PROJECT INFORMATION DOCUMENT (PID) CONCEPT STAGE

Report No.:

Project Name	GH - FCPF Readiness Grant	
Region	AFR	
Country	GHANA	
Sector	FORESTRY	
Lending Instrument	TF Grant	
Project ID	P124060	
{If Add. Fin.} Parent Project ID	N/A	
Borrower(s)	MINISTRY OF LANDS AND NATURAL RESOURCES	
Implementing Agency	FORESTRY COMMISSION	
Environmental Screening	[]A [X]B []C []FI []TBD (to be determined)	
Category		
Date PID Prepared	October 13, 2011	
Estimated Date of Appraisal	N/A	
Completion		
Estimated Date of Board	N/A	
Approval		
Concept Review Decision	Following the review of the concept, the decision was taken	
	to proceed with the preparation of the operation.	

I. Introduction and Context

A. Country Context

- 1. **Population.** Ghana is the third ranked country in Sub-Saharan African to live in based on the criteria of education, health, quality of life, economic competitiveness, and political environment. The total population of Ghana is estimated at 23.98 million as of July 2008, with an average growth rate of 2.5% per year. Rapid urbanization is indicated by growth rates of up to 4.4% in urban and suburban centers and along the coast. It is estimated that 65% of Ghana's population will live in urban areas by 2020. The highest concentration of human habitation continues to be within the Accra Kumasi-Takoradi triangle, largely because of the economic productivity of the region.
- 2. **NRM sector contribution to GDP.** Notwithstanding the trends in urbanization, the country's economy still depends substantially on natural resources as a source of employment, income and tax revenues. The key Natural Resources sectors, including minerals, oil and gas, fisheries, forestry and wildlife, represent 15% of Gross Domestic Product (GDP), 25% of government revenues and are further a substantial source of livelihoods through artisanal activities. The sector is therefore highly significant to the national economy and to poverty reduction.
- 3. **Cost of environmental degradation.** Like much of Coastal West Africa, Ghana has experienced significant pressure on natural resources over the past 75 years. The loss from

natural resource and environmental degradation was estimated at US\$ 730 million (in 2003), or 9.6% of Ghana's GDP. Timber extraction was a key factor to this loss (37%), while soil degradation on agricultural land contributed a further 18.5% of the loss.

B. Sectoral and Institutional Context

- 4. **Formal forestry sector.** The forestry and wildlife sector formally employs about 120.000 Ghanaians, with employment predominantly in sawmills. The timber industry is currently the fourth largest foreign exchange earner after minerals, cocoa and tourism and contributes about 7% of the GDP, but earnings are largely cancelled out by an annual forest loss cost of about 4% of the country's GDP. Primary wood and processed products account for 89% and 11% of timber exports, respectively (The World Bank, 2008).
- 5. **Informal forestry sector.** Around 11 million of Ghana's population lives in forest areas and about two thirds of rural livelihoods are supported by forest activities. This includes chainsaw operators, non-wood forest product harvesters, fuel wood and charcoal producers, bush meat hunters, and woodcarvers. More detailed estimates suggest that:
- Small-scale carpenters number approximately 41,000, in addition to around 25 medium to large-scale furniture and joinery companies.
- Chainsaw milling to convert lumber into timber, largely for the domestic market, provides jobs for about 130,000 and livelihood support for about 650,000. Chainsaw milling is the main supplier for timber to the domestic market with an estimated volume of 497,000m³ and a market value of GHC 279 million.
- There is insufficient data on the number of people engaged in bush meat hunting, but crude assumptions estimate about 4.4 hunters per sq. km. Accordingly, bush meat hunting for sale and consumption might provide significant contributions to the livelihoods of perhaps half a million people.
- 6. **Ghana's Forest and Wildlife Policy (1994)** aims at the conservation and sustainable development of the nation's forest and wildlife resources for maintenance of environmental quality and the perpetual flow of optimum benefits to all segments of society. The challenge over the last 16 years has been to implement the spirit and intentions of the policy.
- 7. **Forest trends.** In spite of the clear economic and social importance of forests, deforestation has been estimated at 65,000 hectares every year (around 2% a year). At the turn of the 20th century, the country's total forest cover stood at 8.2 million hectares, but has since decreased to about 1.6 million hectares. Much of the off-reserve forest has already been harvested and degraded. The forest reserves established in the 1900-1930s are now under threat, with some already severely degraded. During the 1960s-1980s many of the forest reserves in the transition zone were very badly damaged by bush fires. The few intact high forest reserves in southwest Ghana are at high risk from over harvesting for the remaining high value hardwoods and bush meat. As such, only 16% of forests are considered to be in a "healthy" state. Meanwhile, domestic demand (ca. 85% of timber production) is likely to rise or to keep pace with the expanding building construction industry and economic growth. Already, annual

