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The World Bank

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Report No: 94495-BF

INTERNATIONAL DEVELOPMENT ASSOCIATION

PROJECT APPRAISAL DOCUMENT

ON A

PROPOSED GRANT

IN THE AMOUNT OF US\$4.5 MILLION

FROM

THE STRATEGIC CLIMATE FUND

TO THE

IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE  
AND NATURAL RESOURCES (BURKINA FASO)

FOR A

LOCAL FOREST COMMUNITIES SUPPORT PROJECT

August 25, 2015

*Environmental and Natural Resources Global Practice*  
*AFRICA REGION*

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## CURRENCY EQUIVALENTS

Exchange Rate Effective: July 31, 2015

Currency Unit = FCFA  
597 FCFA = US\$1

FISCAL YEAR  
January 1 – December 31

## ABBREVIATIONS AND ACRONYMS

AfDB	African Development Bank
BP	Bank Procedures
CDD	Community Driven Development
CPS	Country Partnership Strategy
CSO	Civil Society Organization
DA	Designated Account
DGM	Dedicated Grant Mechanism for Indigenous Peoples and Local Communities
ESIA	Environmental and Social Institutional Assessment
ESMF	Environmental and Social Management Framework
FIP	Forest Investment Program
FM	Financial Management
GEA	Global Executing Agency
GEF	Global Environment Facility
GHG	Greenhouse Gas
GRM	Grievance Redress Mechanism
GRS	The World Bank Grievance Redress Service
GSC	Global Steering Committee
IEM	Integrated Ecosystem Management
IFR	Interim Financial Report
IPLCs	Indigenous Peoples and Local Communities
IUCN	International Union for Conservation of Nature and Natural Resources
IUCN-BF	International Union for Conservation of Nature and Natural Resources Burkina Faso
IUCN-PACO	International Union for Conservation of Nature and Natural Resources Regional Headquarter for West and Central Africa
LCs	Local Communities
LFCSP	Local Forest Communities Support Project
MDB	Multilateral Development Bank
MERH	Ministry of Environment and Fisheries Resources, <i>Ministère de l'environnement et des ressources halieutiques</i>
M&E	Monitoring and Evaluation
NATURAMA	Foundation of Nature's Friends, <i>Fondation des amis de la nature</i>

NEA	National Executing Agency
NGO	Non-Governmental Organization
NRM	Natural Resource Management
NSC	National Steering Committee
NTFP	Non Timber Forest Products
PAD	Project Appraisal Document
PASE	Energy Services Access Project
PASF	Forest Sector Support Project
PDO	Project Development Objective
PGDFEB	Decentralized Forest and Woodland Management Project, <i>Projet de gestion décentralisée des forêts et espaces boisés</i>
PIM	Project Implementation Manual
PM&E	Participatory Monitoring and Evaluation
PNGT	National Territorial Development Program, <i>Programme national de gestion des terroirs</i>
REDD+	Reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable forest management and enhancement of forest carbon stocks
SCF	Strategic Climate Fund
SPONG	Permanent Secretariat for Non-governmental Organizations, <i>Secrétariat permanent des organisations non gouvernementales</i>
WB	The World Bank

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Practice Manager:	Benoit Bosquet
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IUCN, INTERNATIONAL UNION FOR CONSERVATION OF NATURE AND  
NATURAL RESOURCES (BURKINA FASO)

Local Forest Communities Support Project

TABLE OF CONTENTS

	<b>Page</b>
<b>I. STRATEGIC CONTEXT .....</b>	<b>1</b>
A. Country Context.....	1
B. Sectoral and Institutional Context.....	2
C. Higher Level Objectives to which the Project Contributes .....	4
<b>II. PROJECT DEVELOPMENT OBJECTIVES .....</b>	<b>5</b>
A. PDO.....	5
Project Beneficiaries .....	5
PDO Level Results Indicators.....	6
<b>III. PROJECT DESCRIPTION .....</b>	<b>6</b>
A. Project Components .....	6
B. Project Financing .....	8
Project Cost and Financing (US\$ million).....	8
C. Series of Project Objectives and Phases .....	9
D. Lessons Learned and Reflected in the Project Design.....	9
<b>IV. IMPLEMENTATION .....</b>	<b>10</b>
A. Institutional and Implementation Arrangements .....	10
B. Results Monitoring and Evaluation .....	13
C. Sustainability.....	14
<b>V. KEY RISKS.....</b>	<b>15</b>
A. Overall Risk Rating and Explanation of Key Risks.....	15
<b>VI. APPRAISAL SUMMARY .....</b>	<b>17</b>
A. Economic and Financial Analysis.....	17
A. Technical.....	19
B. Financial Management.....	19
C. Procurement .....	20

D. Social (including Safeguards).....	20
E. Environment (including Safeguards).....	21
F. World Bank Grievance Redress.....	23
<b>Annex 1: Results Framework and Monitoring .....</b>	<b>24</b>
<b>Annex 2: Detailed Project Description.....</b>	<b>31</b>
<b>Annex 3: Implementation Arrangements .....</b>	<b>35</b>
<b>Annex 4: Implementation Support Plan.....</b>	<b>45</b>
<b>Annex 5: Overview of DGM Process and NEA Recruitment Process .....</b>	<b>48</b>
<b>Annex 6: Project Redress Mechanism and Complaints Procedure .....</b>	<b>56</b>
<b>Annex 7: Civil Society and Sustainable Development in Burkina Faso .....</b>	<b>61</b>
<b>Annex 8: Map of DGM Intervention Zones .....</b>	<b>64</b>

## PAD DATA SHEET

*IUCN, International Union for Conservation of Nature and Natural Resources (Burkina Faso)*

*Local Forest Communities Support Project (P149434)*

### PROJECT APPRAISAL DOCUMENT

*Africa  
GENDR*

Report No. 94495-BF

Basic Information			
Project ID P149434	EA Category B – Partial Assessment	Team Leader Lucienne M’Baipor	
Lending Instrument: Investment Project Financing	Fragility or Capacity Constraints [ ]		
	Financial Intermediaries [ ]		
Project Implementation Start Date September 16, 2015		Project Implementation End Date June 30, 2020	
Expected Effectiveness Date October 16, 2015		Expected Closing Date June 30, 2020	
Joint IFC			
Practice Manager Benoit Bosquet	Senior Global Practice Director Paula Caballero	Country Director Ousmane Diagana	Regional Vice President Makhtar Diop
Borrower: IUCN, International Union for Conservation of Nature and Natural Resources (Burkina Faso)			
Responsible Agency: IUCN-BF			
Contact: Moumini Savadogo	Title: Program Manager		
Telephone No.: 226 25 31 31 54	Email: <a href="mailto:moumini.savadogo@iucn.org">moumini.savadogo@iucn.org</a>		
Project Financing Data(in USD Million)			
[ ] Loan	[ ] IDA Grant	[ ] Guarantee	[ ] Other
[ ] Credit	[ X ] Grant		
Total Project Cost:	US\$4.5 million	Total Bank Financing:	
Financing Gap:			

Financing Source (US\$)	Amount
STRATEGIC CLIMATE FUND	4.5
Total	4.5

Expected Disbursements (in USD Million)									
Fiscal Year	2016	2017	2018	2019	2020				
Annual	0.6	1.0	1.2	1.2	0.5				
Cumulative	0.6	1.6	2.8	4.0	4.5				

### Institutional Data

#### Practice Area / Cross Cutting Solution Area

Environment

#### Cross Cutting Areas

Climate Change

Fragile, Conflict & Violence

Gender

Jobs

Public Private Partnership

#### Sectors / Climate Change

Sector (Maximum 5 and total % must equal 100)

Major Sector	Sector	%	Adaptation Co-benefits %	Mitigation Co-benefits %
Agriculture, fishing, and forestry	Forestry	50	40	60
Agriculture, fishing, and forestry	General agriculture, fishing and forestry sector	30	40	60
Agriculture, fishing, and forestry	Public Administration – Agriculture, fishing and forestry	20	10	90
Total		100		

I certify that there is no Adaptation and Mitigation Climate Change Co-benefits information applicable to this project.



<b>Themes</b>		
Theme (Maximum 5 and total % must equal 100)		
Major theme	Theme	%
Environment and natural resources management	Decentralization	20
Environment and natural resources management	Participation and civic engagement	20
Financial and private sector development	Other social development	20
Rural development	Land administration and management	20
Environment and natural resources management	Other environment and NRM	20
Total		100
<b>Proposed Development Objective(s)</b>		
The objective of the Project is to strengthen the capacity of targeted local communities in the Targeted Regions of Burkina Faso to participate in REDD+ programs at local, national and global levels.		
<b>Components</b>		
Component Name	Cost (USD Millions)	
Component 1: Development of managerial and technical capacities and skills of local communities	1.0	
Component 2: Support for the development of economic and sustainable natural resource management activities	2.7	
Component 3: Coordination, management, monitoring and evaluation	0.8	
<b>Systematic Operations Risk-Rating Tool (SORT)</b>		
Risk Category	Rating	
1. Political and Governance	High	
2. Macroeconomic	Substantial	
3. Sector Strategies and Policies	Substantial	
4. Technical Design of Project or Program	Substantial	
5. Institutional Capacity for Implementation and Sustainability	High	
6. Fiduciary	Moderate	
7. Environment and Social	Moderate	
8. Stakeholders	Moderate	
9. Other (Fraud and Corruption)	High	
<b>OVERALL</b>	High	

<b>Compliance</b>			
<b>Policy</b>			
Does the project depart from the CAS in content or in other significant respects?		Yes [ ]	No [ X ]
Does the project require any waivers of Bank policies?		Yes [ ]	No [ X ]
Have these been approved by Bank management?		Yes [ ]	No [ ]
Is approval for any policy waiver sought from the Board?		Yes [ ]	No [ X ]
Does the project meet the Regional criteria for readiness for implementation?		Yes [ X ]	No [ ]
<b>Safeguards Policies Triggered by the Project</b>		<b>Yes</b>	<b>No</b>
Environmental Assessment OP/BP 4.01		X	
Natural Habitats OP/BP 4.04		X	
Forests OP/BP 4.36		X	
Pest Management OP/BP 4.09			X
Physical Cultural Resources OP/BP 4.11			X
Indigenous Peoples OP/BP 4.10			X
Involuntary Resettlement OP/BP 4.12		X	
Safety of Dams OP/BP 4.37			X
Projects on International Waterways OP/BP 7.50			X
Projects in Disputed Areas OP.BP 7.60			X
<b>Legal Covenants</b>			
<b>Name</b>	<b>Recurrent</b>	<b>Due Date</b>	<b>Frequency</b>
One additional Procurement staff		45 days after project effectiveness	
<b>Description of Covenant</b>			
By no later than forty five (45) days after the Effective Date, recruit, for the purposes of the implementation of the Project, a procurement specialist with qualifications, experience and terms of reference satisfactory to the World Bank.			
<b>Name</b>	<b>Recurrent</b>	<b>Due Date</b>	<b>Frequency</b>
Grievance Redress Mechanism established		6 months after project effectiveness	
<b>Description of Covenant</b>			
The Recipient shall: (a) by no later than six (6) months after the Effective Date, establish and thereafter maintain throughout the period of implementation of the Project, a grievance redress			

mechanism, satisfactory to the Bank, for the management of grievances and complaints related to the Project.				
<b>Name</b>	<b>Recurrent</b>	<b>Due Date</b>	<b>Frequency</b>	
Recruit Independent Evaluator		12 months after project effectiveness		
<b>Description of Covenant</b>				
By no later than twelve (12) months after the Effective Date recruit an independent evaluator with qualifications and terms of reference acceptable to the World Bank, to be responsible for, <i>inter alia</i> , carrying out social analyses and assisting with the mediation of disputes at the local level.				
<b>Name</b>	<b>Recurrent</b>	<b>Due Date</b>	<b>Frequency</b>	
Recruit Procurement Auditor		3 months after project effectiveness		
<b>Description of Covenant</b>				
By no later than three (3) months after the Effective Date, recruit a consultant with experience and terms of reference satisfactory to the World Bank, to be responsible for carrying out the annual procurement audits				
<b>Conditions</b>				
<b>Source of Fund</b>	<b>Name</b>		<b>Type</b>	
CSCF	Authorization and ratification of Agreement		Effectiveness	
<b>Description of the Condition</b>				
Pursuant to Section 5.01 of the Grant Agreement, IUCN, shall furnish to the World Bank a legal opinion or opinions satisfactory to the World Bank showing, on behalf of IUCN, that the Grant Agreement has been duly authorized by, and executed and delivered on its behalf and is legally binding upon it in accordance with its terms.				
<b>Team Composition</b>				
<b>Bank Staff</b>				
<b>Name</b>	<b>Role</b>	<b>Title</b>	<b>Specialization</b>	<b>Unit</b>
Lucienne M’Baipor	Team Leader (ADM Responsible)	Sr. Social Development Specialist	Team Lead	GSURR
Evouna Emeran Serge M. Menang	Safeguards Specialist	Sr. Environmental Specialist	Environmental Safeguards	GENDR
Mamata Tiendrebeogo	Procurement Specialist	Sr. Procurement Specialist	Procurement	GGODR
Ngor Doc Sene	Financial Management Specialist	Financial Management Specialist	Financial Management	GGODR

Shingira Masanzu	Counsel	Counsel	Legal	LEGAM	
Hocine Chalal	Peer Reviewer	Lead Environmental Specialist	Environmental Safeguards	GENDR	
Erik Reed	NRM	ET Consultant	NRM	GENDR	
Joseph Ellong	Team Member	Sr. Program Assistant	Operations	GSURR	
Loic Braune	Peer Reviewer	Natural Resources Management Specialist	NRM	GENDR	
Vidya Narasimhan	Disbursement	Finance Officer	Finance	WFALN	
Gwladys Kinda	Team Member	Program Assistant	Team Assistance	AFMBF	
Lionel F. Yaro	Team Member	Communication Associate	Communication	AFMBF	
Anders Jensen	M&E	Sr. M&E Specialist	M&E	GPSOS	
Virginie Vaselopoulos	Team Member	Sr. Program Assistant	Team Assistance	GENDR	
<b>Extended Team</b>					
<b>Name</b>	<b>Title</b>	<b>Office Phone</b>	<b>Location</b>		
Avohoueme, Beranger	Social Dev Consultant		Cotonou		
<b>Locations</b>					
<b>Country</b>	<b>First Administrative Division</b>	<b>Location</b>	<b>Planned</b>	<b>Actual</b>	<b>Comments</b>
Burkina Faso		Boucle du Mouhoun	X		
Burkina Faso		Centre-Sud	X		
Burkina Faso		Centre-Ouest	X		
Burkina Faso		Sud-Ouest	X		
Burkina Faso		Est	X		

## I. STRATEGIC CONTEXT

### A. Country Context

1. **Burkina Faso has achieved significant and sustained economic growth over the last decade, but continues to face many challenges.** Average economic growth between 2003 and 2008 was over five percent per year and is expected to average seven percent through 2015 following a high of nine percent in 2012, one of the highest in West Africa. This positive growth has had a significant impact on poverty reduction and development outcomes. However, high population growth rates—3.1 percent, also one of the highest in Africa—are projected to result in a doubling of the population in one generation. The demographic trend accelerates environmental degradation which reinforces the cycle of poverty, especially for rural populations who depend on the natural environment for their livelihoods.

2. **Persistent levels of poverty remain a stubborn challenge.** Burkina Faso continues to be ranked among the poorest countries in the world with 46.4 percent of the population living below the poverty line in 2010<sup>1</sup>. In 2014, Burkina Faso's Human Development Index was 0.388, giving the country a rank of 181 out of 187 countries. Rural populations remain largely dependent on agriculture and continue to experience higher rates of poverty—50.7 percent of the rural population lives below the poverty line as compared with 23.7 percent in urban areas. Despite favorable public expenditure trends, Burkina Faso is unlikely to meet most of the Millennium Development Goals (MDG), particularly those related to literacy, health and sanitation. Although expenditure in education, health, water and sanitation has increased, all three sectors remain adversely affected by a marked urban bias combined with regional and, in some cases, gender inequalities.

3. **Local rural populations depend heavily upon the country's steadily depleting soil, water and vegetative resources.** Situated in the Sahel-Sahara region, Burkina Faso is particularly affected by soil erosion due to wind and water, loss of soil nutrients and bush fires. It is estimated that 34 percent of the land has deteriorated as a result of anthropogenic factors, continuing at a rate of 105,000 to 250 000 hectares each year, while 74 percent of arid and semi-arid areas are affected by desertification or land degradation. Local populations are unequipped to deal with climatic changes and, as demonstrated during the 2007 droughts and the 2009 floods, this can lead to devastating damage and loss of life. Given that scientists have observed a rapid increase in the occurrence of severe weather and erratic climatic conditions, adaptation to climate change will be an increasing priority.

