

Framework of the Safeguard Information System (SIS) in Ghana

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Abbreviations

COP	Conference of the Parties to the UNFCCC
ESMS	Environmental and Social Assessment and Management Systems
ESMF	Environmental and Social Management Framework
EPA	Environmental Protection Agency, Ghana
EIAs	Environmental Impact Assessments
ERPD	Emissions Reduction Program Document
ER	Emission Reduction
FC-FSD	Forestry Commission - Forest Services Division
FC	Forestry Commission
FP	Focal Person
FCPF	Forest Carbon Partnership Facility
FPIC	Free, prior and informed consent
FGRM	Feedback and Grievance Redress Mechanism
GRS	Geo-information Science and Remote Sensing
GCF	Green Climate Fund
GCF ESS	Green Climate Fund Environmental and Social Safeguards
GCFRP	Ghana Cocoa-Forest REDD+ Programme
HIA	Hotspot Intervention Area
MRV	Measurement, Reporting and Verification
NRS	The National REDD+ Strategy
NFMS	National Forest Monitoring System
NGO	Non-Governmental Organisation
OPs	Operational Policies
PMU	Project Management Unit
PaMs	Policies and Measures
PLRs	Policies, Laws and Regulations
PES	Payment for Ecosystem Services
RBF	Results Based Finance
REDD+	Reducing Emissions from Deforestation and forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
R-PP	Readiness Preparation Proposal
SESA	Strategic Environment and Social Assessment
SIS	Safeguard Information System
UNFCCC	The United Nations Framework Convention on Climate Change
WB	World Bank

I. Introduction

The development of a Safeguard Information System (SIS) is one of the three safeguard-related requirements¹ outlined by the United Nations Framework Convention on Climate Change (UNFCCC) and is linked to the delivery of results-based payments².

Although there are no official guidelines on how countries are supposed to set up a system for providing information on how safeguards are addressed and respected (commonly known as a Safeguard Information System or SIS), Parties to the UNFCCC have agreed on some broad guidance on the characteristics of a SIS.³ Namely, it should:

- Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis;
- Be transparent and flexible to allow for improvements over time;
- Provide information on how all the safeguards referred to in appendix I to decision 1/CP.16 are being addressed and respected;
- Be country-driven and implemented at the national level; and
- Build upon existing systems, as appropriate.

In the absence of more specific guidelines regarding the SIS, the system can be broadly understood as the domestic institutional arrangements – and associated processes - in place for providing information on how the safeguards are being addressed and respected in a country throughout the implementation of its proposed REDD+ interventions.⁴ In addition, its scope of coverage should be national, and its development is expected to be iterative, progressively being improved over time. The development of the SIS, therefore, involves a process of examination, assessment and tailoring of existing information systems and sources to meet the various safeguard reporting needs of the country.

We note that a SIS is more than just an information technology solution, which is intended to serve as a tool for the dissemination of information to relevant stakeholders.

The Green Climate Fund

The GCF requires countries have in place a SIS. Beyond this, and in accordance with GCF ESS, countries must establish procedures to monitor and measure the effectiveness of the ESMS, as well as compliance with any legal and/or contractual obligations and requirements. Where appropriate, countries must consider involving affected community representatives in monitoring activities.

In cases where significant impacts have been identified, countries must retain external experts to verify its monitoring information. Countries must use ‘dynamic mechanisms’⁵ to verify the compliance and progress towards the desired outcomes. Monitoring requires recording

¹ The other two being: 1) ensuring consistency of the REDD+ interventions with the Cancun safeguards throughout the implementation of REDD+, and 2) the provision of a summary of information demonstrating how the safeguards have been addressed and respected to the UNFCCC.

² Decision 2/CP. 17, paragraph 64

³ UNFCCC Decision 12/CP.17 paragraph 2

⁴ UN REDD Programme (2016) REDD+ Safeguard Information Systems: Practical Design Considerations. Technical Resource Series. Safeguards Edition 1

⁵ Such as internal mechanisms and audits

information to track performance and comparing this to previous benchmarks. The monitoring results should be documented and reflect changed in reviewed management plans.

The FCPF's Carbon Fund

The Methodological Framework of the Carbon Fund requires countries to promote the UNFCCC REDD+ safeguards⁶, in part, though not solely, demonstrated through having a Safeguard Information System (SIS) in place.⁷ It also requires countries to report on the implementation of the ER Program Safeguards Plans.

Hence, the FCPF expects countries to have a SIS in place, which can provide information on compliance with both UNFCCC REDD+ safeguards and WB OPs. The following criteria and indicators from the Carbon Fund's Methodological Framework refer to the SIS, and which need to be considered for its design:

- **Criterion 25:** Information is provided on how the ER Program meets the World Bank social and environmental safeguards and addresses and respects the safeguards included in UNFCCC guidance related to REDD+, during ER Program implementation.
 - **Indicator 25.1:** Appropriate monitoring arrangements for safeguards referred to in Criterion 24 are included in the Safeguards Plans.
 - **Indicator 25.2:** During ER Program implementation, information on the implementation of Safeguards Plans is included in an annex to each ER monitoring report and interim progress report. This information is publicly disclosed, and the ER Program is encouraged to make this information available to relevant stakeholders. This information is also made available as an input to the national systems for providing information on how safeguards are addressed and respected (SIS) required by the UNFCCC guidance related to REDD+, as appropriate.

Objectives of this document

It must be remembered that the SIS is a domestic institutional arrangement to demonstrate **how** safeguards are being addressed and respected and will **not** on its own be able to ensure that REDD+ interventions are implemented in a manner that is consistent with the UNFCCC REDD+ safeguards (hereafter referred to as the Cancun safeguards).

The **objective of this document is to outline the framework of Ghana' SIS**. This document outlines the objectives, functions and institutional arrangements of the SIS, along with the identification of SIS information needs and relevant sources of information.

The above draws on the analysis of existing and relevant information systems and sources and on the inputs gathered through consultations with relevant stakeholders. It must be reiterated that the development of the SIS is an iterative process and initial arrangements can be supplemented as the information needs and assessment of information systems and sources are refined.