demand (385,000 m³) far exceeds the total volume of lumber available for domestic use (150.000 m³), adding pressure on the resource. At the current pace of deforestation, it is estimated that the forests in Ghana will be virtually exhausted by 2025.

- 8. The key drivers and underlying causes of deforestation and forest degradation **involve a complex of demographic, economic and policy influences.** The condition of Ghana's forests has been in decline for many years, particularly since the 1970s, and the problem is one of gradual 'degradation' rather than 'deforestation', and is incremental rather than dramatic, with no single dominant driver. All forest zones are affected, including the high forest, transitional areas and northern savannah. An initial analysis of drivers of deforestation and forest degradation was carried out during the R-PP development phase. The following major deforestation drivers have been identified:
- 9. **Timber Extraction.** The forest sector contributes 4% of the GDP share of natural resources and is the fourth foreign exchange earner, supporting the livelihoods of about 70% of Ghana's rural population, and providing 11% of export earnings. Ownership of natural resources has been dispersed (and therefore fragmented), and economic pressures have encouraged unsustainable exploitation resulting in degradation. The sector has long suffered from severe governance problems, and these have contributed to the degraded condition of the forest estate. The problem is recognized in national policy, including the national poverty reduction strategy, GPRSII. Illegal timber extraction remains a problem particularly as regards provisioning of local and sub-regional markets, where illegal chainsaw lumber is prevalent. Forest policy development is debated topic of major debate and areas of contention include: industry capacity; resource pricing; inadequacies of the legal regime on tree tenure. Under the NREG, certification and tenure regimes reforms are expected to play an important role in the development of more coherent incentive framework leading to, inter alia, more responsible management practices. However, certification of timber supplied from off-reserve areas remains a challenge as these are ineligible for certification on account of their lack of environmental integrity and 'nonsustainability'. Weak forest governance has exacerbated the problem.
- 10. Inadequate incentives framework and consequent illegal felling in Off Reserve areas. The rapid decline of the off-reserve tree stock is an area of particular concern. The earmarking of off reserve areas for progressive conversion to agriculture and non forest uses was formerly government policy, but even a policy change in 1994 in favor of sustainable production has failed to arrest the decline. Rights over trees are held by the state in trust for the nation, and income is distributed according to a constitutional formula in which revenues (net of charges by the Forestry Commission and Office of the Administrator of Stool Lands) are shared between District Assemblies, Stool and Traditional Authorities. This does not adequately incentivize the small farming population who would rather keep economic timber trees off their land than risk collateral damage from timber operations to their beverage and food crops. This is made all the more urgent by the huge scale of unregulated chainsaw logging. While this does fill an important gap in supplying the local market, it is a major contributor to forest degradation. Reform of the tree tenure regime is widely viewed as a necessary precondition for reinvigoration of the offreserve stock, and will be supported under the NREG, FCPF and possibly implemented or piloted under the Forest Investment Program (FIP).