4. **Recent political situation in Burkina Faso.** An attempt by the ruling party to revise article 37 of the Constitution and pave the way for President Compaoré to contest elections for the third time, led to a popular uprising that toppled his government on October 31, 2014 ending his 27-year rule. A transition government was installed in November 2014. The priority of the new government is to organize elections (presidential and legislative) in October 2015.

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<sup>1</sup> Africa Social Safety Net and Social Protection Assessment Series (2011).

## **B. Sectoral and Institutional Context**

**5. Burkina Faso is one of eight Forest Investment Program (FIP) pilot countries, demonstrating innovative approaches to forest and woodland management as well as a deep commitment to strengthening the participation of Local Communities (LCs).** The FIP supports developing countries' efforts to address the underlying causes of deforestation and forest degradation and to overcome barriers that have hindered past efforts to do so. One of the objectives of the FIP is to facilitate the effective participation of LCs in the design and implementation of FIP investment plans and to strengthen the capacity of these groups to play an informed and active role in the FIP, as well as other national and global REDD+ (Reducing emissions from deforestation and forest degradation; and the role of conservation, sustainable forest management and enhancement of forest carbon stocks) processes. To facilitate such participation and capacity building, the Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM) was established, under the FIP, to provide resources for local communities in FIP Pilot countries to support their participation in the development of the FIP and REDD+ strategies and programs.

**6. The FIP in Burkina Faso will support national REDD+ efforts following the strategic pillars mentioned above to address both the direct and indirect causes of deforestation and forest degradation as part of a broader climate change agenda.** For that purpose, FIP resources will support two complementary projects that reinforce one another yet avoid duplication of effort: (1) the World Bank-funded project—Decentralized Forest and Woodland Management Project (PGDFEB) as well as; (2) the African Development Bank funded Participatory Management of State Forests Project (PGFC/REDD+). This combined programmatic approach, as outlined in the FIP Investment Plan, will help overcome barriers that have hindered past efforts to promote integrated natural resource management as it will allow the FIP program in Burkina Faso to invest simultaneously in (i) institutional capacity and forest governance, (ii) forest mitigation measures and (iii) activities outside the forest sector necessary to reduce the pressure on forests. In addition, Burkina Faso will use a US\$3.8 million grant from the Forest Carbon Partnership Facility (FCPF) to complement FIP and DGM funding to develop Burkina Faso's REDD+ Readiness.

**7. The DGM design has been led by Local Communities at both the international and national levels.** There are no Indigenous Peoples in Burkina Faso as defined by the World Bank Policy. The DGM has national programs in each of the eight FIP pilot countries as well as a global body that provides a transversal vision for the pilot countries and guidance for engagement in the REDD+ process at the international level. The development of a mechanism for LC engagement and capacity building commenced at the earliest stages of the design of the FIP in 2009. During 2010-2011, four regional and two global meetings led by LC representatives from the eight FIP pilot countries and other countries were held. In these meetings, the principles, content and structural elements of the DGM were discussed and resulted in the finalization of the DGM Design Proposal in October 2011. The current Global Transitional Committee comprised of Indigenous Peoples and Local Communities (IPLCs) from FIP pilot countries reviewed and endorsed the Framework Operational Guidelines of the DGM in September 2013. Burkina Faso has two representatives in this Transitional Committee. At the national level, the DGM is being developed to coincide with the investment areas of the FIP program to ensure that it adequately reflects the

concerns and needs of LCs and also to strengthen the information that is fed into the national REDD+ process. In addition, it is aligned with the global framework for DGM that was developed by the IPLCs and approved by the Bank's Board of Executive Directors in March 2015.

8. **Forest resources are critical for livelihoods and the economy.** Forest-based economic activities, including making charcoal and selling forest products make up an important part of some rural households—over 25 percent of households in some cases—as well as contributing 5.6 percent of GDP. In addition, forests and woodlands provide important environmental and social services in relation to soil fertility, erosion control, watershed protection, and biological diversity (animals for pollen/seeds dissemination, etc.). Such services lead to indirect economic benefits and increase climate resilience at the landscape level. Forests and woodlands provide additional non-economic benefits to local populations (e.g., medicinal plants, hunting, fruits/mushrooms) that can alleviate the impacts of drought and other climate related challenges. In particular, many tree species (shea tree, nere, gum arabic, etc.) that provide non-timber products are traditionally preserved and exploited, mainly by women, which underscores the important role that women have to play in any strategy aiming at preserving forest resources.

9. **In addition to these local development benefits, mixed-use landscapes hold significant potential as carbon sinks.** The Forestry Code of Burkina Faso considers the areas occupied by trees and shrubs, except those dedicated to agricultural activities, to be forests. Reference to forests and woodlands include a variety of land tenure units such as wooded savanna and gallery forests. The first unique forest inventory was developed in 1980 and the Government is currently undertaking a new inventory, with the support of the Government of Luxembourg. Previous reforestation and anti-desertification campaigns have demonstrated that mixed-use forests and woodlands hold significant potential as a carbon sink in Burkina Faso (e.g., planted areas almost tripled between 1999 and 2007).

10. **There is a need to address direct and indirect drivers of forest and woodland degradation simultaneously.** The continued loss of the country's forests results from a number of causes that can be classified as either direct or indirect drivers. Although these two categories are described separately, they are strongly interrelated and can only be effectively addressed through an integrated approach within the context of a broader development and climate change agenda that simultaneously addresses the direct (mostly at local level) and at the same time the indirect (at local and central level) drivers of deforestation.

11. **Direct drivers of deforestation and forest degradation** correspond essentially to different types of encroachment on forested areas:

- Livestock activities: cattle, goat and sheep husbandry
- Agricultural expansion: mostly cotton production and food production (subsistence agriculture combined with population growth)
- Overharvesting of firewood due to increasing demand
- Overharvesting of non-timber forest products
- Bush fires
- Gold mining.

12. **Indirect drivers of deforestation and forest degradation** result from a complex interplay between socio-economic, political, technological, and cultural factors, which lead to an environment conducive to the emergence of one or more direct drivers. Indirect drivers are related to:

- Economic and demographic factors: growth of impoverished rural populations who depend on forestry products for survival
- Land management: delays in implementing land tenure reforms, insufficient tools for sustainable land use planning and management, insufficient enforcement
- Technical capacities and knowledge: lack of capitalizing on good forestry and sustainable land management practices, weak control, lack of resource knowledge
- Weak stakeholder capacity: at decentralized and central levels
- Governance: difficulties in enforcing laws and regulations relating to the forestry sector
- Weak access to markets which makes it difficult for farmers to intensify production and pushes them to clear forest areas for cultivation.

13. **The DGM<sup>2</sup> in Burkina Faso seeks to address the drivers of deforestation and forest degradation by enhancing technical and organizational capacities as well as improving economic opportunities for communities.** It will promote income generating activities and support natural resources management activities among local communities that are directly reliant on forest and woodland resources for their livelihood. It is being developed to promote synergies with the broader FIP and REDD+ programs so that activities addressing the drivers of deforestation are mutually reinforcing by targeting key stakeholders in the target areas at various levels and through multiple channels.

### **C. Higher Level Objectives to which the Project Contributes**

14. The global Program Development Objective of the DGM for Indigenous Peoples and Local Communities Program is to strengthen the capacity of Indigenous Peoples and Local Communities (IPLCs) to participate in the Forest Investment Program and other REDD+ programs at local, national and global levels. This project is part of the series of country projects under the DGM framework and will contribute to addressing the challenge of food security and poverty reduction while increasing the resilience to climate change and preserving forest resources. It will promote sustainable forest and woodlands management in order to improve the livelihood of the beneficiary population and enhance the role of forests as carbon sinks. Thus, this objective is aligned with the Africa Strategy of the World Bank, particularly through the focus on vulnerability and resilience, as well as the corporate twin goals aiming at ending extreme poverty and promoting shared prosperity. The program reaches out to some of the most marginalized forest dependent communities to support institutional and capacity development for a greater involvement in policymaking and strategy processes while enhancing their adaptive capacities and their role in protecting and managing the remaining tracts of tropical forests. The program responds to the pillars of the **World Bank's Forest Strategy (2002)** which are: (i) Harnessing the potential of

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<sup>2</sup> For details please refer to the [DGM Operational Guidelines](#) and the [Global Framework for DGM](#)



forests to reduce poverty; (ii) Integrating forests in sustainable economic development; and (iii) Protecting vital local and global environmental services and values.

15. The objectives of the proposed project support the pillars laid out in the Burkina Faso Country Partnership Strategy (CPS, 2013-16), discussed by the Executive Directors on September 19, 2013 (Report No. 78793-BF) that seeks to assist Burkina Faso to strengthen the transformation of its economy, support equitable and shared growth and make progress on human development. Those objectives are strongly related to two strategic themes supported by the CPS, i.e., *1: Enhance governance to deliver social services more efficiently*, and *2: Reduce social, economic, and environmental vulnerabilities*.

16. The proposed project is also in line with the four pillars of the national development strategy, the SCADD (*Stratégie de Croissance Accélérée et de Développement Durable 2011-2015*): (1) Accelerated growth; (2) Human capital development and social protection; (3) Improved environmental governance; and (4) Cross-cutting priorities and themes.

## II. PROJECT DEVELOPMENT OBJECTIVES

### A. PDO

17. **The Project Development Objective (PDO)** is to strengthen the capacity of targeted local communities in the Targeted Regions of Burkina Faso to participate in REDD+ programs at local, national and global levels.

### **Project Beneficiaries**

18. **The activities planned under the Local Forest Communities Support Project (LFCSP) will be specifically oriented toward the local population** of 12 provinces and 32 targeted communes that have the same geographical coverage as the FIP. The direct beneficiaries were active partners in the design and development of the Project and include village groups, farmers, pastoralists, traditional healers, traditional authorities, youth organizations, women, and vulnerable population groups. Activities to be implemented were identified by these groups. The specific beneficiaries will be selected based on the development of sub-projects as described in components 1 and 2.

19. **In addition to the targeted local communities, beneficiaries will include other sub-national actors**, including decentralized technical services (Forest, Environment, Agriculture, Livestock, and Research), civil society (Non-Governmental Organization - NGOs, Associations) and local authorities (Municipalities and Regions). The Project will also indirectly benefit other stakeholders such as training and research centers at regional, national and international levels.

20. **Inclusive and equitable process.** The Project is being developed through a participatory approach from the outset. Project design meetings with members of civil society were held in each of the five regions and 32 communes corresponding to the FIP program. This participatory approach allowed the selection of the members of the National Steering Committee (NSC) which compose the final validating group for the selection of projects. In addition, members of civil society and representatives of the various groups of stakeholders across the country have selected

members of the interim steering committee. This committee was also the counterpart to the Bank. A full list of communes, as well as a map of the target areas is provided in Annex 8.

21. **Focus on integrating the gender dimension.** Women's participation in the development and processing of certain activities such as Non-Timber Forest Products (NTFP) is well recognized in Burkina Faso. As such, women are considered integral stakeholders in the Burkina Faso DGM and have been involved throughout the DGM process at the national level. The inclusion of gender sensitive dimensions of the DGM will focus on encouraging further participation and gender balance will be one of the selection criteria considered for recipients of these activities. Forty percent of direct project beneficiaries and twenty percent of forest users that will be trained are women.

### **PDO Level Results Indicators**

22. **Achievement of the PDO at the regional level** will be measured against the following results.

- Area restored or re/ afforested.
- People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests.
- Land users adopting sustainable land management practices as a result of the Project.
- Participants in the capacity development activities with increased role in the FIP and other REDD + processes at local, national or global levels.
- Forest area brought under management plans.
- Direct project beneficiaries (number) of which female (percentage).

## **III. PROJECT DESCRIPTION**

### **A. Project Components**

23. **The DGM project for Burkina Faso is being developed in line with the overall DGM process globally.** Community representatives will participate in cross-regional learning events and global forums, then share the knowledge received with their constituents:

- The global DGM program framework document (P128478) was approved on March 3, 2015, and projects at country-level will reflect key elements of the global design with country-specific features, as necessary.
- The Burkina Faso DGM project has an allocation of US\$4.5 million in grant resources from the Strategic Climate Fund. The Project will be implemented over a five-year period, from September 2015 to June 2020.

As discussed and agreed with the DGM national steering committee of Burkina Faso, the proposed project has three components:

**Component 1: Development of managerial and technical capacities and skills of local communities (US\$1.0 million).**

24. **This component will support training in leadership development**, conflict resolution and negotiation skills to ensure active participation in initiatives related to natural resource-based mitigation and adaptation to climate change. It will also support training and capacity development for securing and strengthening customary land tenure and resource rights and traditional forest management systems of local communities, and for reducing cultural, social, economic and policy barriers to such rights.

*Sub-component 1.1: Development and implementation of a training plan and provision of training to local communities and organizations and development of a communication plan for local communities and organizations, for the Project, including a website (US\$928,000).* Under this component, a training plan tailored to the needs of communities and organizations supporting implementation of micro-projects identified in Component 2 will be elaborated. Training offered will complement the training provided under the FIP project, and will integrate issues related to climate change and techniques to alleviate its negative impacts.

25. *Sub-component 1.2: Development and implementation of a consultation plan and provision of support for the participation of representatives of local communities in discussions related to REDD+ and climate change at national and international levels (US\$72,000).* This sub-component will support the preparation and implementation of a plan for consultations with local communities for the effective participation of their representatives in forums at the national, sub-regional and international levels.

**Component 2: Support for the development of economic and sustainable natural resource management activities (US\$2.7 million).**

26. **This component will (i) support the implementation of activities that contribute to improving the income of targeted local communities**, and (ii) promote the implementation of measures likely to ensure sustainable management of natural resources and living conditions in the target villages. The component will be divided into two sub-components:

27. *Sub-component 2.1: Provision of Sub-Grants to support activities relating to income generation and livelihood development activities (“Livelihood Subprojects”)* (US\$1,022,000). This sub-component will support the implementation of income generating activities identified by target communities. The eligible activities, i.e. that have a minimal negative socio-environmental impact, will be listed as part of a non-exhaustive positive list. The indicative positive list of activities will be consistent with and complementary to the activities of the eligible sub-projects under the FIP. All the sub-projects under this sub-component will be subject to a call for proposals.

28. *Sub-component 2.2: Provision of Sub-Grants to support activities relating to sustainable natural resource management and land tenure activities, such as training, sensitization, study tours, and translation and dissemination of land related laws (“Natural Resource Management Subprojects”)* (US\$1,678,000). This sub-component will support the implementation of sustainable natural resource management and land tenure related activities which are not

necessarily direct income generating sources for neighboring communities. These sub-projects should respond to an established environmental concern e.g. ongoing activities requiring extensions. The sub-projects to be implemented as part of this sub-component will not be subject to competition, given their priority nature but will be subject to a participatory identification and prioritization process to be conducted by the National Executing Agency (NEA) in consultation with the National Steering Committee and the adjacent communities. The short listed sub-projects would have a tangible impact on the ecosystems as well as on the neighboring communities, i.e., creation of village and commune forests, tree nurseries, and orchards including medicinal plants.

**Component 3: Coordination, management, monitoring and evaluation (US\$0.8 million).**

29. **This component will support the provision of support for Project planning, implementation, communication, monitoring and evaluation, fiduciary management, environmental and social safeguards management, and the financing of Operating Costs.** It will ensure effective operational planning, monitoring and implementation of the Grant and finance the cost of the NEA. The NEA will be the secretariat for the NSC and will develop country-specific review and risk assessment criteria, and provide operational and financial reporting to the World Bank and NSC.

30. **The project team will include a social expert** to monitor the implementation of the safeguard plans, especially the restriction of access. As part of a more extended grievance and redress mechanism that will be detailed in the Project Implementation Manual, the Project will contract an external independent evaluator over the lifetime of the Project, in charge of both analyzing the social dynamics at the local level and interacting with the communities as an independent mediator in case of local conflicts.

**B. Project Financing**

31. **The lending instrument will be an Investment Project Financing (US\$4.5 million)** with grant resources from the Strategic Climate Fund (SCF). Part of the grant will be dedicated to funding the recruitment of the NEA and associated positions to implement the Project for five years. There is no counterpart funding.