⁶ Decision 1/CP.16

⁷ Decision 12/CP.17

II. Framework of the SIS in Ghana

As noted above, the SIS is generally understood to be a domestic institutional arrangement responsible for providing information as to how the Cancun safeguards are being addressed and respected in the context of the implementation of the proposed REDD+ interventions.

While a SIS is intended to demonstrate how safeguards are being addressed and respected, it is merely an institutional framework for collecting, managing and disseminating information. It is important to note that a SIS on its *own* is not expected to – nor is it intended to – ensure that REDD+ interventions are *implemented* in a manner that is consistent with the Cancun safeguards; although it may contribute to doing so.

The framework of Ghana's SIS is composed of the following elements, all of which are examined on the following sections:

- 1) Objectives of the SIS
- 2) Safeguard information needs for the SIS
- 3) Functions and institutional arrangements for the SIS

1. Objectives of the SIS

The objective of a SIS, from a UNFCCC requirement perspective is to provide information that is accessible by all relevant stakeholders to demonstrate that the seven Cancun safeguards are being addressed and respected throughout REDD+ implementation. Reliable safeguards information is important not only for achieving REDD+ in a sustainable manner, but can serve possible broader sustainable development and other national policy, goals (as well as other international reporting obligations).

We also note that for Ghana who has multiple reporting commitments linked to relevant agencies/initiatives (e.g. Cancun, FCPF Carbon Fund, Green Climate Fund, national and other safeguards) an SIS that is able to provide information to all of them, is a cost effective approach.

Adopted objectives for the SIS in Ghana

Ghana considers that the design of a SIS is an iterative undertaking. Over time, Ghana may wish to consider additional objectives for their SIS.

The adopted objectives are (see Figure 1):

a) Reporting to domestic stakeholders

As noted above, the UNFCCC requires countries to provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis.

One objective of the SIS is to provide information that is accessible by all relevant domestic stakeholders to demonstrate that the seven Cancun safeguards are being addressed and respected throughout REDD+ implementation. See section 5, which outlines how the web-

based platform that hosts the SIS will enable local, national and international stakeholders to effectively monitor Ghana's compliance with REDD+ safeguards.

b) Reporting to the UNFCCC

The UNFCCC requires countries to submit the most recent summary of information on how all the Cancun safeguards are being addressed and respected.⁸

Ghana intends to utilize the information compiled and managed by the SIS as the basis for the preparation of their summary of information to the UNFCCC.

c) Reporting to the Forest Carbon Partnership Facility

The FCPF requires countries to promote the Cancun safeguards⁹, in part, though not solely, demonstrated through having a Safeguard Information System (SIS) in place.¹⁰ In addition, the FCPF requires information is provided on how the Emission Reductions (ER) Program meets the World Bank social and environmental safeguards, during ER Program implementation.¹¹

Information compiled and managed by the SIS would be used to report to the FCPF with regards to the implementation of Ghana's ER Program' ESMF. See section 2, which outlines safeguards indicators that will be reported on, including those linked with the ESMF.

d) Reporting to the Green Climate Fund

In assessing access to Results Based Finance (RBF) the GCF will assess the following relevant elements¹²:

- Reference to the summary of how safeguards referred to in Appendix I of 1/CP.16 were addressed and respected during the results period in the Lima REDD+ Information Hub and evidence that the System of Information on Safeguards (SIS) is in place;
- Evidence that demonstrates that the information on safeguards has been made transparently available to domestic and other stakeholders;

Information compiled and managed by the SIS would be used to report to the GCF.

⁸ Decision 12/CP.17, paragraph 3 and Decision 9/CP.19, paragraph 4

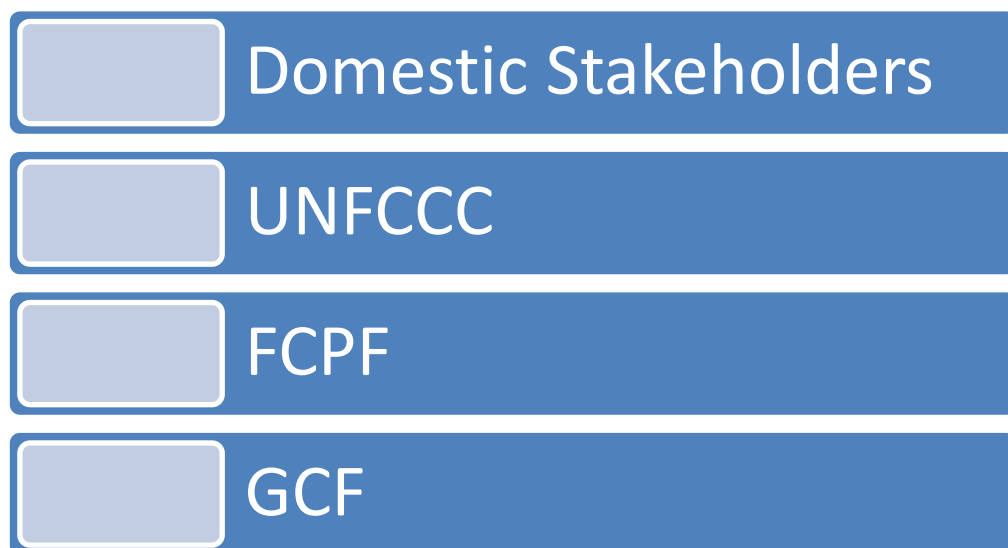
⁹ Decision 1/CP.16

¹⁰ Decision 12/CP.17

¹¹ Indicator 25.1 and 25.2 of Carbon Fund's Methodological Framework

¹² Green Climate Fund, 26 June 2017 Pilot Programme for REDD+ Results-based Payments, **GCF/B.17/13**

FIGURE 1: REPORTING OBJECTIVES OF GHANA'S SIS



2) Safeguard Information Needs for the SIS

The SIS is expected to provide information on how the Cancun safeguards are being addressed and respected. However, the UNFCCC does not offer guidance as to 'what type of information' needs to be provided to demonstrate how the Cancun safeguards are being addressed and respected.