- 11. **Cocoa farming and Agricultural Expansion.** For over a century, cocoa has been a major driver of land use change in the high forest zone, and the new full-sun varieties which are now widely adopted have accelerated the pace of deforestation. The traditional varieties require much denser crown cover and their need for high atmospheric humidity encouraged the farming population to support the forest reserve policy in the past. Readopting traditional varieties would have several benefits including carbon profiles, reduced need of fertilizer application, etc., yet short-term profitability is a major incentive towards new varieties. Generally, agricultural technologies are low productivity and under-developed, particularly in the smallholder sector which dominates the rural economy, and low purchasing power is a major constraint. Farm and livestock management practices are characterized by low-input technologies and risk-aversion strategies. Fire is integral to the agricultural cycle in many areas and serves as a means of restoring soil fertility and controlling plant diseases.
- 12. **High demand for firewood and charcoal.** The population of Ghana depends heavily on fuelwood and charcoal for its energy needs. In fact, some estimate up to 90% of the wood harvest is destined for energy uses. The main production areas are in the transitional zone (Brong Ahafo Region) and the northern savannah. In these areas, local councils may depend on charcoal sales taxes for 75% or more of their revenues. Trade in charcoal is one of the main productive activities binding together Ghana's north and south. Charcoal is claimed to be a major cause of deforestation as well as a significant source of bushfires, carbon emissions and damage to watersheds. The fact that firewood and charcoal are often sourced from what might appear to be open access areas, suggests a depleting resource. However some studies suggest that not all charcoal production technologies are environmentally unsustainable. Given the extent of local demand for wood energy needs, any radical change of energy policy would be challenging. Past attempts to find substitutes for charcoal (LPG, for example) have not been sustainable, although the opening up of petroleum production may offer new possibilities in this area.
- 13. **Mining.** Mining has a long history in Ghana, mainly for gold and manganese, and in much smaller amounts for bauxite and diamonds. Minerals production accounts for 4% of GDP and 9% of government revenues, gold making up 93% of mining exports. Exploitation of large mineral reserves is perceived as integral to economic development. Given the favorable outlook for gold prices and the prospect of a significant expansion in the demand for minerals concessions, pressures from mining in the forest areas are set to increase. Under the NREG program the Bank and Development Partners has been supportive of increased mainstreaming of environmental and social concerns on the mining sector –including the adoption of the Strategic Environmental Assessment for the mining sector. The Government of Ghana has responded by developing a new draft Mining Policy with specific provisions for mining in forest areas however as of today its effectiveness remains to be confirmed.
- 14. **Government response.** The Government has already taken action to stem forest losses, and policy options for turning around the forestry sector are being sought and implemented. The main governance challenges in the forestry sector include the need to develop and implement a coherent incentive framework that will help to curtail illegal logging driven largely by domestic markets, to establish sustainable forest management, and to improve the capture of revenues. The sustainability of the forests and the associated ecosystem services and goods the forests provide are put at risk by the absence of effective policy instruments and a regulatory framework.

Adequate incentives for sustaining the natural resource base and managing the environment need to be provided to sustain the forests of Ghana.

15. **New incentives for policy reform.** Implementing previous attempts to reform forest policy in Ghana have been hampered by a preference for the status quo by key stakeholders, notably the timber industry, chainsaw operators, chiefs, politicians and the forest administration, all of whom, albeit in various ways, derive substantial financial benefits from the current regulatory framework. Improving policy and identifying alternatives to existing policy instruments for conserving Ghana's forests has been a common goal shared by the Government, civil society and development partners. The establishment of an international mechanism to compensate countries for reducing emissions from deforestation and forest degradation (REDD+) as part of the international climate change negotiations provides Ghana with an opportunity to create and operationalize a new incentives framework conducive to effective forest protection and management and to capitalize on its natural wealth for generating financial stream flows much need to fund Ghana's development efforts.

C. Relationship to World Bank engagement in Natural Resources Sector and Country Assistance Strategy (CAS)

- 16. In Ghana, the World Bank's over-arching goal is to support the country's growth and poverty reduction objectives. The Country Assistance Strategy (CAS) proposes to help Ghana sustain economic growth of at least 6% per year; surpass the 2015 Millennium Development Goal of halving poverty; and start to reduce inequalities. The CAS was approved in May 2007 and lays out objectives, baselines, targets, government actions and partner contributions. Environment and natural resources continue as important elements within wider national growth objectives in the CAS. The World Bank, working closely with a group of Development Partners (EU, DFID, AFD and the Netherlands), has assisted the Government of Ghana to review and strengthen the forestry sector's policy and regulatory framework, to set the stage for participatory governance, and to strengthen institutional capacity. As with other Bank assistance in the forest sector, the ultimate goal is to harness the potential of forests in reducing poverty, integrating forests in sustainable development, while protecting vital local and global environmental assets.
- 17. The World Bank has supported the forest sector in Ghana since the early 90's through the Forest Resources Management Project (FRMP) and its successor the Natural Resources Management Projects (NRMP). Among the important lessons learned from the aforementioned projects were: 1) a long-term perspective must be taken to properly address natural resource management issues and identify and test sustainable solutions. A single conventional five-year investment project is unlikely to produce a satisfactory result and a sustainable development impact. What is needed is a longer-term commitment to natural resource management, supported through a series of related rolling projects or phases making up a 10-15 year development program; 2) the underlying basis for any NRM program is an effective policy environment and efficiently operating sector institutions. Any improvement on these issues needs to be embedded in the Government strategy and vision for NRM but it also requires broad consultation with all the stakeholders to ensure good ownership by the parties.; 3) Sustainable NRM can only be achieved when resource-owning local communities are fully involved in the development of resource management plans and receive an equitable share of proceeds when the resource is