**Project Cost and Financing (US\$ million)**

<b>Project Components</b>	<b>Project Costs</b>	<b>SCF Grant</b>	<b>Grant Financing</b>
1. Development of managerial and technical capacities and skills of local communities	1.0	1.0	100%
2. Support for the development of the economic and sustainable natural resource management activities	2.7	2.7	100%
3. Coordination, management, monitoring and evaluation	0.8	0.8	100%
<b>Total Costs</b>	<b>4.5</b>	<b>4.5</b>	<b>100%</b>
<b>Total Project Costs</b>	<b>4.5</b>	<b>4.5</b>	<b>100%</b>

### C. Series of Project Objectives and Phases

32. The Project is one of the country-specific projects to be prepared by the eight FIP pilot countries where Governments are implementing FIP investment projects with support from Multilateral Development Banks (MDBs). The World Bank's investment support to the Burkina Faso DGM Program would be provided through Series of Projects approach [formerly, 'adaptable program loan' (APL)], under a common framework, similar to the World Bank's support to the Global Program for Avian Influenza (2005). Burkina Faso has prepared this stand-alone DGM project under this Program Framework, under the World Bank's policies for Investment Project Financing. This approach gives the program the necessary flexibility to accommodate the socio-cultural and political economy differences across the country and allows the Local Communities in the Targeted Regions to proceed at their own pace. Also, given that all pilots will be aligned with the same framework for the program, the experience of Burkina Faso will help the rest avoid costly mistakes during project implementation.

### D. Lessons Learned and Reflected in the Project Design

33. **Burkina Faso has over 30 years of experience in participatory local forest management and capacity building** (in awareness raising, production, sustainable land management, poverty reduction and project management and coordination). This experience forms a solid foundation for REDD+. Selected lessons that inform specific aspects of the proposed project and integrated in the activities of Components 1 and 2 are summarized below:

- ***Securing land usage rights improves productivity***: Producers of non-timber forest products in Burkina Faso often have limited rights to the land that they work on or use, diminishing their incentives to invest in the land. Women are especially exposed to this vulnerability. The acquisition of land titles for female producers in the Boucle de Mouhoun, a project financed by the Millennium Challenge Account of Burkina Faso (MCA) demonstrated that women receiving land titles significantly increased output of shea butter because they were able to benefit from reinvestments in their production areas and the production chain.
- ***Improving awareness of markets and benefits for local communities***: Limitations of information and access to financing and markets have resulted in many local level producers receiving only minimal incomes from the production of NTFP and small scale businesses without many chances to improve their livelihoods. The Market Development Approach (MDA) promoted by TreeAid in Burkina Faso has helped create greater awareness of markets and value chains, pricing, and exchanges of technical know-how among villagers. By increasing the regular supply of products (such as shea butter) through value chain linkages, and better understanding of pricing and diversifying production, local communities were able to improve their livelihoods through a market based approach.
- ***Participatory Approach to Monitoring and Evaluation***: Experience in Burkina Faso with village level participatory approach to monitoring and evaluation has empowered groups towards more equitable, collective decision-making. The approach builds on a participatory process in development planning that allows communities to become capable of managing the

development process on their own. The ability makes it possible for communities to independently sustain their development process by adjusting different goals and objectives based on observations of progress on objectives over time.

- ***Projects that are directly related to the DGM objectives*** as well as the FIP project that were used to define the project investments are listed below. They make use of Community-Driven Development (CDD) approaches and relevant analytical work on the issues of forest/land use management and community based adaptation activities of the LCs that promote economic activities, livelihood diversification and sustainable forest/land use management systems:
- Second National Territorial Development Program (PNGT-2) 2007-2013
- National Program for Decentralized Rural Development (PNDRD) 2002-2007
- Sahel Integrated Lowland Ecosystem Management Project (SILEM) 2004-2010
- The Energy Services Access Project (PASE) 2008-2014
- The Agricultural Diversification and Market Development Project (ADMMDP/PAFASP) 2005-2010
- The Forest Sector Support Project (PASF) 2013-2016
- The International Committee against Desertification in the Sahel (CILSS)
- The Poverty Environment Initiative (IPE) 2013-2016
- The Intervention Fund for the Environment (FIE)

#### IV. IMPLEMENTATION

##### A. Institutional and Implementation Arrangements

33. The DGM has two components:
- a. A Global component for exchange of knowledge and building networks and partnerships among IPLC organizations in the pilot countries and beyond.
  - b. A country-based community small grants component in each of the eight FIP pilot countries (Brazil, Burkina Faso, Democratic Republic of Congo, Ghana, Indonesia, Lao PDR, Mexico and Peru) to support on-the-ground activities and capacity building.
34. **The proposed project supports the national program of Burkina Faso.** The institutional arrangements for the DGM are based on the principle of being “for local communities by local communities” in collaboration with the Government of Burkina Faso at the national and sub-national levels, as well as development partners and other stakeholders (Refer to Figure 2 for a representation of the linkages between the Global and National Components of the DGM).
35. **Government Agencies.** The Ministry of Environment and Fisheries Resources (MERH) oversees the implementation of the FIP and leads the REDD+ process. In addition, several sectorial ministries (agriculture, livestock, and land management) will work closely at the local level with the DGM beneficiaries’ organizations.
36. The **National Steering Committee** will have oversight of the DGM implementation in Burkina Faso. It will provide, with the assistance of the NEA, a semi-annual report on the

implementation of the program to the Global Steering Committee (GSC). Its main function will be to select proposals for grant award and to monitor the progress of sub-projects. The NSC will liaise with the national REDD+ coordination committee or equivalents and ensure that DGM lessons are transmitted to ongoing national processes. Members will also actively seek feedback from the local communities on the program, identify needs and collect and send ideas to the GSC to be supported by the global component, and represent Burkina Faso in the GSC as required. The NSC has a majority of local community (11 up to 25) members as decision-making members. Observers in the NSC can be from the Government, private sector, MDBs and other agencies as appropriate. The final size of 25 members in the NSC was determined by stakeholders. Members of the NSC will act in their individual capacity and not as agents, officers or representatives of the GEA, NEA, WB, and AfDB, member countries of the FIP Sub Committee, beneficiary countries or any other organization or entity. The NSC is a sub-group of the National CSO Platform for REDD+ and Sustainable Development which is recognized as an Association according to the laws of Burkina Faso.

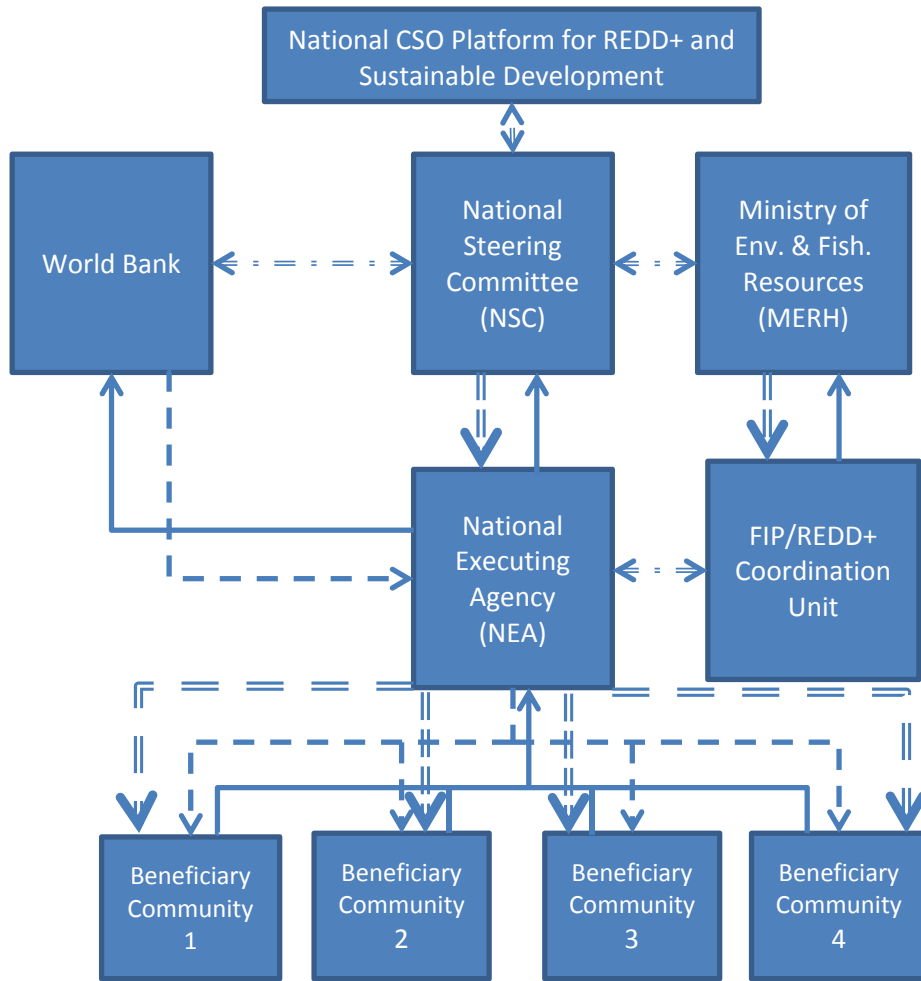
37. **NSC members were selected through a self-selection process** at the local and national levels. Their time on the NSC will be a voluntary contribution. One representative from the World Bank and one from the African Development Bank will be observers in the National Steering Committee.

38. **Selection of the National Executing Agency was carried out through a competitive process** (details are provided in Annex 5). The World Bank will enter into agreement with IUCN, International Union for Conservation of Nature and Natural Resources (Burkina Faso)(IUCN-BF), which is the selected agency. IUCN-BF will provide progress reports to the World Bank, including safeguards and fiduciary aspects of the program.

39. **IUCN-BF will be the secretariat for the NSC** and it will facilitate the work of the NSC, develop country-specific review and risk assessment criteria, and provide operational and financial reporting to the World Bank. Under the overall direction of the NSC, IUCN-BF will be responsible for entering into agreements with and disbursing funds to grant beneficiaries as well as for monitoring the implementation of grant funded projects and ensuring appropriate use of DGM funds. IUCN-BF will complement the framework operational guidelines with country-specific procedures (reflected in the Project Implementation Manual-PIM) so that the DGM can be implemented in line with national circumstances and requirements. IUCN-BF will also maintain documentation of the country DGM projects, follow the communications strategy in coordination with the GEA, manage grievance and complaints redress processes and respond promptly to queries and coordinate with and send information as requested to the GEA.

40. Annex 5 contains a more detailed account of the steps taken in the national process of the DGM in Burkina Faso.

**Figure 1: Institutional Scheme of the Burkina Faso DGM**





## B. Results Monitoring and Evaluation

41. **The progress and success of the Project will be measured against the results (performance) indicators as shown in Annex 1.** The monitoring and evaluation (M&E) activities will help collect, analyze and present data on progress towards achieving the project objectives. This continuous feedback on the Project will help the Project team and stakeholders identify areas where mid-term corrections/readjustments may be necessary.

42. **Data will be collected annually during the project lifespan** in order to monitor progress towards the achievement of results. An annual evaluation to be carried out by the World Bank will help assess the progress that has been made with regard to the main indicators, and check if the individual components have reached their goals.

43. **The Project will have a dedicated M&E specialist,** whose main responsibilities will be to manage data production, collection, analysis and presentation. This will include the development of a comprehensive M&E plan (including materials, methods, and procedures). To ensure consistent and systematic implementation of M&E efforts, the expert shall, during the first quarter of implementation of the Project, develop a detailed M&E manual and a project M&E system.

44. **The Project will also strengthen the participatory monitoring and evaluation (PM&E) system.** PM&E approaches encompass a wide and expanding range of approaches, tools and methodologies with the common denominators of greater accountability, local management capacity building and fostering an environment of partnership and collaborative learning. In forestry, PM&E offers the opportunity to improve performance of the Project and to build the capacity of forest-dependent communities and local and national authorities in forest management. It requires a deviation of the conventional and linear approach to PM&E with empowerment of local people, relinquishing some control, using simple data collection methods and immediate sharing of results with all key stakeholders. In addition, in order to be most effective, PM&E systems require active support from project and national and local authorities.

**Table 1: Comparison between conventional monitoring and evaluation and PM&E**

	<b>CONVENTIONAL MONITORING AND EVALUATION</b>	<b>PARTICIPATORY MONITORING AND EVALUATION</b>
Who designs the system?	Generally the projects or Program	The beneficiaries with the support of the Program workers and other actors
When are indicators selected?	Indicators often selected at the beginning of project or Program	More often criteria rather than indicators are selected which are reviewed progressively
Who analyzes the information?	Generally the project workers	The populations take an active share in the analysis
What type of information is collected?	Primarily Quantitative	Core role of the qualitative analysis
Mainstreaming the different prospects	Weak, Standardization	Diversity of viewpoints is highlighted
Degree of flexibility	Weak. Collection indicators and tools standardized	Iterative process

45. **The DGM funds will help to develop a simple, cost-effective and transparent PM&E system** which requires minimal training. The PM&E will focus on subprojects related to the natural resource management process, natural resource revenue, ecological sustainability, wood extraction and fire risks. Tools will probably include village patrols, perceptions interviews, monthly data reports, regular monitoring meetings and informal reports. External support from the Project will be necessary to set up the project PM&E system.

46. **The PM&E system will only apply to villages** where micro-projects have been implemented. The monitoring and evaluation of LFCSP will be consistent with that of PDGFEB. To this end, a common operational roadmap will be developed between IUCN-BF and the FIP Coordination Unit in order to save human, financial and material resources dedicated to monitoring and evaluation.

47. Concretely, the eight FIP sustainable forest management specialists based in the regions will be used to facilitate participatory M&E in the villages, communes or regions where micro-projects have been implemented. Interim reports will be discussed first with the beneficiary CSOs and riverside communities then transferred to IUCN-BF and the National FIP Coordination.

48. **IUCN-BF will be responsible for consolidation and validation** of data received from FIP regional sustainable forest management specialists and then holding consultations with the CSO platform and the PDGFEB Coordinating Unit in order to produce the periodic monitoring reports, which will be submitted to the NSC and the World Bank. More details are provided in the M&E manual of the Project Implementation Manual.

### **C. Sustainability**

49. **The sustainability of the Project will depend on many factors, including:** (i) community engagement and ownership of local forest and woodland management activities; (ii) quality of local investments; (iii) land security to protect investments; (iv) strengthened capacity of local actors including communes, decentralized technical services and civil society to manage local forests and woodlands; (v) effective participation of women in the process and implementation; (vi) social cohesion and effective resolution of local conflicts; (vii) Government commitment to improve forest and woodland management; (viii) integration of environmental sustainability into investments and planning at national, sub-national and local levels; (ix) Government commitment to effective decentralization and further devolution of competencies and resources to local governments; and (x) strengthened capacity of local governments to generate their own revenue. In addition, the capacity building program that will be supported under component 1 will strengthen the skills of the local communities' representatives and local based organizations to be able to mobilize more financial resources from other donors by designing robust projects proposals.

50. ***Sustainability of management and oversight capacity.*** The Project works within the existing governance and procedural frameworks to further empower civil society and local communities to manage and oversee local development. Capacity building activities will also promote participation, inclusion, good governance and effective conflict resolution to strengthen community ownership of natural resource management, citizen management and social

accountability. The Project will seek to develop synergies and improve the impact of existing and future projects as well as build synergies with other operations related to natural resource management, rural development, and the decentralization process.

51. **Fiscal sustainability.** While the funding for this project is relatively limited, it seeks to build structures and capacity that can be used to seek future funding. The close linkages to the FIP provide an opportunity to demonstrate synergies between government-led and community-led initiatives and increase the potential for further financial opportunities. Working with communities on improving income generating activities is also intended to promote sustainable livelihood improvements that are not dependent on project financing for the long-term.

## V. KEY RISKS

### A. Overall Risk Rating and Explanation of Key Risks

Risk category	Rating (H, S, M or L)
1. Political and Governance	H
2. Macroeconomic	S
3. Sector Strategies and Policies	S
4. Technical Design of Project or Program	S
5. Institutional Capacity for Implementation and Sustainability	H
6. Fiduciary	M
7. Environment and Social	M
8. Stakeholders	M
9. Other (Fraud and Corruption)	H
<b>OVERALL</b>	<b>H</b>

52. **The overall risk rating for this project is High.** The country context is challenging and characterized by political uncertainty, low technical capacity, and poor governance, which makes successful project implementation increasingly challenging. Regular consultations among key stakeholders would be necessary in order to develop concrete mitigation measures to address these risks and the benefits of the proposed activities outweigh the potential risks.

- **Political Risk:** Fragile operating environment. The country's transition is moving forward in an uncertain context since the events of October 2014. The unrest resulted in the emergence of a national discourse around critical issues including the unequal redistribution of resources and rising cost of living and political governance concerns regarding the Executive's monopolization of power, the perceived lack of accountability and culture of impunity and dissatisfaction with the performance of local governments.

According to the International Crisis Group's report dated January 28, 2015, the provisional government, with the help of its international partners, should manage the transition in an inclusive manner, initiate urgent reforms and ensure that the presidential and legislative elections of October 2015 allow for peaceful, democratic change.

