annual audits, projected budgets, audited spending reports)	
				If applicable, description of any resettlement processes that took place	

			BC 6 Benefits generated by REDD+ interventions shall be distributed and accessed in a fair, transparent and equitable manner by all legitimate actors	BQ 6a Description of how benefits (monetary and non-monetary) are provided to identified legitimate actors and beneficiaries in the specific REDD+ intervention/PaM	BQn 6a Amount/number of benefits (monetary and non-monetary) provided to identified beneficiaries in the specific REDD+ intervention/PaM
					BQn 6b Number of women accessing benefits (monetary, non-monetary), amounts received
					BQn 6c Value of benefits and amount (if applicable) received per beneficiary
<i>c. Respect for the knowledge and rights of indigenous peoples and members of local communities,</i>	OP 4.10 on Indigenous People	CP 1 Respect for local communities' rights	CC 1 Respect for local communities rights	CQ 1a Availability of work plan or arrangement to recognize the local communities' rights and aspirations in using forest resources	CQn 1a Number of actions implemented with respect to communities rights

by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;				CQ 1b Type of technical knowledge/skills provided	CQn 1b Number of capacity building events
			-	CQ 1c Evidence of negotiation of rights of local communities in REDD+ interventions	-
			CC 2 REDD+ interventions shall incorporate stakeholder (including local communities) analysis to identify customary and statutory rights of all categories of stakeholders impacted by the programme	CQ 2a Description of specific community rights regarding land tenure and resource right	CQn 2a Number of stakeholders reached with awareness of local community rights in relation to REDD+
					CQn 2b Number of statutory/customary rights holders in the area before and after REDD+ interventions

			<p>CC 3 The NRS shall institute a monitoring scheme reporting (through safeguard information system) on how rights of stakeholders (local communities) are being respected and addressed</p>	<p>CQ 3a Description of political and institutional support to local communities</p> <p>CQ 3b Availability of the monitoring scheme</p> <p>CQ 3c Description of how stakeholders rights are monitored</p>	<p>CQn 3a Number of capacity building events</p>
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				<p>Description and evidence of how existing land use rights have been recognised and protected during the implementation of the REDD+ interventions</p>	<p>Number of statutory/customary rights holders in the area before and after REDD+ interventions</p>
		CP 2 Fair distribution of benefits from REDD+ interventions to all relevant local communities		<p>CQ 4a Evidence of consultation process that demonstrates inclusiveness</p>	<p>CQn 4a Number of people benefiting from Knowledge exchange and Capacity building</p>
				<p>CQ 4b Description of specific community rights regarding land tenure and land use rights(FPIC)</p>	-

			<p>CC 5 REDD+ interventions shall recognize the value of traditional knowledge and provide appropriate benefit for commercial use of such knowledge where appropriate.</p>	<p>CQ 5a Description of how traditional knowledge has been respected/has contributed to specific REDD+ intervention implementation</p>	<p>CQn 5a List of identified REDD+ interventions based on traditional knowledge</p> <p>CQn 5b Reports on the benefits (monetary and non-monetary) provided and how they were used</p>
			<p>CC6 REDD+ intervention shall be governed by a fair and equitable benefit sharing scheme</p>	<p>CQ 6a Availability of benefit sharing plan and how it was developed</p>	<p>CQn 6a Amount of monetary and non-monetary benefit distributed to all beneficiaries</p>
			<p>CC 7 REDD+ Programmes shall incorporate a functional FGRM, which upholds the rights of local communities and stakeholders.</p>	<p>CQ 7a Description of functional FGRM Incorporated into project documents, work plans and actions</p>	-
			<p>CC 8 REDD+ initiatives shall have in-built mechanisms for resolving potential disputes or conflict that</p>	<p>CQ 8a Availability of records of reported grievances including the</p>	<p>CQn 8a Number of grievances received and percentage addressed through FGRM</p>

			shall arise during implementation	resolution processes	
				CQ 8b Availability of a functional grievance redress mechanism in place	
				CQ 8c Evidence of active use of appropriate procedures or mechanisms for resolving conflicts or grievances	
			CC 9 REDD+ interventions shall contribute to maintaining or enhancing the social economic wellbeing of local communities, by sharing benefit fairly with them, including for the future generations. This will include specifically incorporating a functional Benefit	CQ 9a Evidence that vulnerable local communities were not excluded from the benefits of a specific REDD+ intervention/PaM or were not left worse off/ Description of measures ensuring their inclusion	CQn 9a Number of communities/participants (male and female aware of fair and equitable distribution of REDD+ benefits.in the implementation of REDD+ interventions