harvested. This involvement must be encouraged and ensured through the development of collaborative management programs, supported by public awareness programs that inform communities about the potential benefit of sustainable management systems to them; through involvement of all stakeholders in project coordination committees; and by encouraging resource owners to form associations to counteract the lobbying power of well organized and better funded resource users' associations.

- 18. The lesson learned from the aforementioned operations lead the World Bank to adopt a long term perspective and to support the Government of Ghana with a series of articulated instruments. These include, among others, the Natural Resources and Environmental Governance (NREG) Program¹, the up-coming Forest Investment Program (FIP- which is being prepared under the leadership of the African Development Bank in collaboration with the World Bank and the IFC), and the proposed FCPF grant.
- 19. The proposed REDD+ Readiness Program will assist Ghana in preparing itself for a future REDD+ mechanism, which has the potential to generate substantial financial flows to reward countries for improved management of its forest resources, and could thus ultimately contribute to the country's sustainable development. The FCPF grant is thus, a preparation phase for REDD+. Being "ready" for REDD+ will require increased capacity to develop and coordinate land use policies with the view of mitigating future impacts on forest cover, while ensuring that benefits from forests flow to those communities dependant on these resources and stakeholders taking actions to address deforestation and forest degradation. By creating and enabling environment for increased private sector investment in forestry and improving social participation and oversight in forest related policies the REDD+ Readiness Program will contribute to pillar 1 and 3 of the 2007 Country Assistance Strategy, respectively: i) Private sector competitiveness; and ii) Good governance and civic responsibility.
- 20. Currently, the **Forest Carbon Partnership Facility** (**FCPF**) (with the World Bank as the delivery partner) is supporting Ghana in its national efforts towards "REDD+ Readiness". The FCPF is a multi-donor initiative assisting countries in establishing the key pillars of REDD+ readiness i.e.: 1) developing their national reference scenarios for emissions from deforestation and forest degradation; 2) adopting and complementing national strategies for stopping deforestation and forest degradation; and 3) designing national monitoring, reporting and verification systems for REDD+. These activities are referred to as 'REDD+ Readiness'.
- 21. **Status of the FCPF grants application.** The FCPF Participants Committee authorized grant funding of \$3.4m in March 2010 based on Ghana's submission of its Readiness Preparation Proposal (R-PP)². The R-PP lays out the roadmap for REDD+ Readiness in the country. As the FCPF grant will not fund all REDD+ Readiness activities, Ghana is expected to leverage resources from other sources to complete its REDD+ Readiness.

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¹ Launched in 2007, the NREG Program aims to ensure predictable and sustainable financing for the forest and wildlife sectors and effective forest law enforcement; improve mining sector revenue collection, management, and transparency; address social issues in forest and mining communities; mainstream environment into economic growth through Strategic Environmental Assessment (SEA), and develop a climate change strategy. Four development partners (Royal Netherlands Embassy, DFID, AFD, and EC) are augmenting IDA support under a common Framework Agreement and Policy Assessment Framework.

² The latest version of Ghana's R-PP (January 2011) is available at: www.forestcarbonpartnership.org.