- **Governance Risk:** The governance arrangements include a National Steering Committee including representatives of local communities. The following risks are identified: (i) change in legislation. There is a risk that the Government might undertake reforms pertaining to the current land laws which are favorable for the implementation of DGM activities; (ii) cooption or perception of reforms by certain stakeholders if the process (e.g., the election of a member of the National Steering Committee) is not perceived as fair; (iii) elite capture of the process and resources. This risk is related to the implementation of the Project and the capture of resources and control by a small group of individuals; and (iv) instability of associations. There is a risk of associations funded by the grant splitting into smaller groups during and/or after the grant funding has been allocated. Mitigation measures include: preparing well-designed consultation processes during project preparation, defining target beneficiaries and transparent rules to be followed throughout project implementation phases, referring to lessons learned from previous projects and preparation of a communication strategy and guidelines based on the social assessment and risk assessment. Finally: (i) use lessons learnt from previous CDD projects such as the Burkina Faso GEF Microfinance project and the Community Based Rural Development Project (PNGT 1, 2, 3); (ii) allocate enough capacity building resources to small organizations so that they have the capacity to apply for small grants; and (iii) design and publicize a grievance redress mechanism.
- **Macroeconomic Risk:** Achievement of the Project's PDO might be affected by the country's inability to maintain macroeconomic stability, in conformity with its program with the International Monetary Fund. Also, should a substantial reduction in development partner grants occur, there is a risk of increased burden on the country's budget. A close monitoring of the situation will be done by the team.
- **Sector Risk:** Land use and forest protection issues could be complex and slow the implementation of the Project. Also, the sub-region is increasingly facing natural disasters that cannot be ignored. Early participation of local communities and civil society in project preparation and implementation will help with the management of these risks. To cope specifically with the risk of natural threats, it is envisaged to identify areas of high exposure to such risks and prioritize resilience measures.
- **Project Design Risk:** There is a risk of collusion between members of the National Steering Committee and grantees and elite capture of resources and the process. Mitigation measures include preparation of country-specific guidelines (reflected in the PIM) based on risk assessment, careful design of the capacity building component, and intensive consultation processes to explain the objectives of the DGM in Burkina Faso. Training and awareness campaigns will be provided as part of the Project.

- **Capacity Risk:** There is relatively low capacity for managing World Bank-funded projects among local institutions. Capacity building to enhance the skills of community members and/or community-based entities to ensure that they are able to manage other grant mechanisms effectively will be built into the Project. Also, the National Executing Agency would have the requisite capacity to implement the project according to Bank operational policies (financial management, procurement, safeguards, etc.).
- **Sustainability Risk:** There is a risk that the low capacity of communities to effectively monitor activities will lead to ineffective implementation and limit the sustainability of activities. Applicants for grants for economic development and rural livelihoods and for sustainable management of forest landscapes will be required to demonstrate how their activities will be sustained after the grant cycle. The Project will put a strong focus on the quality of training offered so that communities are able to stand on their own after the Project has closed and do fundraising, for example, and enlarge collaboration with other projects and programs.
- **Fraud and Corruption:** Due to the nature of the Project (small grants) and the likely weak capacity of target beneficiaries to implement project activities, there is a chance that project funds may be misused. To manage this risk, the Project will establish a grievance redress mechanism for community members through which stakeholders can submit complaints, undertake robust information dissemination efforts, and prepare clear financial management procedures and conduct regular audits.

## VI. APPRAISAL SUMMARY

### A. Economic and Financial Analysis

53. **Project Strategy Analysis.** The project strategy is built on strengthening capacity development of local communities and civil society organizations and to provide them with necessary tools for sustainable natural resource management where forest management plays a key role. Therefore, the project design combines short term, medium and long term benefits for local communities. Moreover, the Project adopted a participative approach fully rooted in the decentralization process with strong involvement of local governments. Strengthening the role of local communities to improve their livelihoods through improved management of local resources is a relevant strategy to build community resilience. In the context of climate change and climate variability, forest management has a great impact on Greenhouse Gas (GHG) emissions reduction and provides adaptive measures that are worthwhile regardless of the extent of future climate change and can be justified from socioeconomic and environmental perspectives whether or not natural hazard events or climate change take place.

54. **Cost-Benefit Analysis.** Promotion of economic and livelihood activities in rural areas under Component 2 will be subject to a call for proposals to respond to the demands of local communities. Identification of implementation areas as well as sub-projects will undergo a participatory process with local communities. Therefore, project investments are not yet known and it is not possible to conduct a robust economic analysis. A detailed ex-ante cost-benefit

analysis of the Project would entail too many assumptions to be made, resulting in an unreliable scenario with few or no meaningful results.

55. **The Bank has relevant experience among vulnerable rural communities in Burkina Faso** through the programmatic Community-Based Rural Development Program (CBRD), a CDD project with experience of more than 15 years of implementation. Through this program, net present values (NPVs) and internal rates of return (IRRs) of the type of sub-projects that will be supported by the Project have been accurately calculated and net returns are consistently high. For instance, sub-projects related to sustainable land management helped to increase productivity of natural resources and improve pasture quality, which led to higher incomes and improved food security. Communities using soil and water conservation measures saw significant increases in millet, sorghum, and maize production, whereas degraded area restoration increased the returns in crop production by 66–71 percent. Those technologies are financially and economically sustainable and generated a high financial rate of return, and initial investments were recovered before two years.

56. **Areas with reduced degradation and/or afforested and forests provided with a management plan under the Project will increase the availability of wood and non-timber forest products** which will contribute to reinforce food security and increase incomes. Under the Burkina Faso Agricultural Productivity and Food Security Project, results show that communities adjacent to protected areas were able to triple their revenues within three years through income generation activities promoted by the Project. However, it is important to note that in some cases, it could be difficult to attach a monetary value and indirect benefits to some project impacts (such as stronger community participation) therefore it would be difficult to include in the quantifiable benefits which are nonetheless likely to be important to beneficiaries.

57. Based on this prior experience, the Project is expected to have positive results in terms of cost effectiveness, which will be monitored during project implementation.

58. **Co-benefit Analyses.** The qualitative aspects of the co-benefits generated by the Project are as follows: (a) Environmental: (i) conservation of greater biodiversity and increase in genetic flows in the forested areas of indigenous and traditional territories; (ii) protection of soils and water resources through improved and sustainable forest and land use management systems; and (iii) removal of significant amounts of carbon dioxide (CO<sub>2</sub>) from the atmosphere due to avoided deforestation and native forest restoration, etc. (b) Socioeconomic: (i) reduced vulnerability of local communities and improving their resilience to climate shocks; (ii) increased monetary and nonmonetary benefits for forest users due to livelihood diversification and sustainable forest/land use management systems; and (iii) enhanced adaptive capacity of local communities. (c) Institutional: (i) strengthened civil society organizations of local communities; (ii) increased engagement, participation, and voice of local communities in REDD+/climate change decision-making bodies at the local, national, and global levels; and (iii) enhanced partnerships between local communities.

59. **Public financing is justified for this project** as it aims to improve environment, land and forest management to improve livelihoods, living conditions and reduce greenhouse gas emissions

from land use change and deforestation. These results are mainly global public goods with substantial benefits accruing to the Burkinabé.

60. **The World Bank's value added for the Project** is founded in the Bank's comparative advantage as a key player in REDD+ through the FIP and FCPF, as well as its development partnership and investment engagement with countries. The Bank is in a favorable position to convene key stakeholders (governments, communities and other development partners) and facilitate constructive engagement on critical issues in the forests and climate change arena. In the context of the FIP and REDD+ in general, the Bank is already playing a leading role, working with governments, partner MDBs and civil society and private sector stakeholders to support the implementation of the FIP investment plans.

#### **A. Technical**

61. **The project design is grounded in lessons and knowledge produced under prior Bank-financed projects in Burkina Faso**, in other countries in Africa and worldwide. Learning from these experiences, the Project will work to develop the capacity of local communities and Civil Societies Organizations. The Project will fund micro-projects presented by local communities and eligibility criteria that have been developed in the Project Implementation Manual. These criteria will be used to appraise the technical quality of micro-project proposals to ensure adequate technical quality and consistency with the DGM objectives.

62. **The Project will be chaired by a National Steering Committee** composed mostly of Civil Society and local community representatives. It will be a new initiative and challenging partnership for which the PIM will provide a clear and precise guideline regarding the collaboration with the National Executing Agency.

#### **B. Financial Management**

63. A Financial Management (FM) assessment of IUCN-BF was carried out in January 2015 and found that IUCN-BF has adequate FM arrangements in place to ensure that project funds are used for the purposes for which the financing was provided, with due attention to considerations of economy and efficiency.

64. The assessment complied with the Financial Management Manual for World Bank-Financed Investment Operations effective since March 1, 2010 and World Bank Financial Management Assessment and Risk Rating Principles. The assessment found that IUCN-BF has: (i) an internal control system with a financial management policy "*Guide à l'attention des responsables d'unités du PACO – Juillet 2014*) and an Internal Auditor at the IUCN Headquarter and a Regional Financial Controller at IUCN-PACO; (ii) qualified FM staff; and (iii) a multi-projects computerized accounting system. In addition, the FM staff of IUCN-BF will be supported by the Finance and Administrative Unit of the IUCN-PACO, which is very familiar with Bank FM procedures and requirements.

65. **The conclusion of the assessment is that the financial management arrangements meet the Bank’s minimum requirements under OP/BP10.00.** The overall fiduciary risk rating is assessed as **Moderate**.

### **C. Procurement**

66. **Procurement for the project will be carried out in accordance with the World Bank’s** “Guidelines: Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers” dated January 2011, revised in July 2014 (Procurement Guidelines); and “Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers” dated January 2011, revised in July 2014 (Consultant Guidelines) and the provisions stipulated in the Grant Agreement. “Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants” dated October 15, 2006 and updated January 2011, shall apply to the Project. Except for the recruitment process for the National Executing Agency, the National procedures will be applied. Details of the procurement arrangements are provided in Annex 3.

67. **Assessment of Procurement Capacity and Risks:** IUCN-BF is selected as the National Executing Agency. The World Bank reviewed the selection process and found it acceptable. IUCN-BF will be directly responsible for procurement activities in component 3, and for components 1 and 2, selected beneficiaries will conduct the procurement process under IUCN-BF supervision, according to the Project Implementation Manual. In addition, IUCN-BF will assist and build the capacity of beneficiaries for contract management. The assessment conducted by the Bank found that IUCN-BF is well organized and has existing capacity to conduct procurement for contracts up to US\$3,000. For procurement of higher value, IUCN-BF is assisted by IUCN International. The weaknesses identified are: (i) the lack of capacity in IUCN-BF to monitor procurement and activities under components 1 and 2; and (ii) the lack of capacity of beneficiaries to properly conduct procurement for their own activities. The global unmitigated risk is considered to be **substantial** and the main risks are delays in project implementation and poor results particularly for components 1 and 2.

68. **Mitigation of Procurement Risks:** To mitigate the risks, the following actions are proposed: (i) the recruitment by IUCN-BF of an additional procurement specialist after project effectiveness with a minimum experience in Bank procedures and in capacity building; (ii) the elaboration of a manual of procedures (included in the PIM) where procurement processes to be implemented by beneficiaries are well described; and (iii) an annual procurement audit by an external auditor.

### **D. Social (including Safeguards)**

69. **The impacts of the Project on the target population are expected to be positive** because of the demand driven approach that the Project will follow. The Social Assessment carried out during project preparation allowed an inclusive consultation and participatory process in the target areas. The implementation of the activities will be based on a participatory process that will ensure



that all stakeholders will be able to express their views. The project team will include a social expert to monitor the implementation of the safeguard plans, especially the restriction of access. As part of a more extended grievance redress mechanism detailed in the Project Implementation Manual, the Project will contract an external independent evaluator over the lifetime of the Project, in charge of both analyzing the social dynamics at local level and interacting with the communities as an independent mediator in case of local conflicts. The DGM at the global level also has a GRM to which the country projects have access. The DGM in each country will have a country-based GRM which is linked to the global GRM. Pending the establishment of the planned national GRM under the REDD+ initiative that will be financed by the Decentralized Forest and Woodland Management Project resources, management of grievances and complaints stemming from the Burkina Faso Local Forest Communities Support Project will be conducted according to the procedure described in Annex 6.

70. **Land issues are very sensitive in the current context of Burkina Faso** and the Bank has extensively reviewed the implication of land based interventions in the context of the FIP. In some instances, there are real tensions between farmers and herders over access of cattle to water holes or grazing fields. In some of the proposed activities it might happen that this question of cattle passage will have to be negotiated between the parties. There is currently a structured approach to reach these agreements and reconcile differing points of view; these are the land charters (*chartes foncières*). The land charter is defined as "a local land convention inspired from customs, usages or local land practices established and aiming at taking into account the diversity of ecologic, economic, social and cultural contexts in rural areas" (Article 2 of the decree N°2010-400/PRES/PM/MAHRH/MRA/MECV/MCV/MEF/MATD relating to the development and validation methods of the local land charters). The development and validation of land charters follow a participatory and local process coordinated by the rural district. The Project will use this existing process in order to reach a consensus. In case of irreconcilable disagreements, the Project will not finance the corresponding activity.

71. **From a safeguards point of view, no involuntary resettlement of population will result from any activities financed by the Project**, but because of the access question described above, the safeguards policy of the World Bank (O.P. 4.12), Involuntary Resettlement, is triggered. In this case, the appropriate safeguards instrument is a Process Framework. This Process Framework describes the steps to identify and possibly resolve any situation of restriction of access that may appear.

72. **Specific attention will be given to gender issues.** The Social Specialist will coordinate all project gender-related activities and will also elaborate a specific roadmap for an explicit focus on the gender aspects in the Project, reporting to the Steering Committee on a regular basis on this roadmap.

#### **E. Environment (including Safeguards)**

73. **From the environmental and social perspective, the Local Forests Communities Support Project is categorized as Category B -partial assessment.** No significant negative environmental and social impacts are expected. The environmental and social impacts of the activities supported through component 2 will be limited, reversible and small scale. The Project will promote sound natural resources and livestock sustainable management in the five targeted

regions (East, Center-West, Boucle de Mouhoun, Center-South and South-West). These regions are the same as those covered by the ongoing FIP-Decentralized Forest and Woodland Management Project (P143993). These two projects are complementary, except that the institutional arrangements of the Local Forests Communities Support Project give the implementing responsibilities to Civil Society Organizations.

74. **A programmatic Environmental and Social Management Framework (ESMF) has been prepared** at the global level for the DGM as a whole and has been shared and reviewed by IPLC leaders during the first NSC session (Oct. 31 – Nov. 3, 2014). In addition, the Environmental and Social Management Plan (ESMP) developed and disclosed through the FIP-Decentralized Forest and Woodland Management Project (P143993) on November 8, 2013 will be applicable to this project.

75. **The ESMF concluded that the Project will lead to significant positive impacts** in the targeted areas through degraded soil restoration, water conservation, increased tree/shrub/grass cover, increased use of biological pest management and reduced deforestation and forest degradation. The ESMF also highlighted the risk of the agriculture expansion activities with negative impacts in forests areas, land degradation and increase of land conflicts due to population growth. The ESMF defines mitigation measures to be implemented during the project implementation period.

76. With regard of the Social Assessment carried out from September to October 2014 and the report presented to stakeholders in a National Workshop organized in Ouagadougou on October 15, 2014, it was revealed that local populations in several areas continue to use fire for ritual practice in the sacred forests. The practices unfortunately continue to degrade forest areas as it remains generally uncontrollable. The Project will work closely with identified communities to better manage these practices and reduce the forest degradation caused by ritual fires.

77. The following four safeguards policies triggered under this project are: Environmental Assessment (OP/BP 4.01); Natural Habitats (OP/BP 4.04); Involuntary Resettlement (OP/BP 4.12) and Forests (OP/BP 4.36). OP 4.10 on Indigenous Peoples is not triggered because there are no indigenous peoples in Burkina Faso as defined by the World Bank Policy.

78. **Consultation:** The preparation of safeguard instruments was subject to a large consultation process including a national consultation and participants expressed their overall support for the Project.

79. **Environmental Monitoring:** IUCN-BF, in coordination with the NSC, will be responsible for the implementation of the safeguard instruments including the insurance that all sub-projects are in compliance with the ESMF provisions. IUCN-BF will also work closely with the FIP-Decentralized Forest and Woodland Management Project (P143993) to benefit from the proposed compliance monitoring process, which consists of the recruitment of an external consultant every year to assess the progress. Considering the limited resources available for this project, it was agreed that IUCN-BF will contribute financially to the audit carried out by the FIP project consultant every two years. IUCN-BF will facilitate each year the FIP consultant activities by providing all relevant information related to the project implementation status. A compliance

monitoring report will be submitted to the Bank and to the National Bureau of Environmental Assessments (BUNEE).

80. **The ESMF and Process Framework, acceptable to the Bank, have been disclosed in Burkina Faso** through the website of the MERH ([www.environnement.gov.bf](http://www.environnement.gov.bf)) and through the World Bank InfoShop on November 8, 2013 and November 11, 2013 respectively. The Social Assessment was filed and disseminated in-country in February 2015. For the DGM context, these instruments were updated and disclosed on the IUCN website and InfoShop on July 10, 2015.