Through a participatory process it has been determined that Ghana's SIS will report on the information:

- a) Cancun safeguards;
- b) ESMF process, policy, and outcome indicators on risks, opportunities and how they are being addressed from the project to national levels;
- c) GCFRP benefit sharing
- d) Co-benefits;
- e) FGRM: Indicators on grievance redress (conflicts and resolutions)
- f) Additional indicators that will be determined to support effective implementation, as required.

In the case of the Cancun safeguards, Ghana has determined 'what type' of information is needed to demonstrate whether they are being addressed and respected. This has been done in accordance with Ghana's clarification of the Cancun safeguards. It is worth noting that the clarification specifies how the general principles outlined in the Cancun safeguards translate into specific principles and objectives that are to be followed and promoted in the context of the implementation of REDD+ interventions in Ghana, and which are anchored in the country's policies, laws and regulations (PLRs).

Below we outline the safeguard information needs of the SIS

Safeguard A

Ghana's clarification of Safeguard A:

“REDD+ interventions are designed in compliance with the objectives of the national forest programmes and consistent to the provisions of the relevant treaties and international conventions Ghana is Party to.”

TABLE 1: INFORMATION NEEDS FOR SAFEGUARD A

Qualitative <ul style="list-style-type: none">• Description of how the GRS is consistent and aligned with the objectives of Ghana's national forest programmes.• Description of how the implementation of the REDD+ strategy is consistent with the objectives of national forest programmes• Description of how the implementation of the specific REDD+ intervention/PaM is consistent with the objectives of national forest programmes• List of international agreements to which Ghana is a party.• Description of how the GRS is consistent with the objectives of these various agreements.• Description of how the implementation of the REDD+ strategy is consistent with the objectives of the various international agreements to which Ghana is a Party (macro)• Description of how the implementation of the specific REDD+ intervention/PaM is consistent with the objectives of the various agreements to which Ghana is a Party (micro).

Safeguard B

Ghana's clarification of Safeguard B

“Transparency and effectiveness of forest governance structures - which includes access to information, accountability and rights in land, distribution of the benefits, support and promotion of gender equality, access to justice, social economic and environmental considerations, and cross sectoral considerations are promoted and regulated throughout the implementation of the REDD+ interventions.”

TABLE 2: : INFORMATION NEEDS FOR SAFEGUARD B

Qualitative <ul style="list-style-type: none">• Description of how access to information (dissemination, dealing with requests) is regulated in Ghana (laws, procedures for requesting information, institutional arrangements)• Description of REDD+ specific measures in place to deal access to information regarding a specific REDD+ intervention/PaM if additional to ones above• Description of how information was disseminated during the design of REDD+ policies, interventions and projects (GRS, ERPJ)• Narrative description of the most frequent types of request for information received (information requested) and how these were dealt with.• Description on measures taken to implement the anti-corruption action plan.• Description of how REDD+ finance (readiness, implementation and results) has been spent• Description of REDD+ related procurement processes followed (outcomes)

- Description of any REDD+ related denunciation of public officials for corruption, any corruption related disputes, or investigations by the mandated agencies as well as their outcomes
- Description of how tenure (ownership and access rights, resettlement) over forest land are regulated in Ghana (laws, institutions)
- Description of REDD+ specific measures in place to deal with forest land tenure if additional
- Description/mapping of existing tenure arrangements within the REDD+ intervention areas
- Description/evidence of how existing land use rights have been recognised and protected during the implementation of REDD+ (macro)
- If applicable, description of any resettlement processes that took place (macro)
- Description/evidence of how existing land use rights have been recognised and protected during the implementation of the specific REDD+ intervention/PaM (micro)
- If applicable, description of any resettlement process (including procedures followed and compensation provided) for the specific REDD+ intervention/PaM (micro).
- Description of how benefit-sharing is dealt with in Ghana (laws, institutions)
- Description any additional REDD+ specific benefit-sharing regime/arrangements (protocols, guidelines, institutional arrangements)
- Mapping of beneficiaries in REDD+ intervention area
- Description of measures in place in Ghana to ensure/improve gender equity (laws, institutions)
- Description of additional measures in place in the context of REDD+
- Description of benefits (monetary and non-monetary) provided to identified beneficiaries (macro)
- Description of benefits (monetary and non-monetary) provided to identified beneficiaries in the specific REDD+ intervention/PaM (micro)
- Description of measures in place in Ghana to ensure/improve gender equity (laws, institutions)
- Description of additional measures in place in the context of REDD+
- Description of how women were involved in the design/implementation of REDD+ interventions (participation, distribution of benefits) (macro)
- Description of how women were involved in the design/implementation of REDD+ interventions (participation, distribution of benefits) in the specific intervention (PaM) (micro)
- Description of how access to justice is regulated in Ghana (laws, institutions)
- Description any additional REDD+ specific measures to deal with conflicts (dispute resolution procedures, institutional arrangements) if additional
- Description of major sources of conflicts during REDD+ design and implementation and how these were dealt with (process followed, outcomes) (macro and micro).

Quantitative

- Number of requests for information
- Number of requests received/approved
- Percentage dealt with vs received, average delay
- Description of how corruption is regulated (illegal acts, codes of conduct, transparency in budget allocation, public procurement etc.) in Ghana (laws, procedures and institutional arrangements.)
- Description of REDD+ specific measures in place to deal with corruption if additional to ones above
- Description/statistics of how REDD+ finance (readiness, implementation and results) has been spent (internal and external annual audits, projected budgets, audited spending reports)
- Number of statutory/customary rights holders in the area before and after REDD+ interventions
- Number of resettlements (if and as applicable)
- Amount of compensation awarded (if and as applicable)
- Outcome statistics (number of beneficiaries, amounts disbursed) macro and micro
- Number of meaningful involvement of women in design/implementation of REDD+ interventions (micro and macro)

- Number of women accessing benefits (monetary, non-monetary), amounts received
- Number of grievances received (against implementing authorities, among stakeholders)
- Numbers dealt with directly, number re-directed to courts
- Average delay in dealing with them
- Number of appeals

Safeguard C

Ghana's clarification of Safeguard C

"The rights of members of local and forest fringe communities, including - protection against discrimination, recognition of traditional authorities and customary rights, recognition of community dispute settlement and traditional knowledge - are promoted and regulated throughout the implementation of REDD+ interventions."