- 22. **Ghana is also a participant in the Forest Investment Program (FIP),** a multi-donor initiative set up with the objective of providing up-front bridging finance for readiness reforms and public and private investments identified through national REDD readiness strategy building efforts, while taking into account opportunities to help them adapt to climate change on forests and contributing to multiple benefits from forests. FIP may provide from US\$ 35 to 50 million in support of the aforementioned activities, contingent on the needs identified under the FIP Investment Plan currently under preparation, and expected to be finalized by November 2011.
- 23. The complementarity of the proposed NREG, FCPF, and FIP financing, provides a powerful opportunity to leverage substantial policy reform and implementation impact towards sustaining standing forests in Ghana and improving forest management in the sector. More specifically, FCPF financing will largely contribute to the formulation of a National REDD+ Strategy and overall institutional and technical readiness for REDD+. FIP financing will provide investments for early implementation action of strategic options identified in Ghana's emerging National REDD+ Strategy. Finally, NREG through budget support will provide financing for key policy reforms in support of National REDD+ strategy objectives.

The REDD+ Readiness process will also contribute to overall donor coordination in the forest sector in Ghana. The World Bank is working closely with the African Development Bank leading FIP as well as with the EU on the Forest Law Enforcement, Governance and Trade (FLEGT) and Voluntary Partnership Agreement (VPA) initiative to ensure all initiatives jointly support Ghana's REDD+ agenda. Under the VPA, Ghana has committed to ensure that all timber exported from Ghana to Europe is of legal origin. The multi-stakeholder consultation process, on which the forestry reform agenda under FLEGT/VPA was based, was very successful and has laid an important foundation for the REDD+ process. As part of preparation for FCPF REDD+ Readiness grant, it has been ensured there is no duplication with ongoing work through existing programs and that results from these programs are leveraged as Ghana develops its National REDD+ strategy.

II. Proposed Development Objective(s)

A. Proposed PDO

24. The Project Development Objective is to support Ghana to design a socially and environmentally sound national strategy to reduce emissions from deforestation and forest degradation (REDD+) and to develop a reference scenario of emissions from deforestation and degradation that takes into account national circumstances.

B. Key Results

- i. A socially and environmentally sound national strategy to reduce emissions from deforestation and forest degradation (REDD+) is prepared and validated by national stakeholders:
- ii. A reference scenario is developed taking into account national circumstances;
- iii. A Strategic Environmental and Social Assessment (SESA) is submitted and a draft Environmental and Social Management Framework (ESMF) is prepared and validated.

III. Preliminary Description

Concept

1. Description

- 25. The Project will support Ghana to advance its REDD+ readiness process with the support of selected key activities identified in the Ghana's Readiness Preparation Proposal (R-PP).
- 26. The overall REDD+ Readiness needs in Ghana as presented in its R-PP add up to US\$ 7.5 million³. The country has requested US\$ 3.4 million from the FCPF to contribute towards the implementation of the priority activities identified in the R-PP⁴. In the spirit of coordination, the Government of Ghana in consultation with World Bank selected the activities to be financed by the FCPF based on the urgency and importance of the different activities, the comparative advantage of the World Bank in supporting them, as well as the complementarity with support made available by other partners for the REDD+ Readiness process. Various partners have already indicated their willingness to provide funding to the Readiness process, including the Swiss Development Agency, the Japanese government (for purchase of hardware and software to support MRV systems under the JICA financed Forest Preservation Program), and the Sector Budget Support under the NREG.
- 27. The activities to be financed by the FCPF in support of the REDD+ Readiness Program in Ghana are limited to analytical studies, capacity building, and consultation processes at the national and sub-national levels and do not include the implementation of site specific REDD+ programs on the ground. Through the Readiness Program, the government is expected to identify priority investment needs required to achieve the goals of REDD+. These investment needs will be financed by public and private donors, investors, MDBs, and the Government itself, and not by the FCPF Readiness Grant.

2. Project Components

28. FCPF-financed support to Ghana's REDD+ Readiness process has been organized in four components building on the REDD+ readiness map laid out in the R-PP.

³ For a complete description of R-PP budget, please refer to Annex IV.

⁴ The Government is currently active in raising the remaining funds necessary to implement its overall REDD Readiness Process.