#### **F. World Bank Grievance Redress**

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

## Annex 1: Results Framework and Monitoring

### BURKINA FASO: Local Forest Communities Support Project

#### Results Framework

#### Project Development Objectives

##### PDO Statement

The objective of the Project is to strengthen the capacity of targeted local communities in the Targeted Regions of Burkina Faso to participate in REDD+ programs at local, national and global levels

**These results are at** | Project Level

#### Project Development Objective Indicators

Indicator Name	Baseline	Cumulative Target Values					
		YR1	YR2	YR3	YR4	YR5	End Target
Area restored or re/ afforested (Hectare) - (Core)	0	250	750	1,250	1,750	2,000	2,000
People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests (Number) - (Core)	0	0	2,000	4,000	6,000	8,000	8,000
Land users adopting sustainable land management practices as a result of the Project (Number) - (Core)	0	0	500	1,500	2,500	3,500	3,500
Participants in the capacity development activities with increased role in the FIP and other REDD + processes at local, national or global levels	0	50	60	70	80	90	90

(Percentage)							
Forest area brought under management plans (Hectare) - (Core)	0	0	30,000	40,000	50,000	50,000	50,000
Direct project beneficiaries (Number) - (Core)	0	10,000	20,000	30,000	40,000	50,000	50,000
Female beneficiaries (Percentage - Sub-Type: Supplemental) - (Core)	0	20	25	35	40	40	40

### Intermediate Results Indicators

Indicator Name	Baseline	Cumulative Target Values					
		YR1	YR2	YR3	YR4	YR5	End Target
Sub-projects successfully completed and achieved their objectives which are consistent with FIP objectives (Percentage)	0	0	50	50	50	50	50
Pastoralist and Traditional Communities representative organizations provided w/capacity building support to improve management of land uses (Number)	0	8	16	24	32	40	40
Forest users trained (Number) - (Core)	0	0	50	100	150	200	200
Forest users trained - Female (Number - Sub-Type: Breakdown) - (Core)	0	0	20	20	20	20	20
Forest users trained (Number - Sub-Type: Breakdown) - (Core)	0	0	30	30	30	30	30
DGM participants with increased role in the FIP and other REDD+ processes at local, national or global levels (Number)	0	7	14	21	28	35	35

Land tenure related activities implemented (Number)	0	0	2	5	8	10	10
Intended beneficiaries that are aware of project information and project supported investments (Percentage) - (Core)	0	20	40	60	80	95	95
Intended beneficiaries that are aware of project information and project supported investments - female (Number – Subtype: Supplemental) - (Core)	0	400	2,000	6,300	12,800	19,000	19,000
Intended beneficiaries that are aware of project information and project supported investments - male (Number – Subtype: Supplemental) - (Core)	0	1,600	6,000	11,700	19,200	28,500	28,500
Intended beneficiaries – female (number)	0	2000	5000	10500	16000	20000	20000
Intended beneficiaries – male (number)	0	8000	15000	19500	24000	30000	30000
Sustainable natural resource management activities implemented (Number)	0	0	4	6	10	14	14

### Indicator Description

#### Project Development Objective Indicators

Indicator Name	Description (indicator definition etc.)
Area restored or re/ afforested	<p><b>Area restored (ha):</b> restoration of degraded land where the objective is permanent improvement in the capacity of the forestland area to provide environmental, social and economic services.</p> <p><b>Area re/afforested:</b> establishment of forest through planting, and/or deliberate seeding on land that, until then, was not classified as forest” or “re-establishment of forest through planting and/or deliberate seeding on land classified as forest”. This can</p>

	include also assisted natural regeneration, coppicing or other locally appropriate methods.
People in targeted forest and adjacent communities with increased monetary or non-monetary benefits from forests	This measure covers the number of people in those targeted forest and adjacent communities that have increased monetary or non-monetary benefits from forests.
Land users adopting sustainable land management practices as a result of the Project	<p><b>Land users:</b> farmers, households, farmer organizations, communities, land owners, lessees, or customary holders of the land that benefited from SLM interventions.</p> <p><b>Sustainable land management practices:</b> SLM practices include technologies and approaches to increase land quality. The practice must be site-specific because different areas will require different interventions.</p> <p><b>Sustainable land management technologies:</b> include agronomic, vegetative, structural, and management measures for example, new seed variety, terracing, forestation, reduced tillage, micro-irrigation, fertilizer placement, livestock feeding schedule, feeding ingredients, etc.</p> <p><b>Sustainable land management approaches:</b> include ways and means of support that help to introduce, implement, adapt, and apply technologies in the field.</p>
Participants in the capacity development activities with increased role in the FIP and other REDD + processes at local, national or global levels	Increasing knowledge in the FIP and REED+
Forest area brought under management plans	<b>Forests brought under management plans:</b> total production, protection and other forest areas – but not designated protected areas – for which management plans have been prepared, endorsed and are also in process of implementation
Direct project beneficiaries	<b>Beneficiary:</b> In the broadest sense anyone benefiting from a project/program. In particular in the context of World Bank-financed operations, direct project beneficiaries are people or groups who directly derive benefits from an intervention (i.e., children who benefit from an immunization program; families that have a new piped water connection).
Female beneficiaries	Based on the assessment and definition of direct project beneficiaries, this supplemental indicator specifies the percentage of the beneficiaries that are female.

## Intermediate Results Indicators

Indicator Name	Description (indicator definition etc.)	Frequency	Data Source / Methodology	Responsibility for Data Collection
Sub-projects successfully completed and achieved their objectives which are consistent with FIP objectives	<p>Assessment of successful completion and achievement of objectives are based on the following criteria; (i) activity completed; (ii) fund disbursed; and (iii) results achieved.</p> <p>(1) Activities completed: all activities presented in the proposal of the sub-project are completed with the project period.</p> <p>(2) Results achieved: target(s) of indicator(s) on the sub-projects are mostly achieved.</p> <p>To be considered as “successfully completed and achieved their objectives”, the sub-project needs to fulfill both criteria, as documented by the National Executive Agency (NEA) and reviewed by National Steering Committee (NSC) in each pilot country. For the results to be considered as “mostly achieved” by the sub-projects the teams and NSC and NEA may decide what may be appropriate in each country project, based on the nature of activities financed.</p>	Annual.	<p><i>Data source:</i> List of all sub-projects supported</p> <p>Assessment document by National Executive Agency (NEA) and reviewed by National Steering Committee (NSC)</p> <p><i>Methodology:</i> Calculation based review of assessment document and count of successful projects and division of number of successful projects by total number of sub-projects x 100</p>	IUCN-BF
Pastoralist and Traditional Communities representative organizations provided w/capacity building support to improve management of land uses	This refers to the number of pastoralist and traditional communities’ representative organizations that have received capacity building through training as a result of the Project.	Annual.	<p><i>Data source:</i> Participants’ list of training events</p> <p><i>Methodology:</i></p>	IUCN-BF



			Count of pastoralist and traditional communities representative organizations	
Forest users trained (female, Ethnic minority/Indigenous people)	This refers to the number of forest users and community members that have received capacity building through training as a result of the Project.	Annual.	<p><i>Data source:</i></p> <p>Participants' list of training events</p> <p><i>Methodology:</i></p> <p>Count of number of trainees that are forest users</p> <p>Calculation by division of number of female participants (numerator) by total number of trainees (that are forest users)(denominator) x100</p>	IUCN-BF
DGM participants with increased role in the FIP and other REDD+ processes at local, national or global levels	They have the capacity to train other stakeholders in FIP and other REDD+ processes	Annual.	<p>Participants' list of FIP and other REDD+ processes at local, national or global levels</p> <p>Count of number of participants</p>	IUCN-BF
Land tenure related activities implemented		Annual.	<p>Series of activities</p> <p>Count number of activities organized</p>	IUCN-BF
Intended beneficiaries that are aware of project information and project supported investments	Intended beneficiaries: people or groups who are expected/targeted to benefit from the Project.	Annual.	<i>Data source:</i>	IUCN-BF

			<p>Sample-based survey on community awareness (details to be defined)</p> <p>(list of total intended beneficiaries)</p> <p><i>Methodology:</i></p> <p>Calculation by division of number of intended beneficiaries aware (numerator) by total number of intended beneficiaries (denominator)</p>	
Sustainable natural resource management activities implemented	Forest management, soil fertility initiative, agroforestry, etc.	Annual.	List of financed micro projects	IUCN-BF

## Annex 2: Detailed Project Description

### BURKINA FASO: LOCAL FOREST COMMUNITIES SUPPORT PROJECT

1. Consistent with the mandate in the Forest Investment Program Design Document, the DGM is to provide Indigenous Peoples and Local Communities (IPLCs) in the FIP countries a financing and learning mechanism for demand-driven initiatives. The DGM Program Development Objective is to strengthen the capacity of IPLCs to participate in the Forest Investment Program and other REDD+ programs at local, national and global levels.

2. **The Local Forest Communities Support Project (LFCSP)** in Burkina Faso was developed in accordance with the policy of the overall Dedicated Grant Mechanism (DGM) for Local Communities process worldwide. Given that LFCSP is designed and developed as part of the special window of the Forest Investment Program (FIP), its activities will be consistent with and complementary to the activities developed under the Burkina Faso FIP. This project will be implemented by the civil society in favor of beneficiary local populations of the concerned areas. Activities that will be implemented as part of LFCSP will be funded up to US\$4.5 million through the components listed below:

#### **Component 1: Development of managerial and technical capacities and skills of local communities. (US\$1.0 million).**

3. The purpose of this component is to build the capacity of targeted local communities. This component will be subdivided into two sub-components:

*Sub-component 1.1: Development and implementation of a training plan and provision of training to local communities and organizations and development of a communication plan for local communities and organizations, for the Project, including a website (US\$928,000).* This component will support the development and implementation of a training plan adapted to the needs of communities as well as implementation support to organizations in order to ensure proper implementation of micro-projects as identified in Component 2. Moreover, the training plan is going to integrate thematic issues in relation with aspects of climate change risks and resilience techniques to alleviate their negative impacts in order to help these communities get involved and actively participate in national and international debate. These trainings will complement the trainings planned as part of the FIP and will focus on target populations.

4. *Training for community preparedness for the implementation of income-generating activities, land tenure security and sustainable management of natural resources.* Under this component, a training plan tailored to the needs of communities and organizations supporting implementation of micro-projects identified in Component 2 will be elaborated. Trainings offered will complement the training provided under the FIP project, and will integrate issues related to climate change and techniques to alleviate its negative impacts.

#### **Indicative list of trainings**

- Training of primary and secondary school teachers for better ownership of environmental issues;

- Capitalization of traditional knowledge and practices (land, agriculture, forestry and culture);
- Training for grassroots communities;
- Organizational capabilities (leadership, advocacy, and communication);
- Financial and accounting management (finance, accounting, commerce, business loans, etc.);
- Conflicts and complaints management; adaptation to and mitigation of climate change effects, sustainable natural resource management, etc.);
- Legislation (on land tenure, environment and forestry, etc.);
- Technique of good agricultural practices for water and soil conservation (technique of sustainable soil fertilization, agro forestry);
- Training for support organizations;
- Project development, implementation and monitoring-evaluation, negotiation and advocacy techniques; partnership seeking, conflicts and complaints management, adaptation to and mitigation of climate change effects, sustainable natural resource management, etc.);
- Financial and accounting management (finance, accounting, commerce, etc.);
- Legislation (on land tenure, environment and forestry, etc.);
- Good agricultural practice techniques for water and soil conservation (sustainable soil fertilization technique, agro forestry).

5. **Finally, this sub-component will allow the preparation of a communications plan** to be implemented during the life of the Project. The communications plan will include the creation of a web site, among other things. The activities under this plan will be funded under Component 3.

*Sub-component 1.2: Development and implementation of a consultation plan and provision of support for the participation of representatives of local communities in discussions related to REDD+ and climate change at national and international levels (US\$72,000).* This sub-component will support the preparation and implementation of a local communities' consultation plan to ensure the effective participation of their representatives in the debate at national, sub-regional and international levels. The point will be to ensure that local communities consult with their representatives before holding the fora. Development of the consultation plan should comply with the principle of free, prior and informed consultation.

**Component 2: Support for the development of economic and sustainable natural resource management activities (US\$2.7 million).**

6. The purpose of this component is on the one hand to support the implementation of activities promoting the improvement of the targeted local communities' incomes, and on the other hand to promote the implementation of actions likely to ensure a sustainable natural resource management and improve living conditions in the target villages. The component will be divided into two sub-components:

*Sub-component 2.1: Provision of Sub-Grants to support activities relating to income generation and livelihood development activities ("Livelihood Subprojects") (US\$1,022,000).* This sub-

component will support the implementation of income generating activities identified by target communities. The eligible activities will be those listed as part of a non-exhaustive positive list of activities with a minimally negative socio-environmental impact. The indicative positive list of these activities will be consistent with and complementary to the activities of the eligible sub-projects under the FIP. All the sub-projects under this sub-component will be subject to a call for proposals. The activities list below shows a non-exhaustive list of thematic issues which may deserve funding proposals according to criteria defined by the National Executing Agency in consultation with the NSC.

### **Eligible Activities for DGM Funding**

- Valorization of handicraft products
- Establishment of community cyber shops
- Promotion of non-timber forestry products (processing, marketing)
- Promotion of livestock activities (processing, marketing)
- Promotion of agro forestry (tree nurseries.....)
- Promotion of agricultural products and by-products (processing, marketing)
- Promotion of renewable energies (biogas plants, improved stoves....)

### **Ineligible Activities for DGM Funding**

The following activities will be ineligible for funding by the DGM:

- Purchase of land
- Activities carried out in relation to adjudication of lands under dispute
- Activities adversely affecting local communities, or where communities have not provided their broad support. Evidence of such broad community support may be explained in the project proposal, or presented in the form of a letter with the proposal
- Removal or alteration of any physical cultural property (includes sites having archeological, paleontological, historical, religious, or unique natural values)
- Conversion, deforestation or degradation or any other alteration of natural forests or natural habitats including, inter alia, conversion to agriculture or tree plantations
- Financing of elections or election campaigning
- Purchase of arms or ammunitions.

**The DGM project for Burkina Faso was developed in line with the overall DGM process globally under the FIP project.**

***Sub-component 2.2: Provision of Sub-Grants to support activities relating to sustainable natural resource management and land tenure activities, such as training, sensitization, study tours, and translation and dissemination of land related laws (“Natural Resource Management Subprojects”)*** (US\$1,678,000). This sub-component aims at supporting the implementation of sustainable natural resource management and land tenure related activities which are not necessarily direct income generating sources for neighboring communities such as training and sensitization, study tours, translation and dissemination of land related laws, etc. These sub-

projects should respond to an established environmental concern or to activities requiring extension so as to perpetuate what is acquired. The sub-projects to be implemented as part of this sub-component will not be subject to a call for competition, given their priority nature but will be subject to a participatory identification and prioritization to be conducted by the National Executing Agency in consultation with the National Steering Committee and the adjacent communities. The short listed sub-projects should have a tangible impact on the ecosystems as well as the neighboring communities.

7. The list below of examples of the thematic issues that might deserve funding proposals based on criteria that will be defined by the National Executing Agency in consultation with the NSC is non-exhaustive and indicative:

- Creation of village and commune forests
- Creation of tree nurseries
- Creation of orchards including those of medicinal plants
- Agroforestry and water and soil conservation activities (RNA, good agricultural practices, accelerated production of organic manure, zai, quickset hedges, etc.)
- Promotion of environment related education activities, (training of primary and secondary school teachers, creation of groves, creation of school tree nurseries, etc.) for a better ownership of environmental issues
- Forest development (RNA, firewalls, reforestation, pathways, etc.)
- Water resource infrastructure development, (water retention, retention basins, boulis, etc.)
- Soil and water conservation infrastructures (stony cords, zaï, half-moons, etc.)
- Pastoral infrastructures (grazing spaces, entrance corridors, etc.)
- Promotion of renewable energies (biogas plants, improved stoves, solar stoves, etc.)
- Promotion of local land charters (consensual local rules of natural resource management.)

### **Component 3: Coordination, management, monitoring and evaluation (US\$0.8 million).**

8. This component will ensure the effective functional planning of the project activities, the monitoring and evaluation, the NSC and NEA operating costs (relevant human resources, materials and equipment, including vehicles, etc.), the implementation of communication activities, including the capitalization and dissemination of experiences (group) as defined in Sub-component 1.1., the financial and technical audits as well as the management cost of the NEA.

9. **The NEA will serve as the secretariat of the National Steering Committee (NSC)** and will define criteria for the review and evaluation of risk rating at national level, and provide operational and financial reports to the World Bank.