Table 3: : Information Needs for Safeguard C

Qualitative

- Description of how traditional knowledge of local communities is dealt with in Ghana (laws, institutions)
- Description any additional REDD+ specific regime/arrangements (protocols, guidelines, institutional arrangements) in place to recognise/respect traditional knowledge during design and implementation of REDD+ in Ghana (macro)
- Description any additional REDD+ specific regime/arrangements (protocols, guidelines, institutional arrangements) in place to recognise/respect traditional knowledge during design and implementation of specific REDD+ interventions/PaMs (micro)
- Description of how (if at all) traditional knowledge has been respected/has contributed to REDD+ PaM implementation (macro)
- Description of how (if at all) traditional knowledge has been respected/has contributed to specific REDD+ intervention/PaM implementation (micro)
- Description of how the customs traditions and institutions of local communities are respected in Ghana (laws, institutions)
- Description of any additional REDD+ specific regime/arrangements (protocols, guidelines, institutional arrangements) in place to ensure that vulnerable communities are not excluded from the benefits of REDD+ or are not left worse off (macro).
- Description any additional REDD+ specific regime/arrangements (protocols, guidelines, institutional arrangements) in place to ensure that vulnerable communities are not excluded from the benefits of a specific REDD+ intervention/PaM or are not left worse off (micro).
- Description of how (if at all) traditional decision-making authorities are integrated into the institutional arrangements for REDD+ (macro)
- Description of how (if at all) traditional decision-making authorities are integrated into the design and/or implementation of a specific REDD+ intervention/PaM (micro)
- Description of how traditional authorities and/or vulnerable communities were involved in REDD+ implementation (macro)
- Description of how traditional authorities and/or vulnerable communities were involved in the implementation of the specific REDD+ intervention/PaM (micro)
- Evidence that vulnerable local communities were not excluded from the benefits of REDD+ or are not left worse off (macro).

- Evidence that vulnerable local communities were not excluded from the benefits of REDD+ or are not left worse off (macro).
- Evidence that vulnerable local communities were not excluded from the benefits of a specific REDD+ intervention/PaM or were not left worse off (micro)

Quantitative

- Outcome statistics (number of vulnerable beneficiaries, amounts disbursed) macro and micro
- If applicable, number of sacred sites in REDD+ intervention areas (before and after implementation)

Safeguard D

Ghana's clarification of Safeguard D

“The right to full and effective participation of relevant stakeholders is recognised and promoted throughout the design and implementation of REDD+ interventions– including the use of appropriate participatory mechanisms and due consideration of the inputs received.”

Table 4: : Information Needs for Safeguard D

Qualitative

- Description of how the right to full and effective participation is dealt with in Ghana (laws)
- Description of the general categories of stakeholders expected to be involved in the development of the GRS
- Description of stakeholders involved in the development (macro) of the specific intervention/PaM (types, mapping)(micro)
- Description of how public participation in policy-making or project development is regulated in Ghana (Laws, responsible institution)
- Description of any additional REDD+ specific participatory mechanisms/procedures for the development of REDD+ (GRS, R-PP, SESA, ESMF, ERPD) (macro)
- Description of any additional REDD+ specific participatory mechanisms/procedures for the development of specific REDD+ interventions/PaMs (micro)Description of the general categories of stakeholders involved in the development and implementation of the GRS, R-PP, SESA, ESMF, ERPD (documentation and mapping of stakeholders) and how they were involved (information shared, feedback gathered, in what format was it gathered) (macro)
- Description of the general categories of stakeholders involved in the development and implementation of specific REDD+ intervention/PaM (documentation and mapping of stakeholders) and how they were involved (information shared, feedback gathered, in what format was it gathered) (micro)
- Description of the outcomes of the participation processes (for example how the implementation changed/was influenced by considering the views of the relevant stakeholders, e.g. including cancellation of intervention where significant opposition) (macro and micro)
- Strategy for designing, implementing and monitoring of participation activities (culturally appropriate information produced, capacity building, specific meetings organised for vulnerable groups)
- If applicable, description of outcomes of these processes (FPIC granted/withheld) and whether they affected the implementation of REDD+ (interventions cancelled where FPIC withheld)

Quantitative

For specific REDD+ intervention/PaM (micro):

- Number of meetings held, number of participants (organised according to categories of participant)
- Number of views gathered (feedback forms, interviews, votes, minutes recorded and disseminated)
- Number of representatives/members from community forests/associations, local communities and other vulnerable groups
- Number of times consent withheld

Safeguard E

Ghana's clarification of Safeguard E

“REDD+ interventions will promote the conservation of natural forests and biodiversity, the enhancement of social and environmental benefits, and will not result in the conversion of natural forests, in accordance with the relevant PLRs in the country.”