Component 1: Support to the coordination of the REDD+ Readiness	
Process and to Project Management including Monitoring and Evaluation	
for project performance	\$0.55
Component 2: Contribute to the design of the national REDD+ strategy for	
Ghana including strategic social and environmental assessment	
a. Analytical work in support of design of National REDD+ strategy +	
SESA	\$0.6
b. Support Information Sharing and Multi-stakeholder Consultation	
Process (including consultations for SESA)	\$0.6
Component 3: Preparation of National Reference Scenario for REDD+	\$1.2
Component 4: Support mapping and planning of institutional and technical	
needs for monitoring, reporting and verification systems for REDD+5	\$0.15
10 % contingency	\$0.3
TOTAL	\$3.4

IV. Safeguard Policies that might apply

Safeguard Policies Triggered (please explain why)	Yes	No	TBD
Environmental Assessment (OP/BP 4.01)	X		

In view of the nature of REDD + Readiness the borrower will use a Strategic Environmental and Social Assessment (SESA) in the context of REDD+ readiness. The strength of a SESA for REDD+ is that it will combine the analytical work and consultation in an iterative fashion to inform the preparation of the REDD+ strategy. The SESA will help ensure compliance with the Bank's safeguard policies by integrating key environmental and social considerations relevant to REDD+ including all those covered by the safeguard policies. The SESA will help the borrower formulate their REDD+ strategy in a way that reflects inputs from key stakeholder groups and addresses the main environmental and social issues to be identified. The SESA includes an Environmental and Social Management Framework (ESMF) as a distinct output, which provides a framework for managing and mitigating the environmental and social risks related to investments and carbon finance transactions in the context of the future implementation of REDD+. The future investments and carbon finance transactions will still require specific environmental and social assessments, but these will benefit from the strategic context created by the SESA and ESMF. The ESMF will include standard methods and procedures, along with appropriate institutional arrangements for screening, reviewing, implementing and monitoring specific ESMFs to prevent adverse impacts as well as cumulative impacts.

	x	
Natural Habitats (OP/BP 4.04)		

This policy seeks to ensure that all options proposed in the National REDD+ Strategy should take into account the conservation of biodiversity, as well as the numerous environmental services and products that natural habitats provide to human society. Overall, REDD+ activities are expected to have significant positive impacts on natural habitats, as the country puts in place an effective strategy to reduce loss of natural forests. This policy strictly limits the circumstances under which any Bank-supported project can damage natural habitats (land and water areas, in which most of the native plant and animal species are still present). The SESA will address issues related to natural habitats and potential impacts of the National REDD+ Strategy, which will later be included in the ESMF.

⁵ This component is predominantly expected to be supported by JICA resources

Safeguard Policies Triggered (please explain why)	Yes	No	TBD
Forests (OP/BP 4.36)	Х		
Overall, REDD+ activities are expected to have significant posignal of the program is to reduce deforestation and forest degrada of forest-dependent communities. Potential impact of the Nativill be assessed through the SESA and included in the ESMF reflect the requirements of the Bank's Operational Policy regard these relate to the establishment of plantations. Pest Management (OP 4.09) Agricultural intensification and reforestation activities may for REDD+ Strategy. While increased procurement of pesticides or agricultural intensification, and could thus trigger this policy, it	tion, while comonal REDD+ Some Section of the SESA and ding forest manner of the figure of pesticide	tributing to the strategy on na associated nagement, in X nal scope of es is often ass	the National
lead to the identification of environmentally sustainable alternati practices in strategy options related to intensified agricultural a	ves, such as Int ctivities. The S	egrated Pest lists SESA will ad	Managemen dress critica
issues related to pest management upstream, as necessary. The po	olicy has thus n	ot been trigge	red.
Physical Cultural Resources (OP/BP 4.11)			X
Physical Cultural Resources (OP/BP 4.11) This policy could be triggered if REDD+ activities promote a physical cultural resources by local communities living there (e.g. sacred forests, etc.). Though it is not anticipated that the project sites, the existence of any such sites and the corresponding need once the National REDD+ Strategy is completed.	actions in areas g. holy/secret si	containing stees such as sative impacts policy will be	X sites deemed acred groves on any sucl
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V. **Tentative financing**

Supported Projects (OP/BP 4.00)

Piloting the Use of Borrower Systems to Address Environmental and Social Safeguard Issues in Bank-

(\$m.)

Source:

Borrower/Recipient	N/A
IBRD	N/A
N/A IDA	N/A
Others (FCPF)	3.4
Total	3.4

VI. Contact point

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