10. **The project team will include a social expert to monitor the implementation of the safeguard plans**, especially the restriction of access. As part of a more extended grievance redress mechanism that will be detailed in the Project Implementation Manual, the Project will contract an external independent evaluator over the lifetime of the Project, in charge of both analyzing the social dynamics at local level and interacting with the communities as an independent mediator in case of local conflicts.

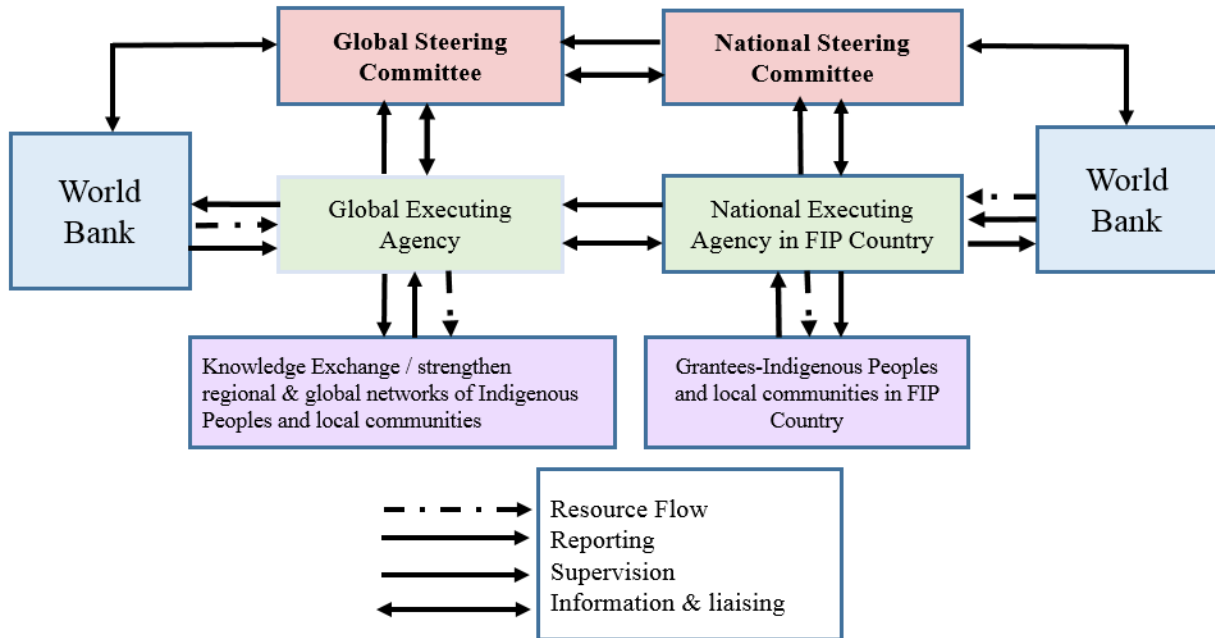
### Annex 3: Implementation Arrangements

#### BURKINA FASO: LOCAL FOREST COMMUNITIES SUPPORT PROJECT

##### Project Institutional and Implementation Arrangements

1. **Each FIP pilot country will have a National Steering Committee (NSC)** and a National Executing Agency (NEA). The NEA and the Global Executing Agency (GEA) will support the NSC and the Global Steering Committee (GSC) respectively, and will implement the program and handle the fiduciary implementation. Advantages of this governing model are the following: (i) empowerment at the local level as LCs lead the steering committee; (ii) flexibility: LCs and other stakeholders work together to define the most appropriate activities under the DGM in the country, in line with the Framework Operational Guidelines; (iii) segregation of functions to avoid conflict of interest: administration and fiduciary functions are kept separate from decisions related to grant-making; and (iv) partnerships: Both the GSC and the NSC are multi-stakeholder bodies.
  
2. **This project is the national program of Burkina Faso.** The institutional arrangements for the DGM are based on the principle of being for local communities by local communities, in collaboration with the Government of Burkina Faso at the national and sub-national levels as well as development partners and other important stakeholders. The graph below represents the linkages between the Global and National Components of the DGM.

**Figure 2: Institutions Involved in the Governance and Management of the DGM**



3. **Government Agencies.** The Ministry of Environment and Fisheries Resources (MERH) is the arm of the Government overseeing the implementation of the FIP as well as leading the REDD+ process. As such they are key stakeholders in the DGM as there are intrinsic linkages between the FIP and the DGM. At the local and commune levels, local authorities will also be important partners at the community level.

4. **The National Steering Committee will have oversight of the DGM implementation** in the countries. Its members were selected through a self-selection process at sub-national and national levels. They will provide, assisted by the NEA, a semi-annual report on the implementation of the program to the GSC. Their main function will be to select proposals to award the grants and monitor progress of the projects. The NSC will liaise with the national REDD+ coordination committees or equivalents and ensure that DGM lessons are transmitted to ongoing national processes. Members will also actively seek feedback from the LCs on the program, identify needs and collect and send ideas to the GSC to be supported by the global component and represent the country in the GSC as required. The NSC will have majority of LC members as the decision-making members. Observers in the NSC will be from the Government, private sector, MDBs and other agencies as appropriate. The final size of the NSC will be determined by the stakeholders in the country. Members of the NSC will act in their individual capacity and not as agents, officers or representatives of the GEA, NEA, WB, AfDB, member countries of the FIP Sub Committee, beneficiary countries or any other organization or entity. The NSC is a sub-group of the National CSO Platform for REDD+ and Sustainable Development whose status has been submitted to the Government for formal recognition as an Association according to the laws of Burkina Faso.

5. The **National Executing Agency** will be the secretariat for the NSC and it will facilitate the work of the NSC, develop country-specific review and risk assessment criteria, and provide operational and financial reporting to the World Bank which is responsible for the DGM in the country. Under the overall direction of the NSC, the NEA will be responsible for entering into agreements with and disbursing funds to grant beneficiaries as well as for monitoring of implementation of grant funded projects and ensuring appropriate use of DGM funds. The NEA will complement the framework operational guidelines with country-specific procedures (reflected in the PIM) so that the DGM can be implemented in line with national circumstances and requirements. The NEA will also maintain documentation of the country DGM projects, follow the communications strategy in coordination with the GEA, manage grievance and complaints redress processes and respond promptly to queries and coordinate with and send information as requested to the GEA.

6. **Selection of National Executing Agency was done through a competitive process.** The World Bank will enter into agreement with the selected agency. The NEA will report back to the World Bank on the progress, safeguards and fiduciary aspects of the program. One representative from the World Bank and one from the African Development Bank will be observers in the National Steering Committee.



## Financial Management, Disbursements and Procurement

### *Financial Management*

7. A Financial Management (FM) assessment of IUCN-BF was carried out in January 2015.
8. The objective of the assessment was to determine whether IUCN-BF has adequate FM arrangements in place to ensure that the Project funds will be used only for the purposes for which the financing was provided, with due attention to considerations of economy and efficiency.
9. The FM assessment considers, based on the existing FM arrangements, the degree to which (a) the budgeted expenditures are realistic, prepared with due regard to relevant policies, and executed in an orderly and predictable manner, (b) reasonable records are maintained, (c) financial reports are produced and disseminated for decision-making, management, and reporting, (d) adequate funds are available to finance the Project, (e) there are reasonable controls over Project funds, and (f) independent and competent audit arrangements are in place.
10. The assessment found that IUCN-BF has: (i) an internal control system with a financial management policy “*Guide à l’attention des responsables d’unités du PACO – Juillet 2014*) and an Internal Auditor at the IUCN Headquarter and a Regional Financial Controller at IUCN-PACO; (ii) qualified FM staff; and (iii) a multi-projects computerized accounting system. In addition, the FM staff of IUCN-BF will be supported by the Finance and Administrative Unit of the IUCN-PACO, which is very familiar with Bank FM procedures and requirements.
11. The conclusion of the assessment is that the financial management arrangements meet the Bank’s minimum requirements under OP/BP10.00.

### **Financial Management arrangements**

12. **Internal control:** The Project will rely on the existing internal control system comprising a financial management policy “*Guide à l’attention des responsables d’unités du PACO – juillet 2014*), an internal auditor at the IUCN headquarter, and a regional financial controller at IUCN-PACO.
13. The IUCN-PACO Financial management guidelines dated July, 2014 « *Guide à l’attention des responsables d’unités du PACO – Juillet 2014* » is appropriate to manage the project funds. The Project will develop specific financial management procedures for sub-grants as part of the Project Implementation Manual.
14. The Internal Auditor - IUCN-PACO Financial Controller will be in charge of the internal audit function of the Project. The Project will furnish to IDA, no later than 30 days following the end of each quarter, a copy of the internal audit report which summarizes the key findings of the reviews completed during the quarter.

15. The FM staff comprises one Finance and Administrative Officer, an Accountant and an Accountant Secretary. This team has sufficient qualification to manage the FM activity of the Project. Due to the lack of requisite experience of the FM team on IDA FM procedures, the team will be assisted by the Finance and Administrative Unit of the IUCN-PACO.

16. **Planning and Budgeting:** The Project will rely on IUCN-PACO Financial management guidelines dated July, 2014 « *Guide à l'attention des responsables d'unités du PACO – Juillet 2014* » for the purpose of activities planning and budgeting. The Project will be required to prepare and submit to IDA before the end of each calendar year, a detailed annual work plan and budget (PTBA) as well as a disbursement forecast.

17. **Accounting:** The Project accounts will be maintained on a cash basis, supported with appropriate records and procedures to track commitments and to safeguard assets. Also, IUCN-BF computerized accounting system (Sun System) is fully operational and has a multi-projects and multi-site functionality to capture the Project's financial data. A new Enterprise Resource Planning (NAVision) was set up in June 2015 and includes the following modules: accounting, procurement, contract management, assets management.

18. **Financial reporting:** IUCN-BF will submit an Interim Financial Report (IFR) to the Bank within 45 days after the end of each quarter. The Project will use the IFR format of the “Scaling up the impacts of good practices in linking poverty alleviation and biodiversity conservation Project – P119952”.

The IFR will include:

- A *Sources and Uses of Funds Statement*, both cumulatively and for the period covered by the report;
- A *Uses of Funds by Components Statement*, cumulatively and for the period covered by the report;
- The designated account reconciliation;
- The disbursement forecasts of the upcoming six months;
- Explanation of variances between actual and planned disbursements.

19. IUCN-BF will produce the Project's Annual Financial Statements. The Financial Statements will comprise:

- A Statement of Sources and Uses of Funds which recognizes all cash receipts, cash payments and cash balances
- A Statement of Commitments
- Accounting policies adopted and explanatory notes
- List of assets
- A Management Assertion that project funds have been expended for the intended purposes as specified in the relevant grant agreement.

20. **Auditing:** IUCN-BF will submit audited Project Financial Statements (PFS) satisfactory to the World Bank within six (6) months after the end of each fiscal year. A single opinion on the Audited Project Financial Statements in compliance with International Federation of Accountant (IFAC) will be required. In addition, the external auditors will prepare a Management Letter giving observations and comments, and providing recommendations for improvements in internal control and compliance with financial covenants in the Financial Agreement.

### Disbursements arrangements

21. **Disbursements under the Project will be carried out in accordance with the provisions of the Disbursement Guidelines** (“*World Bank Disbursement Guidelines for Projects*, dated May 1, 2006”), the Disbursement Letter and the Grant Agreement.

*Designated Account:* A designated account (DA) for the Project will be opened in the Bank of Africa Burkina. This Bank meets the World Bank standards.

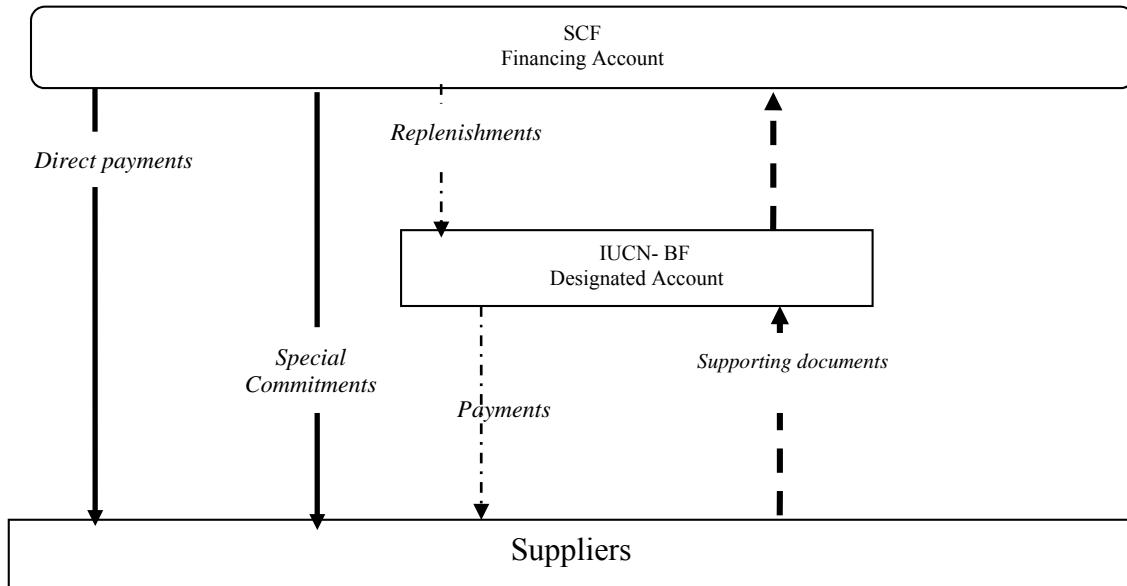
*Disbursement Methods:* Disbursement methods are indicated in the Disbursement letter.

*Designated Account Replenishment and documentation:* The DA will be replenished through the submission of withdrawal applications on a quarterly basis by IUCN-BF. Replenishment (requests for reimbursement) and reporting on the use of advances will be accompanied by the interim unaudited financial report used for financial reporting and records required by IDA for specific expenditures in the Disbursement Letter. All supporting documentation will be retained by IUCN-BF and must be made available for periodic review by Bank’ missions and external auditors.

**Table 1: Disbursement Categories**

<b>Category</b>	<b>Amount of the Grant Allocated (expressed in USD)</b>	<b>Percentage of Expenditures to be Financed (inclusive of Taxes)</b>
(1) Goods, works, non-consulting services, consultants’ services, Training and Operating Costs under Parts 1 and 3 of the Project	1,606,000	100%
(2) Sub-Grants under Part 2 of the Project	2,894,000	100% of amounts disbursed, payable under the respective Sub-Grant Agreements
<b>TOTAL AMOUNT</b>	<b>4,500,000</b>	

**Figure 3: Funds Flow Chart**



**Implementation Support Plan**

22. **Based on the outcome of the FM risk assessment, the following implementation support plan is proposed.** The objective of the implementation support plan is to ensure that the Project maintains a satisfactory financial management system throughout its life.

**Table 2: Implementation support plan**

<b>FM Activity</b>	<b>Frequency</b>
<u>Desk reviews</u>	As needed
Interim financial reports review	Quarterly
Review of the audited financial statements (audit reports)	Annually
Review of other relevant information such as interim internal control systems reports.	Continuous as they become available
<u>On site visits</u>	
Review of overall operation of the FM system	Implementation Support Mission: First year : two missions After year 1: one mission per year.

Monitoring of actions taken on issues highlighted in audit reports, auditors' management letters, internal audit and other reports	As needed
Transaction reviews	As needed
<u>Capacity building support</u>	
FM training sessions	During implementation and as needed.

## Procurement

23. **Procurement for the Project will be carried out in accordance with the World Bank's "Guidelines: Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers" dated January 2011, revised in July 2014 (Procurement Guidelines); and "Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers" dated January 2011, revised in July 2014 (Consultant Guidelines) and the provision stipulated in Financial Agreement. "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants" dated October 15, 2006 and updated January 2011, shall also apply to the Project.** The various procurement actions under different expenditure categories are described in general below. For each contract to be financed under the Grant Agreement, the various procurement or consultant selection method, the need for pre-qualification, estimated costs, prior review requirements, and time frame have been agreed between the Borrower and the Bank in the draft Procurement Plan dated August 6, 2015. The Procurement Plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity. The Project Implementation Manual (including the manual of procedures) was validated by the NSC and describes simple procurement methods to be used for activities of components 1 and 2 implemented by beneficiaries.

24. ***Procurement of Works, Goods and non-consulting services:*** Works, Goods and non-consulting services procured under this project will include office equipment. Procurement will be done under International Competitive Bidding (ICB) or NCB using the Bank's Standard Bidding Documents for all ICB and NCB. Small value procurements for works and goods may be procured under shopping procedures. Direct contracting may be used where necessary if agreed in the procurement plan in accordance with the provisions of paragraph 3.7 to 3.8 of the Procurement Guidelines. There are no works planned under this Project.