			Sharing Plan which incentivises local communities to pursue REDD+ interventions	CQ 9b Evidence that vulnerable groups in local communities are included in all benefits sharing of a specific REDD+ intervention/PaM	
<i>d The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities</i>	OP 4.01 on Environmental Assessment, OP 4.04 on Natural Habitats, OP 4.36 on Forests, OP 4.10 on Indigenous People, OP 4.12 on Involuntary Resettlement	DP 1 Effectiveness of Stakeholder Participation	DC 1 REDD+ actions shall ensure and promote recognition of the rights of local communities to inclusive participation	DQ 1a Description of strategy for designing, implementing and monitoring of participation activities (culturally appropriate information produced, capacity building, specific meetings organized for vulnerable groups)	DQn 1a Number of representatives/members from community forests/associations, local communities and other vulnerable groups
			DC 2 REDD_ interventions (policies, measures, initiatives and programs) shall ensure	-	DQn 2a Percentage of women participating in meetings or programmes

			that at least 30% of women participate in meetings or programmes.		
			DC 3 REDD+ interventions shall identify gaps and undertake the necessary capacity building measures to ensure effective participation of all stakeholders.	DQ 3a Change in quality (range) of participation by relevant stakeholders	DQn 3a Number of meetings held
				DQ 3b A proof of a process for mapping stakeholders	DQn 3b Number of meetings held
				DQ 3c Documented evidence of stakeholder engagement process	DQn 3c Number of meetings held Number of participants (organised according to categories of participants)
				DQ 3d Description of outcomes of	DQn 3d Change in extent (numbers) of

				stakeholder participation and how they affected the implementation of REDD	participation by relevant stakeholders
				DQ 3e Evidence of planning and monitoring process engaging relevant stakeholders.	
<i>e That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for</i>	OP 4.04 on Natural Habitats, OP 4.36 on Forests	EP 1 Conservation of Biodiversity and provision of environmental services	EC 1 REDD+ interventions shall enhance and promote effective strategies that maintain, conserve and restore biodiversity and ecosystem services.	EQ 1a Description of how REDD+ implementation has impacted (positively and negatively) on biodiversity/natural forests in Ghana	EQn 1a Number of EIAs implemented
				EQ 1b Existence of EIA mitigation plan	EQn 1b Statistics on biodiversity change in intervention areas (if feasible)

<i>the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;</i>				EQ 1c EIA M&E reports for each relevant intervention area	
				EQ 1d Records of endangered, rare, threatened and endemic species in HIAs	-
			EC 2 REDD+ interventions shall prevent conversion of natural forests	EQ 2a Evidence (that for example remote sensing) that conversion of natural forests as defined by Ghanaian regulations have been avoided	-
			EC 3 REDD+ interventions shall adopt	EQ 3a A description of measures adopted to	EQn 3a Change in quality of forest cover

			techniques to measure forest cover and quality	determine forest quality and cover	EQn 3b Change in extent of forest cover
			EC 4 REDD+ interventions shall promote effective strategies that enhance social and environmental benefits	EQ 4a Information on how the implementation of the specific REDD+ intervention led to enhancement of biological, environmental, economic and social benefits	EQn 4a Statistics on: jobs created, change in incomes, improved access to social services (education, healthcare)
				EQ 4b Evidence of management & monitoring plan for maintaining social and environmental services	EQn 4b Number of training programmes provided
			EC 5 REDD+ Intervention shall give preference to indigenous species in restoring degraded forest lands	EQ 5a Evidence of plan incorporating indigenous species in restoration activities	EQn 5a Percentage of indigenous species planted in restoration activities

			EC 6 REDD+ actions shall contribute to poverty alleviation through the provision of sustainable alternative livelihoods	-	EQn 6a Statistics on: Alternative livelihood schemes implemented and improvement of income levels
f Actions to address the risks of reversals	OP 4.01 on Environmental Assessment, OP 4.04 on Natural Habitats, OP 4.36 on Forests	FP 1 Address the risks of reversals	FC 1 REDD+ actions/interventions shall reduce risks of reversals through means appropriate to the scale and context, emphasizing policy and practice	FQ 1a Availability of a risk assessment for HIA's on wildfires fire, encroachment, illegal logging, illegal mining and other external impacts	FQn 1a Number of forest offences dealt with and those pending
			FC2 REDD+ Programme and projects shall enshrine measures to sustain gains	FQ 2a Availability of risk mitigation plan addressing major reversal threats	FQn 2a Number of risk management plans developed