TABLE 5: : INFORMATION NEEDS FOR SAFEGUARD E

Qualitative

- Description of how conversion of natural forests is dealt with in Ghana (definition of natural forests, laws, oversight institutions)
- Description of additional REDD+ specific measures/procedures to ensure that the GRS implementation will not result in the conversion of natural forests (macro)
- Description of additional measures/procedures to ensure that the implementation of the specific REDD+ intervention/PaM will not result in the conversion of natural forests (micro)
- Mapping of natural forests in intervention areas prior to GRS implementation (micro)
- Evidence/description showing that REDD+ implementation in Ghana did not result in the conversion of natural forests (macro)
- Evidence/description showing that specific REDD+ intervention did not result in the conversion of natural forests (micro)
- Description of the relevant PLRs (and institutions) that regulate the conservation of natural forests and biodiversity in Ghana, including EIA (macro)
- Description of any REDD+ specific measures to ensure the consistency of REDD+ with the conservation of natural forests and biodiversity (ESMF, project screening process, EPA validation, EIA requirements) (macro)
- Description of important natural forests and biodiversity within targeted REDD+ intervention areas (if feasible)
- Content of EIAs where considered necessary, as well as mitigation measures proposed for each relevant intervention (micro)
- Description of how REDD+ implementation has impacted (positively and negatively) biodiversity/natural forests in Ghana (macro)
- EIA M&E reports for each relevant intervention area (micro)
- Any additional oversight/monitoring of the implementation of EIA mitigation plans (from other source than the implementer) (micro)
- Description of how Ghana's PLRs promote the development of viable forest and wildlife based industries and additional/alternative livelihoods. (macro)
- Description of additional measures to promote the development of viable forest based industries and additional/alternative livelihoods (ecotourism, agroforestry etc.) (macro)
- Description of measures to promote the development of alternative livelihoods in specific REDD+ intervention area (micro)
- Description of non-monetary benefits included in the design of REDD+ (macro)

- Description of non-monetary benefits included in the design of the specific REDD+ intervention (micro)
- Information on how the implementation of REDD+ in Ghana have led to enhancement of economic social and environmental benefits and ecological, biological, climatic contributions of forest resources (macro)
- Information on how the implementation of the specific REDD+ intervention led to enhancement of economic social and environmental benefits and ecological, biological, climatic contributions of forest resources (micro)

Quantitative

- Number of interventions requiring EIAs (and percentage)
- Statistics on biodiversity change in intervention areas (if feasible)
- Statistics (macro and micro) on:
 - jobs created
 - change in incomes
 - improved access to social services (education, healthcare)
 - Training provided
- Information on the country's natural forest cover (e.g. land cover change map of REDD+ interventions sites, confirming no conversion of natural forests to plantations and other land uses has taken place)

Safeguard F & G

Ghana's clarification of Safeguard F & G

"Actions to address risks of reversals and displacement of emissions are taken throughout the implementation of the REDD+ interventions"

Table 4: : Information Needs for Safeguard F & G

Qualitative

- Description of how measures to reduce the risk of reversals were implemented
- Description of how measures to reduce the risk of displacement were implemented

Quantitative

- Evidence that REDD+ implementation has not resulted in increased emissions/deforestation in neighboring areas (thus displacing them):
- rates of deforestation in neighbouring areas before and after the REDD+ intervention implementation
- Evidence that REDD+ implementation has resulted in long-term/permanent emission reductions:
- emission reductions reduced/captured from REDD+ intervention implementation

3) Functions and institutional arrangements of the SIS

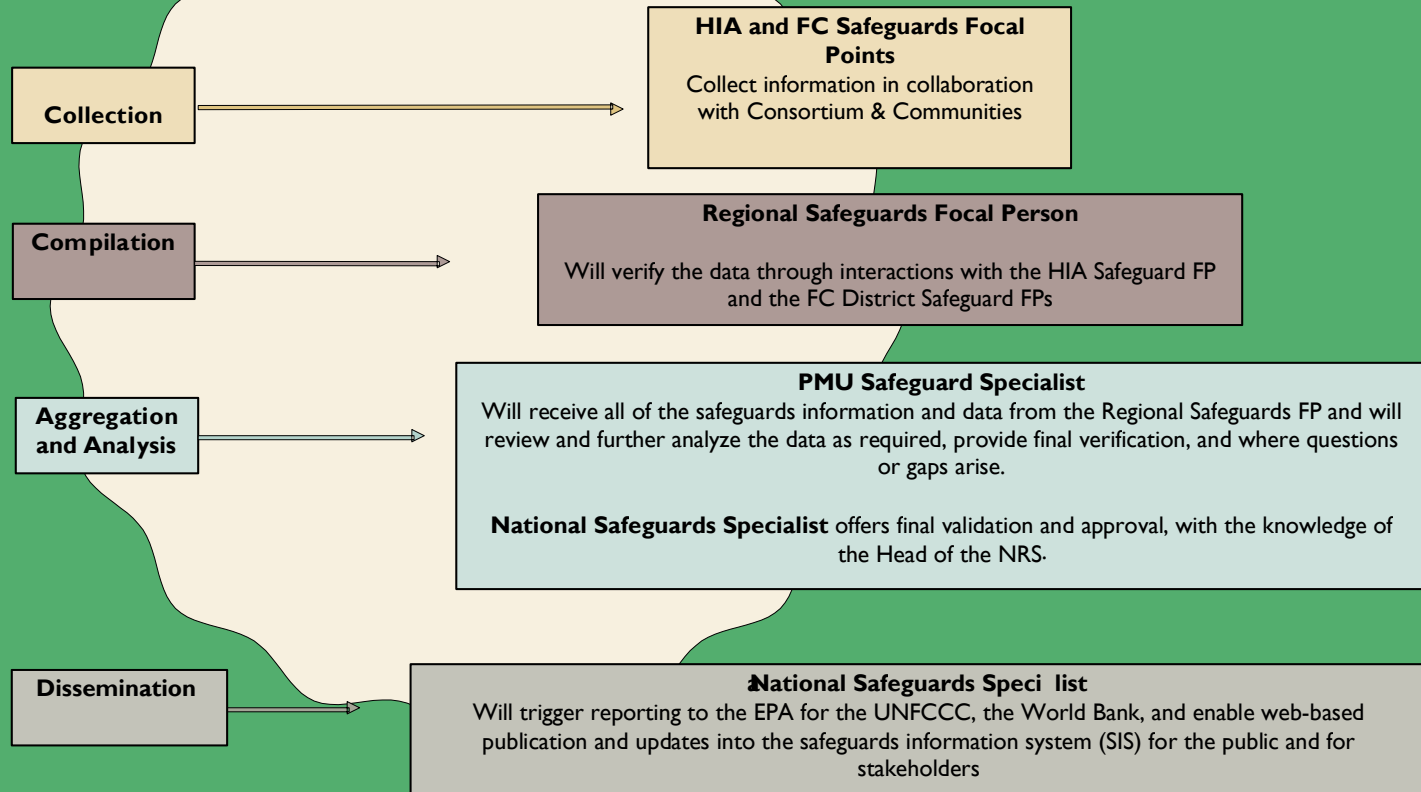
The UNFCCC does not offer any guidance on what specific functions the SIS should perform, e.g. information compilation, analysis, validation, dissemination, etc., beyond the need to ‘provide transparent and consistent information’ on how all the Cancun safeguards are being addressed and respected ‘that is accessible by all relevant stakeholders and updated on a regular basis’.