25. ***Selection and Employment of Consultants.*** Consultancy services would include studies, advisory services, and audits. The selection method will be Quality and Cost Based Selection (QCBS) method whenever possible. Contracts for specialized assignments estimated to cost less than US\$200,000 equivalent may be contracted through Consultant Qualifications (CQ).

26. The following additional methods may be used where appropriate: Quality Based Selection (QBS); Selection under a Fixed Budget (FB); and Least-Cost Selection (LCS). Single Source

Selection (SSS) may be employed with prior approval of the Bank and will be in accordance with paragraphs 3.8 to 3.11 of the Consultant Guidelines. All services of Individual Consultants (IC) will be procured under contracts in accordance with the provisions of paragraphs 5.1 to 5.6 of the Guidelines.

27. **Manual of procedures:** The elaborated manual of procedures (included in the PIM) will describe simple procurement methods to be used for activities of components 1 and 2 implemented by beneficiaries.

28. **Operating Costs:** Operating costs shall consist of operations and maintenance costs for vehicles, office supplies, communication charges, equipment, utility charges, travel expenses, per diem and travels costs, office rental, training costs, workshops and seminar and associated costs, among others.

29. **Training and Workshops:** Training and workshops will be based on capacity needs assessment. Detailed training plans and workshops activities will be developed during project implementation, and included in the annual work plan and budget for World Bank’s review and approval.

30. **Assessment of Procurement for Capacity and Risks:** IUCN-BF is selected as the National Executing Agency. The World Bank reviewed the selection process and found it acceptable. IUCN-BF will be directly responsible for procurement activities in component 3, and for components 1 and 2, selected beneficiaries will conduct procurement process under IUCN-BF supervision according to the Project Implementation Manual. In addition, IUCN-BF will assist and build capacity of beneficiaries on contracts management. The assessment conducted by the World Bank found that IUCN-BF is well organized and has existing capacity to conduct procurement for contracts up to US\$3,000. But for important actives, IUCN-BF is assisted by IUCN international. The weaknesses identified are: (i) the lack of capacity in IUCN-BF to monitor procurement and activities under components 1 and 2; and (ii) the lack of capacity of beneficiaries to properly conduct procurement for their own activities. The risks are evaluated to be *Moderate* for IUCN-BF and *High* for Beneficiaries. The global unmitigated risk is considered to be *Substantial* and the main risks are delays in project implementation and poor results particularly for component 1 and 2.

31. **Mitigation of Procurement Risks:** To mitigate the risks, it is proposed: (i) the recruitment by IUCN-BF of an additional procurement specialist with a minimum experience in Bank policies and in capacity building; and (ii) an annual procurement audit by an external auditor.

### Summary of Mitigation Measures

Ref.	Tasks	Responsibility	Comments / Due date
1	Hire an additional procurement specialist	IUCN-BF	No later than 45 days after effectiveness
2	Recruit a consultant to conduct annually a procurement audit on Beneficiaries’ activities	IUCN-BF	3 months after effectiveness

32. **Procurement plan:** IUCN-BF has developed a draft procurement plan acceptable to the Bank for the first 18 months of the project implementation with the basis for the procurement methods for each contract. Immediately upon approval of the Grant, with the Recipient's agreement and following revisions if needed, the plan will be published on the Bank's public website and IUCN's intranet website. The procurement plan will be updated in agreement with the Bank on an annual basis or as required, to reflect the actual project implementation needs and improvements in institutional capacity.

33. **Fraud, Coercion, and Corruption:** All procuring entities, as well as bidders, suppliers, and contractors shall observe the highest standard of ethics during the procurement and execution of contracts financed under the Project in accordance with paragraphs 1.16 & 1.17 of the Procurement Guidelines and paragraphs 1.23 & 1.24 of the Consultants Guidelines.

34. **Frequency of Procurement Implementation Support:** In addition to the prior review as indicated in the procurement plan, the preliminary capacity assessment of the implementing agency recommended supervision missions to visit the field once a year and to carry out post review of procurement actions once annually.

#### **Environmental and social (including safeguards)**

35. **The preparation of activities will be based on a participative process** to ensure that all stakeholders are able to express their views. The project team will include a social expert to monitor the implementation of the safeguard plans, especially the restriction of access. As part of a more extended grievance redress mechanism detailed in the Project Implementation Manual, the Project will contract an external independent evaluator over the lifetime of the Project, in charge of both analyzing the social dynamics at the local level and interacting with the communities as an independent mediator in case of local conflicts. Also, because ritual fires continue to degrade forests areas, the Project will work closely with identified communities to better manage these practices.

#### **Project Monitoring and Evaluation**

36. **A well-developed M&E system, complemented with close World Bank implementation support,** will aim to ensure that the Project reaches the targeted beneficiaries in a timely and efficient manner. M&E activities of the Project will aim to track activity outputs, measure indicators associated with outcomes, and provide greater in-depth study of any specific relevant topics. These activities will permit project staff to: (i) confirm that timing and nature of support provided to beneficiaries is consistent with the Project design and implementation manual; (ii) make mid-course corrections if any issues are found to hamper implementation; (iii) gauge progress toward outcomes; and (iv) understand any specific needs and dynamics that may become apparent over time.

37. **A project M&E specialist will be based in Ouagadougou** whose primary responsibilities will be to manage data generation, collection and analysis. This will include developing an overall M&E plan (including manuals, systems, and procedures). To ensure the cohesive and systematic implementation of M&E efforts, this expert will, within the first quarter of operation, develop a detailed monitoring and evaluation plan that specifies the frequency, timeline(s), and responsible parties for all activities and deliverables.

### **Role of Partners**

38. **The DGM will be implemented in close collaboration with the FIP** and, as such, IUCN-BF will consult on a regular basis with the FIP implementation unit to ensure that there is coherence between the two programs and avoid duplication. The FIP Coordination Unit and NSC and IUCN-BF will work on measurements and criteria that inform other programs and will assist in making the lessons as broadly relevant and transversally applicable as possible. Local partners and agencies may be called on to support M&E activities especially working with local communities on the auto-evaluations. The World Bank will work with the NSC and IUCN-BF to provide guidance on M&E as appropriate.



**Annex 4: Implementation Support Plan**  
**BURKINA FASO: LOCAL FOREST COMMUNITIES SUPPORT PROJECT**

**Strategy and Approach for Implementation Support**

1. **The project implementation approach responds to the risk profile of the Project** and has been developed based on the innovative nature of the activities financed.
2. **Procurement:** Implementation support will include: (i) provision of training to IUCN-BF staff as needed; (ii) reviewing procurement documents and providing timely feedback to IUCN-BF; (iii) providing guidance on the Bank's Procurement Guidelines to IUCN-BF; (iv) monitoring procurement progress against the detailed Procurement Plan; and (v) monitoring implementation of the contracts compliant with the World Bank's fiduciary guidelines as well as contract obligations.
3. **Financial Management:** Implementation support will include: (i) provision of training to IUCN-BF staff as needed; (ii) reviewing financial management documents and providing timely feedback to IUCN-BF, i.e., on accounting, reporting and internal controls; and (iii) providing guidance on the Bank's fiduciary guidelines as well as procedures spelled out in the Project Implementation Manual.
4. **Environmental and Social Safeguards:** Implementation support will include: (i) guidance on the preparation and disclosure of the Strategic Environmental and Social Assessment; (ii) guidance on the response to any inquiries from international NGOs related to safeguard application under this Project; and (iii) prior review of Terms of Reference against environmental and social safeguards.
5. **Legal support:** Implementation support will include verification that legal covenants have been met.
6. **Coordination between NSC and IUCN-BF:** Implementation support will include involvement of both entities in the planning of activities in the five regions and close collaboration to mitigate the risk of duplication.
7. **Mid-Term Review:** A Mid-Term Review will be carried out not later than three (3) years into project implementation. In preparation of the Mid-Term Review, an independent review of implementation progress will be carried out, including audits. Results will provide input to any potential project revisions or restructuring at the time. The Mid-Term Review will cover *inter alia* review of the results framework, risks, country ownership, stakeholder participation, financial management, procurement processing, and sustainability aspects.

***Implementation Support Plan***

8. **Implementation Support Arrangements:** The Project will require substantive technical support due to the rather complex and technical nature of the activities to be financed. It is

projected that a total of 12 to 15 implementation support missions will be required over the duration of the Project.

9. **Technical inputs needed:** Technical inputs would be provided by the Natural Resource Management Specialist. If and when needed, the task team will seek additional highly specialized technical inputs (in land tenure, social accountability, etc.) from technical partners through the FIP Project, for example.

10. **Fiduciary requirements and inputs:** Training will be provided by the Bank’s Financial Management Specialist and Procurement Specialist upon commencement and throughout Project implementation as needed. Both the Financial Management and the Procurement Specialist are based in the Country Office. While formal implementation support will be carried out semi-annually, fiduciary support will be provided on an “as needed” basis to support the Recipient in a timely and efficient manner.

11. **Safeguards:** Due to the very nature of the investments, the Project will need close safeguards supervision due to the high visibility of social aspects of the Project. As such, the Project will require supervision support from a senior safeguards specialist with experience in the implementation of similar projects.

#### **Implementation Support Focus Areas**

<b>Time</b>	<b>Focus</b>	<b>Skills Needed</b>	<b>Resource Estimate (staff weeks, SW)</b>	<b>Partner Role</b>
<b>First twelve months</b>	FM training and supervision	Financial management	3 SWs	
	Procurement training and supervision	Procurement	3 SWs	
	Technical supervision: technical aspects	Natural resource management, Safeguards	4-6 SWs	
<b>12-48 months</b>	FM training and supervision	Financial management	2 SWs	
	Disbursement monitoring	Finance	2 SWs	
	Safeguards monitoring	Safeguards	2 SWs	
	Procurement supervision	Procurement	2 SWs	
	Technical supervision: technical aspects	Monitoring and Evaluation	2 SWs	
<b>Other</b>				

12. Skills Mix Matrix

<b>Skills Needed</b>	<b>Number of Staff Weeks</b>	<b>Number of Trips</b>	<b>Comments</b>
Task Team Leader	12-15	Fields trips as needed	Regionally based staff
FM Specialist	2-4	Fields trips as needed	Country based staff
Finance Officer	2-4	Fields trips as needed	Country based staff
Procurement Specialist	2-4	Fields trips as needed	Country based staff
NRM Specialist	10-12	Fields trips as needed	Regionally based staff
Safeguards Specialist	4-6	Fields trips as needed	Regionally based staff
M&E Specialist	2-4	Fields trips as needed	Washington based staff

**Annex 5: Overview of DGM Process and NEA Recruitment Process  
BURKINA FASO: LOCAL FOREST COMMUNITIES SUPPORT PROJECT**

**Establishment of the National Steering Committee (NSC) and its Role**

1. **Under the framework of the operational guidelines of the DGM, the National Steering Committee (NSC) is the national DGM governance body.** In this capacity, it oversees the DGM implementation in the country. The NSC, aided by the National Executing Agency (NEA), transmits to the International Steering Committee (GSC) an interim report on the progress of the implementation of the program. The main functions of the NSC are: (i) select proposals; (ii) grant funding; and (iii) oversee the progress of projects. The NSC will participate in national REDD + Coordination Committees or their equivalents in Burkina Faso and will ensure that the lessons learned from the DGM are integrated in national processes underway. The NSC will actively solicit feedback from local people about the program, identify needs, collect ideas and bring them to the International Steering Committee (GSC) before validation by the international dimension. One or two members of the local population of the NSC will participate as members of the GSC.

**The establishment of the NSC process**

2. **Pursuant to the Global operational guidelines of the DGM,** the establishment of the NSC was done in a participatory and inclusive process.

3. **As soon as part of the Global operational guidelines of the DGM was approved** by the World Bank, several national and regional information workshops and consultations bringing together the stakeholders were organized. The consultation process actors, led by six (6) Civil Society Organizations (CSOs) under the leadership of the National Transitional Council, took place over a period of 15 months ranging from October 2013 to December 2014.

4. **The workshop of CSOs in Ouagadougou October 29, 2013 was the effective start of the process.** It allowed: (i) an upgrade on the progress of DGM process in Burkina Faso; (ii) presentation of the final version of CSOs part of DGM operational guidelines for its ownership; and (iii) adoption of a roadmap to inform and raise awareness in the target regions and consult on the establishment of the National Steering Committee. The following table summarizes the main steps of the process.

**Table 1: The NSC Process**

Dates	Activities
October 29, 2013	<ul style="list-style-type: none"> <li>• National Workshop of CSOs: presentation of the final version of the operational guidelines of the DGM and adoption of a mechanism to inform and raise awareness of the target regions and consult on the introduction of the NSC.</li> <li>• Extension of Transitional National Committee members to 6 (AMIFOB, NATURAMA, CPF, TFK, CSO Coalition on the CC)</li> </ul>

Dates	Activities
	<ul style="list-style-type: none"> <li>Defining a roadmap for implementing the NSC</li> </ul>
<b>November 2013-June 2014</b>	<ul style="list-style-type: none"> <li>Preparation of implementation of the budget of the roadmap</li> <li>Submitting a funding request to the WB through the DGM Country Manager</li> <li>Agreement of the WB</li> <li>Update of the roadmap and programming output regions</li> </ul>
<b>June-July 2014</b>	<ul style="list-style-type: none"> <li>Organization of 8 regional workshops in the 8 FIP antennas: Matiakoali, Nabilpaga, Toma, Tchériba, Tenado, Batié, Diébougou, Gaoua.</li> <li>Election of eleven (11) representatives of local people as members in the deliberative voice of the NSC.</li> </ul>
<b>July 30, 2014</b>	<ul style="list-style-type: none"> <li>National workshop in Ouagadougou involving CSOs, Government, Private Sector, Local authorities, technical and financial partners (MDBs)</li> </ul>
<b>September 3, 2014</b>	<ul style="list-style-type: none"> <li>Constituent General Assembly of the CSO platform on REDD + and sustainable development in the presence of representatives of the government (Ministry of Environment, Ministry of Economy), the private sector and the World Bank: adoption of the statutory texts, election management bodies, recommendation for the creation of the NSC as specialized committee of the platform</li> </ul>
<b>September 4, 2014</b>	<ul style="list-style-type: none"> <li>First session of the Board of Directors of the CSO platform and constitution of the NSC (quotas by category of actors)</li> </ul>
<b>September-December 2014</b>	<ul style="list-style-type: none"> <li>Letters from the CSO platform to the identified structures to nominate their representatives to the NSC as observers (government departments, private sector, local authorities, technical and financial partners).</li> <li>Appointment of representatives of the platform as members of the NSC.</li> </ul>

5. **Each regional workshop brought together on average 40 participants** as representatives of local populations of neighboring municipalities of concerned forests. Local authorities (municipalities, Mayors, administrators and politicians) and the local forest service were involved. The selection of participants was done in the context and socio-cultural realities of each FIP antenna. Overall, the following categories of stakeholders were represented: farmers, pastoralists, women, youth, hunters, loggers, processors of non-timber forest products, forest management groups, and traditional healers.

6. **Election of representatives of the local people in the steering committee.** Local people invited to regional workshops have appointed democratically (transparency, fairness,

accountability) representatives to the NSC. The following criteria agreed by consensus guided this designation:

- Belonging to an organization involved in the area;
- Being animated by good will;
- Being of good character;
- Having a solid experience in the field of local development in the area;
- Having a solid experience in the field of management of Natural Resources;
- Being available for NSC activities;
- Mastering computer skills;
- Having access to the Internet.

Consensus was the main method of appointment / election of representatives.

### **The composition of the NSC**

**7. The NSC is mainly composed of representatives of local populations** coming from the eight antennas and five FIP regions of the country in an equitable proportion with the size of the antenna (number of municipalities), socio-economic status and gender. This composition is the result of participatory dialogue led nationally by the extended transitional national committee.

**8. The NSC also includes observer members**, including representatives from government, civil society, private sector, local authorities (municipalities and regions), technical and financial partners (MDBs) and the NEA.

9. The NSC has a total of 25 members representing the different groups as follows:

- Members representing local people: 11 people
- Observers:
  - Organizations of civil society (4)
  - Government (4)
  - Private Sector (1)
  - Local authorities (regions, municipalities) (2)
  - National Agency of Execution (1)
  - Technical and financial partners (WB, AfDB) (2)

The Tables 2a and 2b (below) detail the composition of the NSC.

### **The creation of the platform: set up process, composition, role, connection with the NSC**

**10. The creation of the platform is the result of a recommendation** made at CSO national and regional consultation workshops by the CSO actors on the constitution of the NSC of DGM. This recommendation makes the National Steering Committee of DGM a specialized Commission of the platform.

11. The platform brings together CSOs and their networks, collectivities, coalitions, unions or federations operating in the environmental sector in general, forests and climate change in particular.