			FC3 REDD+ Programme and projects shall make provision for sustainability of gains	FQ 3a Availability of annual monitoring report that allows periodic assessment of risks of reversal, and recommends adaptive management steps for mitigation where necessary	FQn 3a Number of actions in risk management plans that are implemented.
				FQ 3b Description of how measures to reduce the risk of reversals were implemented	FQn 3b Number of actions implemented to prevent risks of reversal
g Actions to reduce displacement of emissions	OP 4.01 on Environmental Assessment	GP 1 Reduction of Emission Displacement	GC 1 REDD+ actions shall develop and implement strategies to reduce emissions displacement within the national boundary. This includes broad-based assessments to	GQ 1a Description of documentation on the types of emission displacement that are likely to occur outside REDD+ interventions	GQn 1a Measured Verifiable Emission levels in potential displacement areas within national boundaries

			document potential displacement of emissions and implementing actions to prevent displacement of emissions	within the national boundary.	
				GQ 1b Description of monitoring strategy on forest-related emissions and carbon stock changes in HIA's	GQn 1b Measured Verifiable Emission levels in HIAs
				GQ 1c Availability of an annual monitoring report on forest-related emissions and carbon stocks changes	GQn 1c Rates of deforestation in neighbouring areas before and after the REDD+ intervention implementation

Principles, Criteria and Indicators (PCIs) for the other triggered World Bank OP Safeguards

World Bank OP Safeguards	Principle	Criteria	Indicators	
			Qualitative	Quantitative
OP 4.09 Pest Management Plan	<ul style="list-style-type: none"> Effective use of biological and environmental control methods for pest management 	<ul style="list-style-type: none"> REDD+ interventions shall promote the use of biological and environmental control methods for pest management 	Evidence of reduced pesticide use and pest issues within the project area.	Number of biological and environmental methods used for pest management.
		<ul style="list-style-type: none"> REDD+ interventions shall reduce the use of synthetic chemical pesticides to ensure that health and environmental hazards associated with pesticides are minimized. 	Evidence of improved soil quality	Number of safety equipment purchased
			Evidence of improved human health and environmental quality	Number of safety equipment used.
		<ul style="list-style-type: none"> REDD+ interventions shall promote the Integrated Crop and Pest Management 	Evidence of the use and promotion of climate Smart Cocoa best practices	Number (percentage) of farmers that adopt climate smart cocoa practices

		(IPM)approach for the cocoa sector including the promotion and adoption of climate smart cocoa,		
OP 4.11 Physical Cultural Resources	<ul style="list-style-type: none"> • Protection and conservation of physical cultural resources 	<ul style="list-style-type: none"> • REDD+ actions shall investigate and inventorise cultural resources potentially affected by interventions • REDD+ actions shall develop mitigation measures when there are adverse impacts on physical cultural resources or avoid if possible 	Evidence of the existence of physical cultural resources.	Documented number physical cultural resources within a specific area

Table 8: Principles, Criteria and Indicators for the GCFRP intervention pillars

GCFRP Intervention	Principle	Criteria	Indicators	Monitoring Approach
A. Institutional Coordination and MRV	<ul style="list-style-type: none"> The existing Joint Coordinating Committee (JCC) shall be operationalized to ensure efficient communication, high level implementation and coordination between the NRS, Cocoa Board, the FIP, and the National REDD+ Working Group. 	<ul style="list-style-type: none"> A functional JCC shall be established to facilitate implementation of the GCFRP 	<ul style="list-style-type: none"> Membership of JCC including their roles and targets towards implementation of GCFRP defined and approved. List of membership with assigned roles and targets JCC positioned to secure and maintain high-level government endorsement for GCFRP Availability of approved annual plans and financial oversight documents of the GCFRP implementation approved Availability of communication strategy for inter-government collaboration. 	<ul style="list-style-type: none"> Documents