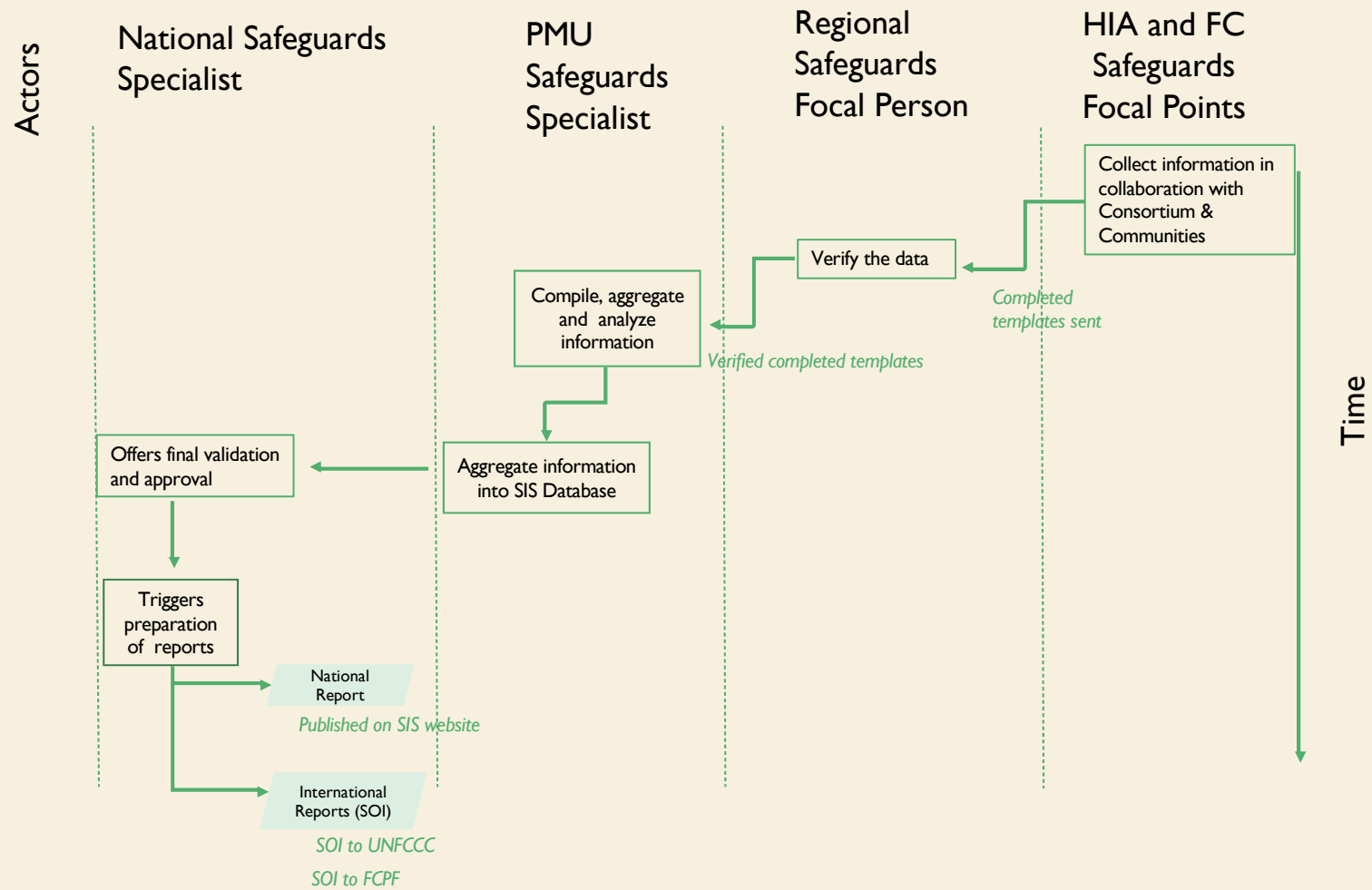
The functions of the SIS are closely linked to the institutional arrangements, as the functions may be carried out by a single, or multiple agencies/institutions. Core functions considered by Ghana are:

- **Collection:** process of collecting raw data through information systems and sources.
- **Compilation:** process of acquiring requested information from the relevant systems and sources.
- **Aggregation:** process of aggregating, into a central repository/database, the information provided by the relevant sources and systems for the purpose of analysis.
- **Analysis:** process of undertaking a qualitative assessment of the information in order to determine to what extent the safeguards are being addressed and respected.
- **Dissemination of information:** process of disseminating, both internally (national level) and externally (international reporting) through appropriate means (e.g. website, reports, meetings with relevant stakeholders, etc.)

Ghana has already made significant progress on this component. Drawing on the analysis of existing and relevant information systems and sources and through consultations with relevant stakeholders the following institutional arrangements are proposed for each core function of the SIS. (See Figure 2 for an overview of the functions and institutional arrangements). See Figure 3 for the SIS process.

Functions of the SIS





a) Function 1: Collection of information

As noted above, this function alludes to the process of collecting information on the ground by the relevant existing (or possibly new) information systems and sources.

In accordance with this analysis and the views of relevant stakeholders, collection of data is to be carried out by **HIA Safeguard Focal Person (FP)**, who will be designated by the HIA and Consortium partners, and the National PMU Safeguards Specialist. The HIA Safeguard FP will work jointly with the FC Safeguard FPs at the FC District level.

They will collect data in collaboration with the various consortium partners in each HIA, including private sector companies (licensed cocoa buying companies, chocolate companies and sector organizations, etc), government bodies (Cocoa Board district offices, FC-FSD district offices, community and farmers, traditional leaders, etc).

To be able to collect the necessary information for purposes of the SIS, specific template reports will be utilized. See annex I for details.

Once collected, they will ensure that the data and information is checked and verified by the HIA partners before the HIA Safeguard FP sends it to the Regional Safeguard FP.

b) Function 2: Compilation and aggregation of information

As noted above, this function alludes to the process of acquiring and aggregating the requested information from the multiple relevant systems and sources.

The **Regional Safeguards FP** will be responsible for collating and analyzing data at a primary level, and communicating with the PMU.

This person will sit in the FC Regional office and receive safeguards data and information from the HIAs (and HIA Safeguard FPs) within the jurisdiction of the FC Region. This person will verify the data through interactions with the HIA Safeguard FP and the FC District Safeguard FPs, and then approve it and send it to the Safeguards Specialist at the PMU.

c) Function 3: Analysis of information

As noted above, the analysis process aims to offer a qualitative and quantitative assessment of the information in order to determine to what extent the safeguards are being addressed and respected at national level.

The **PMU Safeguard Specialist** will receive all of the safeguards information and data from the Regional Safeguards FP. The PMU Safeguard Specialist will review and further analyze the data as required, provide final verification, and where questions or gaps arise, will work with the Regional FPs to make corrections and improvements. The PMU Safeguard Specialist will then send the programme's safeguard information and data on to the National Safeguards Specialist for final validation and approval, with the knowledge of the Head of the NRS.

d) **Function 4: Dissemination of Information**

As noted above, this function alludes to the process of disseminating the information produced by the SIS. Although UNFCCC guidance is not detailed in relation to this function, it requested that the SIS should: “Provide transparent and consistent information that is accessible by all relevant stakeholders.”¹³ This means that there is an expectation that SIS information be disseminated both internally (national level) and externally (international reporting) through appropriate means (e.g. website, reports, meetings with relevant stakeholders, etc.).

At the national level, the National Safeguards Specialist will trigger reporting to the EPA for the UNFCCC, the World Bank, and enable web-based publication and updates into the safeguards information system (SIS) for the public and for stakeholders. Information and updates on the SIS web will be done frequently, and national report will be published every year.

As noted required by the GCF in cases where significant impacts have been identified, Ghana will retain external experts to verify its monitoring information. The monitoring results would be documented and reflect changed in reviewed management plans.

¹³ UNFCCC Decision 12/CP.17 paragraph 2(b)

Annex I: Templates for collecting information on safeguards implementation

HIA Safeguard Focal Person (FP) will complete the following template report:

1. Hotspot Intervention Area: _____

2. Period (Month/year): _____

3. REDD+ interventions carried out in HIA:

Please provide a brief synthesis of specific REDD+ interventions carried out in the HIA

4. How have the REDD+ interventions been carried out in consistency with the UNFCCC safeguards?

Please consider how the following aspects have been covered when implementing the REDD+ interventions and provide a data with regards to the qualitative and quantitative elements outlined below. Evidence (e.g. workshops reports, maps, etc) should be attached to this report.

For example, in the case of safeguard D concerning demonstrating 'how the proposed REDD+ interventions were carried out recognising the right to full and effective participation', you should provide a description as to how relevant stakeholders have participated in the implementation of the relevant REDD+ intervention and how the relevant management measures have been applied (if applicable). You should submit supporting documents, such as minutes of participation platforms, minutes of relevant participation/assembly events, etc.

Safeguard A

Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)	Qualitative and Quantive Data
Qualitative <ul style="list-style-type: none">• Description of how the implementation of the REDD+ intervention is consistent with the objectives of national forest programmes (macro)• Description of how the implementation of the specific REDD+ intervention/PaM is consistent with the objectives of national forest programmes (micro)	
Qualitative <ul style="list-style-type: none">• Description of how the implementation of the REDD+ intervention is consistent with the objectives of the various international agreements to which Ghana is a Party (macro)• Description of how the implementation of the specific REDD+ intervention/PaM is consistent with the objectives of the various agreements to which Ghana is a Party (micro).	

Safeguard B

Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)	Qualitative and Quantive Data
<ul style="list-style-type: none">• Narrative description of the most frequent types of request for information received (information requested) and how these were dealt with. Including:<ul style="list-style-type: none">- Number of requests for information- Number of requests received/approved- Percentage dealt with vs received, average delay	
<ul style="list-style-type: none">• Description on measures taken to implement the anti-corruption action plan.• Description of how REDD+ finance (readiness, implementation and results) has been spent• Description of REDD+ related procurement processes followed (outcomes)• Description of any REDD+ related denunciation of public officials for corruption, any corruption related disputes, or investigations by the mandated agencies as well as their outcomes• Description/statistics of how REDD+ finance (readiness, implementation and results) has been spent (internal and external annual audits, projected budgets, audited spending reports)	

<ul style="list-style-type: none"> • Description/evidence of how existing land use rights have been recognised and protected during the implementation of the REDD+ interventions (macro) • If applicable, description of any resettlement processes that took place (macro) • Description/evidence of how existing land use rights have been recognised and protected during the implementation of the specific REDD+ intervention/PaM (micro) • If applicable, description of any resettlement process (including procedures followed and compensation provided) for the specific REDD+ intervention/PaM (micro). • Number of statutory/customary rights holders in the area before and after REDD+ interventions • Number of resettlements (if and as applicable) • Amount of compensation awarded (if and as applicable) 	
<ul style="list-style-type: none"> • Description of benefits (monetary and non-monetary) provided to identified beneficiaries (macro) • Description of benefits (monetary and non-monetary) provided to identified beneficiaries in the specific REDD+ intervention/PaM (micro) • Outcome statistics (number of beneficiaries, amounts disbursed) macro and micro 	
<ul style="list-style-type: none"> • Description of how women were involved in the design/implementation of REDD+ interventions (participation, distribution of benefits) (macro) • Description of how women were involved in the design/implementation of REDD+ interventions (participation, distribution of benefits) in the specific intervention (PaM) (micro) • Number of meaningful involvement of women in design/implementation of REDD+ interventions (micro and macro) • Number of women accessing benefits (monetary, non-monetary), amounts received 	
<ul style="list-style-type: none"> • Description of major sources of conflicts during REDD+ design and implementation and how these were dealt with (process followed, outcomes) (macro and micro). • Number of grievances received (against implementing authorities, among stakeholders) • Numbers dealt with directly, number re-directed to courts • Average delay in dealing with them • Number of appeals 	