		<ul style="list-style-type: none"> • A programme Management Unit (PMU) will be established and maintained to direct, coordinate and supervise implementation of GCFRP 	<ul style="list-style-type: none"> • Evidence of recruitment process • Availability of GCFRP annual work plans and implementation reports • Availability of implementation agreements and strategies 	
		<ul style="list-style-type: none"> • Management systems for monitoring GCFRP developed, operationalized and maintained 	<ul style="list-style-type: none"> • Existence of monitoring system and framework that links to national NDC/UNFCCC (national communications) • Availability of monitoring reports on implementation performance in HIA • Records of operations and maintenance of data management systems for GCFRP (safeguards, cocoa production, ERs) 	
		<ul style="list-style-type: none"> • The JCC shall ensure that relevant Laws are enforced in the GCFRP area 	<ul style="list-style-type: none"> • Availability of law enforcement strategies with roles, responsibilities and sanctions • Records of punitive measures for infractions 	

			<ul style="list-style-type: none"> Evidence of measures taken to address infractions 	
		<ul style="list-style-type: none"> The JCC in collaboration with relevant bodies will create Hotspot Intervention Areas (HIAs) to implement CSC activities 	<ul style="list-style-type: none"> Availability of process and criteria for creation HIAs including negotiations leading to formal decision to form HIA for CSC with due FPIC processes Records of community engagements and key stakeholder meetings in target HIAs Evidence of HIA governance structures, constitutions and communication plan 	
B. Landscape Planning within HIA areas		<ul style="list-style-type: none"> CSC consortium will be established for each HIA to enhance implementation of activities 	<ul style="list-style-type: none"> Evidence of HIA consortium with membership roles and responsibilities Availability of signed agreements between HIA consortium and JCC 	
		<ul style="list-style-type: none"> An integrated HIA Landscape Management Plans will be developed and implemented in 	<ul style="list-style-type: none"> Evidence of field investigations (Fauna, Flora and socio-economic) reports 	

		consultation with relevant stakeholders	<ul style="list-style-type: none"> • List of integrated management planning team(s) Records of planning process including stakeholder consultations workshops (for reviews and validation) • Availability of draft and approved outline of management plans including prescriptions for CSC options and implementation strategy for reducing emissions within HIA • Availability of completed and endorsed management plans for each HIA • Availability of approved implementation plans with roles, timelines and budget • Availability of monitoring and control framework for implementation of integrated management plans 	
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		A CSC landscape level validation protocol will be established in all HIAs	<ul style="list-style-type: none"> • Availability of draft CSC validation protocol with agreed criteria and parameters • Evidence from piloted and tested CSC validation protocol in 1 HIA • Availability of final CSC validation protocol across the GCFRP • Evidence of third party auditing and verification 	
C. Increasing Yields via CSC		<ul style="list-style-type: none"> • A guideline of Ghana CSC Good-Practices for on-farm and off-farm practices shall be produced to ensure increased yields 	<ul style="list-style-type: none"> • Final and approved List and mandate of expert working group. • Evidence of collated good practices and recommendations for yield increases, sustainability, and climate-smart • Availability of stakeholder consultation and validation report • Availability of guidelines for on-farm good-practices for Ghana's CSC 	

		<ul style="list-style-type: none"> • CSC farmer engagement package shall be designed to ensure farmers the in HIAs have access to critical farming resources, to increase yields and incomes. 	<ul style="list-style-type: none"> • Evidence of access to shade-tree planting material and promotion to assistant natural regeneration • Availability of farming inputs such as fertilizer (organic or inorganic) and pest/disease management products etc. • Availability, extent and frequency of technical extension • Number of different extension, training, and/or demonstration models available to farmers • Availability of business extension • Access to credit facilities and risk management products • Number of farmers enabled to insure their products • Number of assisted natural regeneration of shade trees in cocoa farms 	
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			<ul style="list-style-type: none"> • Premium price on CSC bean • Number of Cocoa farmers that have access to the CSC resource package, follow the CSC Good-Practice Guidelines, and adhere to the HIA's management plan • Number of cocoa farmers that receive a premium price for the cocoa beans that they produce. • Evidence of engagement with Chocolate companies to negotiate a premium that validates the value of the GCFRP's climate smart beans. • Records of cocoa purchased from registered farmers under contract to the Consortium following the official Cocoa Board price for the current season. 	
		<ul style="list-style-type: none"> • HIA CSC Consortium shall effectively implement Farmers 	<ul style="list-style-type: none"> • Evidence of adherence to traditional protocols and meetings with traditional leaders to 	

		<p>package to increase yields</p>	<p>introduce the programme and its broad aims.</p> <ul style="list-style-type: none"> • Availability of information materials about the CSC package and programme • Availability of farmers registration list and documents • Evidence of training sessions and availability of training materials • Availability of incentive packages • Number of farmers entitled to receive a set of incentives such as technical assistance, risk management tools (credit and insurance) and access to farm inputs. • Availability of signed contract agreements between the farmer, the HIA Governance Board and the licensed buying company consortium. 	
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			<ul style="list-style-type: none"> • Number of farmers, groupings or associations with contacts • Number of farmers trained in each HIA about the programme principles. • Availability of farms data, and GIS mapping to establish the legal boundaries 	
		<ul style="list-style-type: none"> • The GCFRP shall ensure and promote transparency in cocoa purchases 	<ul style="list-style-type: none"> • Evidence that farmers are paid fairly for the cocoa beans that they produce. • Availability of compensation mechanisms to farmers • Availability of monitoring strategy to ensure compliance • Number of farmers that are paid fairly • Number of companies paying adequate and timely compensations on cocoa beans 	

D. Risk Management & Finance		<ul style="list-style-type: none"> The GCFRP shall enhance access to financial credit for CSC 	<ul style="list-style-type: none"> List of potential funding and credit facilities to foster good-practices for implementing climate smart cocoa production. Evidence of collaboration between the PMU and existing financial institutions to foster new credit programmes or increase the accessibility of current programme to farmers. Availability of facility/fund to develop innovative business approach for CSC Number of farmers who have access to credit and financial support 	
		<ul style="list-style-type: none"> The GCFRP shall facilitate access to yield insurances 	<ul style="list-style-type: none"> Evidence of farmer access to insurance products that help them to better manage risks Availability of insurance product List of insurance companies who are interested in assessing and 	

			<p>developing a CSC product for the GCFRP.</p> <ul style="list-style-type: none"> • Results from pilot activities on access to a CSC insurance product in one of the HIAs • Number of farmers that access insurance product 	
		<ul style="list-style-type: none"> • The programme shall promote marketing of additional ERs above FCPF 	<ul style="list-style-type: none"> • Assess additional opportunities for accessing REDD+ finance • Package and present the GCFRP to potential investors and funders • Additional long term funds secured for the GCFRP 	
		<ul style="list-style-type: none"> • The GCFRP shall foster the development and marketing of a Ghana's CSC brand that could create new opportunities for trading a "premium product ER Cocoa/marketing 	<ul style="list-style-type: none"> • Results of market studies about the current demand for Ghana's Climate Smart Cocoa • Availability of a national brand for recognizing good practices and allowing access to more conscious markets and consumers 	

		<ul style="list-style-type: none"> • The GCFRP shall ensure Sustainable Finance for HIAs activities to ensure that each HIA target area has a sound financial foundation. 	<ul style="list-style-type: none"> • Availability of documented strategies to enhance revenue streams from cocoa, NTFP harvesting, other perennial tree crops, and climate finance in each HIA. • Availability of a trust fund which will build up reserves to ensure long-term stability. • Availability of revenue streams that ensure that HIA's have diversity in its financial sources • Identify diverse long-term financial sources to support HIA governance • Availability of financial plan for HIA governance • Evidence on implementation of financial plan 	
E. Legislative and Policy Reforms		<ul style="list-style-type: none"> • The GCFRP will facilitate the Passage of Legislation 	Records of programmes and activities towards passage of Forest Wildlife Bill legislative instrument	

		<ul style="list-style-type: none"> • The GCFRP will facilitate and lead a process towards policy reform and provide guidance to policy implementation 	<ul style="list-style-type: none"> • Evidence of support provided towards the process of having all the HIAs approved by the FC to pilot new tree tenure arrangements within the target areas. • Availability of new tree tenure arrangements • Evidence of Tree-tenure reforms • Results from studies within HIAs on tree-tenure arrangements and benefit sharing agreements • Availability of tree-tenure policy implementation guidelines 	
		<ul style="list-style-type: none"> • In consultation with relevant stakeholders the GCFRP shall facilitate Modification to Customary Norms and Practices to increase yields 	<ul style="list-style-type: none"> • Number of farmers applying modified customary practices to improve yields • Reports from dialogues and negotiations to seek pathways to promote an evolution from perverse incentives in traditional land-use practices which directly 	

			<p>affect cocoa farming in each of the HIAs.</p> <ul style="list-style-type: none"> • Evidence of negotiation with traditional leaderships at HIAs modified customary norms and practices • Results of independent review on implementation of land use reforms. 	
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