Safeguard C

Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)	Qualitative and Quantitative Data
<ul style="list-style-type: none"> • Description of how (if at all) traditional knowledge has been respected/has contributed to REDD+ PaM implementation (macro) • Description of how (if at all) traditional knowledge has been respected/has contributed to specific REDD+ intervention/PaM implementation (micro) • Description of how traditional authorities and/or vulnerable communities were involved in REDD+ implementation (macro) • Description of how traditional authorities and/or vulnerable communities were involved in the implementation of the specific REDD+ intervention/PaM (micro) • Evidence that vulnerable local communities were not excluded from the benefits of REDD+ or are not left worse off (macro). • Evidence that vulnerable local communities were not excluded from the benefits of REDD+ or are not left worse off (macro). • Evidence that vulnerable local communities were not excluded from the benefits of a specific REDD+ intervention/PaM or were not left worse off (micro) • Outcome statistics (number of vulnerable beneficiaries, amounts disbursed) macro and micro • If applicable, number of sacred sites in REDD+ intervention areas (before and after implementation) 	

Safeguard D

Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)	Qualitative and Quantitative Data
<ul style="list-style-type: none"> • Description of the general categories of stakeholders involved in the development and implementation of the GRS, R-PP, SESA, ESMF, ERPD (documentation and mapping of stakeholders) and how they were involved (information shared, feedback gathered, in what format was it gathered) (macro) • Description of the general categories of stakeholders involved in the development and implementation of specific REDD+ intervention/PaM (documentation and mapping of stakeholders) and how they were involved 	

<p>(information shared, feedback gathered, in what format was it gathered) (micro)</p> <ul style="list-style-type: none"> • Description of the outcomes of the participation processes (for example how the implementation changed/was influenced by considering the views of the relevant stakeholders, e.g. including cancellation of intervention where significant opposition) (macro and micro) • Strategy for designing, implementing and monitoring of participation activities (culturally appropriate information produced, capacity building, specific meetings organised for vulnerable groups) • If applicable, description of outcomes of these processes (FPIC granted/withheld) and whether they affected the implementation of REDD+ (interventions cancelled where FPIC withheld) 	
<ul style="list-style-type: none"> • For specific REDD+ intervention/PaM (micro) <ul style="list-style-type: none"> ○ number of meetings held, number of participants (organised according to categories of participant) ○ Number of views gathered (feedback forms, interviews, votes, minutes recorded and disseminated) ○ Number of representatives/members from community forests/associations, local communities and other vulnerable groups ○ Number of times consent withheld 	

Safeguard E

Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)	Qualitative and Quantitative Data
<ul style="list-style-type: none"> • Evidence/description showing that REDD+ implementation in Ghana did not result in the conversion of natural forests (macro) • Evidence/description showing that specific REDD+ intervention did not result in the conversion of natural forests (micro) 	
<ul style="list-style-type: none"> • Information on the country's natural forest cover (e.g. land cover change map of REDD+ interventions sites, confirming no conversion of natural forests to plantations and other land uses has taken place) 	

<ul style="list-style-type: none"> • Description of how REDD+ implementation has impacted (positively and negatively) biodiversity/natural forests in Ghana (macro) • EIA M&E reports for each relevant intervention area (micro) • Any additional oversight/monitoring of the implementation of EIA mitigation plans (from other source than the implementer) (micro) • Number of interventions requiring EIAs (and percentage) • Statistics on biodiversity change in intervention areas (if feasible) 	
<ul style="list-style-type: none"> • Information on how the implementation of REDD+ in Ghana have led to enhancement of economic social and environmental benefits and ecological, biological, climatic contributions of forest resources (macro) • Information on how the implementation of the specific REDD+ intervention led to enhancement of economic social and environmental benefits and ecological, biological, climatic contributions of forest resources (micro) • Statistics (macro and micro) on: <ul style="list-style-type: none"> ○ jobs created ○ change in incomes ○ improved access to social services (education, healthcare) ○ Training provided 	

Safeguards F &G

Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)	Qualitative and Quantive Data
<ul style="list-style-type: none"> • Description of how measures to reduce the risk of reversals were implemented • Evidence that REDD+ implementation has resulted in long-term/permanent emission reductions: • emission reductions reduced/captured from REDD+ intervention implementation 	
<ul style="list-style-type: none"> • Description of how measures to reduce the risk of displacement were implemented • Evidence that REDD+ implementation has not resulted in increased emissions/deforestation in neighboring areas (thus displacing them): • rates of deforestation in neighbouring areas before and after the REDD+ intervention implementation 	

5. How have the REDD+ interventions complied with the relevant World Bank Operational Policies?

World Bank Operational Policies triggered for REDD+ in Ghana¹⁴:

World Bank Safeguard Policy	Potential to be Triggered under REDD+ in Ghana
OP 4.01: Environmental Assessment	Triggered
OP 4.04: Natural Habitats	Triggered
OP 4.36: Forest	Triggered
OP 4.09: Pest Management	Triggered
O.P. 4.11: Physical Cultural Resources	Triggered
OP 4.12: Involuntary Resettlement	Triggered
OP 4.10: Indigenous peoples	Not triggered
OP 4.37: Safety of Dams	Not triggered
OP 7.50 Projects on International Waterways	Not triggered
OP 7.60: Projects in Disputed Areas	Not triggered

Describe how the ESMF and relevant World Bank OP and frameworks have been implemented and complied with during the implementation of the REDD+ intervention.

6. Proposed improvement measures.

In this section, please identify and describe any proposed improvement measures for addressing any gaps or weaknesses in the application of the safeguards.

¹⁴ ERP, p. 180