12. **Legally, the platform is a non-profit organization** governed by Law No. 10/92 ADP of 15 December 1992 concerning freedom of association, which gives it all the autonomy and recognition necessary to ensure the DGM appropriate institutional anchoring and thus ensure the sustainability of its achievements.

- (i) The platform is both an interface between government and civil society and an ongoing CSO consultation framework on REDD + Burkina's activities to give them more visibility, more cohesion and thus strengthen their credibility for better consideration by the authorities and the technical and financial partners.
- (ii) Persons and the following structures were elected to the Board of Directors and the platform Control Committee.

**Table 2a: Members of the Board of Directors**

<b>Position</b>	<b>Structure</b>	<b>Surname and Given name(s)</b>
President	Fondation NATURAMA	ZEBA Idrissa Idrissa LLTA
Vice President	Confédération Paysanne du Faso (CPF)	PORGO Issoufou
Secretary General	Table Filière Karité (TFK)	HIEN Dekouwin Magloire
Assistant Secretary General Deputy Secretary General	Association Nationale d'Action Rurale (ANAR)	OUEDRAOGO Ahmed
Cashier	Coalition des OSC sur le changement climatique (COS3C)	KY/THIOMBIANO Colette
Assistant Treasurer	Réseau Femme et Environnement (REFEN)	ZONOU/GORO Mariam
Secretary for Sustainable Development	GREEN CROSS BURKINA FASO	DIALLO Ousséni
Secretary for Gender and Social Inclusion	Amicale des Forestières du BURKINA FASO (AMIFOB)	SOME/SOME Cécilia

<b>Position</b>	<b>Structure</b>	<b>Surname and Given name(s)</b>
Secretary for Capacity Building	Association pour la Gestion de l'Environnement et le Développement (AGED)  (AGED)	Alain TRAORE
Secretary for Communications and Advocacy	Association TIN HINAN	SAOUDATA Aboubacrine
Secretary for Relations with Partners	Convention pour la Promotion d'un Développement Durable (COPROD)	BADO/SAMA Mossilo Hortense

**Table 2b: Members of the Control Committee**

<b>Position</b>	<b>Structure</b>	<b>Surname/Given name(s)</b>
Member	Centre Ecologique Albert Schweitzer (CEAS)	YARO Abdoul Kader
Member	Fédération Nationale des Organisations Paysannes (FENOP)	SANOUE Issouf
Member	Association pour l'Appui aux Initiatives Locales (APIL)	ZAMPOU Jean Luc

13. **Linkages between the platform and the DGM program.** The DGM Burkina Faso is in the Burkina Faso Investment Plan (approved in November 2012) and is an appropriate instrument for the implementation of REDD + in Burkina Faso. It will (i) increase the participation of local people in the FIP and REDD + at the local and national levels, (ii) strengthen the capacity of local people, and (iii) support their specific initiatives (improving forest local governance, limiting deforestation, forest restoration, etc.).

14. **Serving as an institutional anchor point to the DGM,** the platform of CSOs contributes to:

- Improving the legal / regulatory framework and political governance of forests
- Limiting the net deforestation and degradation (a) in state / regional forests and (b) in the lands of terroirs (community managed forests, fallow land, private land)



- Building capacity and enhance knowledge sharing to stimulate similar investments in the country and around the world

**Also, the National Steering Committee of the DGM is designed as a specialized committee** of the national platform. As such, the NSC will report on the implementation of its activities to the platform, which will promote a better valuation of achievements of the DGM in a perspective of sustainability.

### **Description of the National Executing Agency**

15. **In accordance with the operational guidelines of the DGM**, the National Executing Agency (NEA) is a non-profit organization with capabilities that meet the programmatic and fiduciary requirements of the World Bank. It will serve as the secretariat of the NSC and manage the DGM. In Burkina Faso, it was selected through a competitive process.

It is an organization with the following functions:

- Facilitate the work of the NSC
- Produce an operational and financial report for the World Bank
- Write the call for proposals
- Provide information and assistance necessary to beneficiaries
- Maintain dialogue with stakeholders
- Responsible for the supervision, reporting, fiduciary matters and environmental and social protection measures under the World Bank policies
- Comply with the existing legislation in the procurement of goods
- Disburse funds for projects selected by the NSC
- Monitor the funded projects and ensure the efficient use of funds
- Report to the NSC and World Bank
- Enforce the application of the communication strategy in coordination with the AIE
- Ensure the flow of information between the different stakeholders
- Manage the process for resolving grievances and complaints
- Coordinate the DGM with the Global Executing Agency (GEA)

### **Selection process of the National Executing Agency in Burkina Faso**

16. The following basic principles guided the process:

- Transparency
- Equal access for participants
- Broad participation
- Uniform application of rules for all participants

17. **The process was administered by the National Platform of Civil Service Organizations** on REDD + and sustainable development also known as the transitional NSC office. In accordance with the operational guidelines of the DGM, the World Bank approved the Terms of Reference for the recruitment of the NEA, as well as the process, selection criteria and the composition of the selection committee before the start of the selection.

18. To encourage broad participation, daily local media outlets were used to diffuse the information such as *Sidwaya*, *l'Observateur PALGA*, *Faso.net*. Also, a secretariat and a telephone contact number were created to make permanent the information available. Similarly, a work schedule was developed to carry out the various tasks related to the selection process (see Table 3 below).

**Table 3: Work Schedule of Selection Process**

<b>Calendar</b>	<b>Tasks</b>
05-08 Nov. 2014	Writing of the business case
10 Nov. 2014	Presentation of the business case
13 Nov. 2014	Meeting of the Selection Committee
15 Nov. 2014	Presentation of the business case amended
17 Nov. 2014	Duplication of business cases
17 Nov. 2014	Preparation of documents for opening
18 Nov. 2014	Opening of bids
19-22 Nov. 2014	Selection of candidates
24-27 Nov. 2014	Report writing, PV, offers
28 Nov. 2014	Delivery of documents
29 Nov. 2014	Mailing of publications
29 Nov. 2014	Mailing of letters to candidates
09 Dec. 2014	Presentation of the results of the working group selecting the NEA to the NSC transitional committee
09 Dec. 2014	Amendments of the work of the NSC transitional committee
January 2015	Submission of the recommendations of the selection committee to the pre-selected entity
January 2015	Submission of the Proposal for the selection of the Agency to the WB for no objection
January 2015	Fiduciary assessment of the Agency by the WB

**Table 4: Ad hoc group composition**

	<b>Name</b>	<b>Organization</b>
President	Porgo Issoufou	CPF
Secretary	Somé Cécilia	AMIFOB
Assessors	Bado /Sama Hortense	COPROD
Observers	Kaboré Sibiri	FIP Coordinating Unit
	DELOCHE Danielle	Resource Person

**19. IUCN, International Union for Conservation of Nature and Natural Resources (Burkina Faso)** has been based in Burkina Faso since 1985 and began its activities in 1990 by funding a program called "Natural Resource Management in southern Burkina Faso" (GRENASUB). Its vision is: *A just world that values and preserves nature*, and its mission is to promote a political, economic and social environment supportive of a management and a sustainable use of natural resources, soil conservation and biological diversity with and for the people. IUCN-BF aims to develop an effective partnership with all stakeholders (government, NGOs, private sector, etc.) to enable projects and programs to:

- Meet the needs of a sustainable development
- Respect and incorporate the values, priorities and local knowledge bases
- Reduce the vulnerability of local populations
- Promote the conservation of biological diversity as an essential element of the cultural, social, and economic development of communities and the participatory management of natural resources, forests and protected areas.

## **Annex 6: Project Redress Mechanism and Complaints Procedure** **BURKINA FASO: LOCAL FOREST COMMUNITIES SUPPORT PROJECT**

### **A. Complaint Handling Mechanism**

1. **Pending the establishment of the planned national Grievance Redress Mechanism** under the REDD+ initiative that will be financed by the Decentralized Forest and Woodland Management Project (PDGFEB) resources, management of grievances and complaints stemming from the Local Forest Communities Support Project (LFCSP) will be conducted according to the procedure described below.

2. **Local communities and other interested stakeholders may come to dispute** a grant agreement decision, their representation in the NSC or in the GSC, or the project governance. Irrespective of the nature of the grievance, the DGM should ensure that a transparent and equitable process is established to address each complaint. This section defines the complaint management framework as part of the DGM. The LFCSP Project Implementation Manual includes further details that will govern the functioning of this mechanism.

#### **Types of complaints and conflicts to resolve**

3. In practice, complaints and conflicts coming from local communities and interested stakeholders may appear at different stages of the Project:

- During project preparation
- During project implementation
- After project closure

#### *During project preparation*

Complaints and disputes might be related to the following points:

- The non-involvement of local communities in the project zone in project preparation
- Disagreement about the selection of the governing bodies
- Disagreement about the types of projects to finance
- Disagreement about project site selection
- Cases of conflicts of interest coming from project actors

#### *During project implementation*

Complaints and disputes might be related to the following points:

- The selection of beneficiaries to receive project funds
- Disagreement about project site selection
- Allocation of funds for sub-projects
- Delay in setting up funds for sub-projects
- The feeling of having been unfavorably treated throughout project implementation
- The interference of NSC in sub-projects management
- The cases of conflicts of interest coming from project actors
- Funds governance

- Lack of communication
- Elite capture (political interference)
- The non-mastery of funds disbursement procedures

*At the end of the project*

Complaints and disputes might be related to the following points:

- The non-compliance with the contract provisions governing the sub-projects financing
- The unfulfilled promise made by the National Executing Agency
- The unfulfilled promise made by the National Steering Committee
- The management of experiences acquired from sub-projects

4. The LFCSP will use a three-step complaint handling mechanism:

1. Record in writing all the complaints they receive
2. Encourage instant and on the spot complaint resolution, and
3. Publicly report the complaints received and the measures taken to address each of them.

## **B. Communication and access to information**

5. **LFCSP shall ensure easy and culturally appropriate access** to all information related to the program, the grant-funded projects, the status of project proposals submitted for study, and the focal points. This information will be disseminated through GEA's and IUCN's web sites, as well as through the radio, billboards in the communes and through other culturally adapted and used means of communication in the five regions of the project intervention zone. The documents and reports will be in French and if necessary translated into the local language.

6. **IUCN-BF and GEA will permanently remain open** to dialogue and will actively communicate with the stakeholders. The information in relation to LFCSP implementation will be shared with the stakeholders through the Web sites and during information exchange meetings organized for this purpose.

7. **IUCN-BF and GEA will regularly take stock of recorded feedbacks**, reply to questions and comments published on the web sites, and report the measures taken to NSC and GSC. This point is an important part of their responsibility under the DGM.

## **C. Complaints processing process**

8. As complaints might be very different in nature, they should be submitted to a specific body called Grievance Handling and Processing Unit within IUCN-BF comprised of two-level sub-teams:

- At the village level in the project intervention zones
- Within IUCN-BF - the complaint resolution head office

9. **The processing procedure should be transparent** in carrying out claim resolution operations. It is implemented so as to address efficiently and in a timely manner, the concerns formulated by plaintiffs.

### *Organization and responsibilities*

10. The structure is described as follows:

- At the level of IUCN-BF, two persons will be appointed, one at the secretariat in charge of typing, recording and filing the complaints and the other for processing each complaint, i.e., carrying out the analysis, interpretation, appreciation of the rightfulness of the complaint and the envisaged solutions. They will be provided with a record book for the purpose of recording the complaints lodged directly at their level.
- At the village level, a core body will comprise the village chief, two notables, a women's representative, a youth representative, and a member of the village community development. This committee stands as the conduit for people who cannot write and send their own grievances and it works in close cooperation with the communities in the project intervention zones.

11. **The complaint management Unit at IUCN-BF** must be able to give complete responses to the communities on a fast-track. Moreover, given the wide diversity of cases that will be submitted to the Unit, the skills of those people in charge of its functioning and the extent of their knowledge in their fields of action are major assets. The name and contacts of assigned employees will be displayed on the web site and in the project printed booklets. The employees in charge will receive the complaints and within a 10-business day deadline, will send a written response to the plaintiff in which they will provide details of the upcoming measures they will take, including the possible transmission of the case to the NSC or GSC complaint processing sub-committee, if necessary.

#### *With regard to the responsibilities:*

12. The IUCN-BF team will be in charge of:

- Ensuring the coordination of the complaint processing procedure
- Gathering and reviewing all information available on the matter of the complaint
- Drafting responses to be provided to the plaintiffs
- Attempting to settle issues from which claims stem
- Centralizing and objectively processing all the lodged complaints.

At the villages level the responsibilities include:

- Transcribing the complaints in the record book in case the complaint is lodged orally
- Receiving handwritten complaints
- Sending the complaints on a weekly basis to IUCN-BF for processing
- Receiving the solutions to the complaints and ensuring their dissemination to the plaintiffs.

13. **If IUCN-BF is not in a position to settle the issue**, the grievance should be transmitted to the NSC. If the NSC cannot handle the issue, then the grievance processing will be transferred to GSC. The deadline granted to the NSC to provide a response to complaints submitted to them will be defined in the LFCSP PIM. As GSC meets very rarely, a GSC grievance processing sub-committee will be set up on demand in order to process the complaints they receive.

14. **The LFCSP Project Implementation Manual will provide detailed contacts** of the persons authorized to collect the questions and complaints, as follows:

**Feedback and /or complaints on the DGM may be sent to:**

Name of Organization (NEA) and name of individual:

Address: \_\_\_\_\_

Email: \_\_\_\_\_

Phone number: \_\_\_\_\_

**Name of GEA and staff member:**

Address: \_\_\_\_\_

Email: \_\_\_\_\_

Phone number: \_\_\_\_\_

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

**15. IUCN-BF will record all the complaints** it receives using an online system accessible to the public, which will enable complaint monitoring. The system will monitor and report the:

- Number of complaints received
- Number and percentage of complaints for which an agreement was reached
- Number and percentage of complaints which were solved
- Number and percentage of complaints which were submitted for mediation
- Number and percentage of complaints for which an agreement was not reached

**16. The database will also identify issues which occur most frequently** and the geographical areas they most often emanate from. The information provided in the database should help IUCN-BF and GEA improve the mechanism and better understand and address the social impacts of the projects. All feedbacks and complaints will be published on the DGM web site and along with a complaint number to help the plaintiff follow-up the progress of their case. This information will be posted on billboards in the Communes' Town halls and at the headquarters of IUCN-BF.

**D. Evaluation, assignment, recognition**

17. If the complaint is related to decisions made by the NSC with regard to grant requests, the complaint will be transferred to them. In case it relates to World Bank policies, a representative of the country office might be invited by the NSC to attend its meeting with the view to interpret the concerned policy. If the grievance is not settled, the case will be submitted to the GSC complaint handling sub-committee.

**18. If the complaint is not part of the DGM operational attributions at country level**, but is rather in relation to (i) DGM policies as a whole, (ii) country DGM governance, or (iii) complaints that could not be resolved at lower levels, the case will be transferred to the GSC grievance handling sub-committee.

**E. Resolution and closure**

19. Case handling and closure should be completed within 30 days after receipt of the initial complaint by a staff member.

20. **The GSC and NSC complaint handling Sub-committee will propose** in any case, the possibility to resort to an independent mediation or to find another means to settle the litigation. Whether an agreement is reached through direct talks or after a mediation, all the supporting documents of the meetings which were necessary to reach the resolution should be kept in the complaint file. At all the stages of the process, IUCN-BF shall inform the World Bank office in Burkina about the case.

#### **F. Filing**

21. The Project will set up a hard copy and electronic filing system for complaint filing. This system will include two modules, a module for received complaints and a module for complaint processing. This system will allow access to information on: (i) received complaints; (ii) solutions found; and (iii) unsolved complaints requiring further interventions.



**Annex 7: Civil Society and Sustainable Development in Burkina Faso**  
**Situation and Mode of Functioning**  
**BURKINA FASO: LOCAL FOREST COMMUNITIES SUPPORT PROJECT**

**Concept of CSOs**

1. **There are a number of approaches to define ‘civil society’ in Burkina Faso<sup>3</sup>.** The concept can be defined as all non-governmental organizations of commercial and non-commercial nature whose actions have a significant impact on sustainable development. In Burkina Faso, Civil Society Organizations (CSOs) are divided into 11 components as follows:

**Table 1: The different components of CSOs**

<b>Number</b>	<b>Components</b>
1	Women's organizations
2	Research Institutes
3	Trade union organizations
4	Religious organizations
5	Associations for the defense of human rights and movements to specific claims
6	Professional media organizations
7	The youth organizations and movements
8	Organizations of marginalized People
9	Farmers' organizations
10	Sporting and cultural associations
11	NGOs and development associations

Source: archives and oral presentation (2015)

**Role and capacities of Burkinabé CSOs**

2. **In Burkina Faso, NGOs are involved in the design, implementation and policy monitoring** and evaluation, strategies, and action plans of projects and development programs. They pursue citizen monitoring activities, advocacy, outreach and communication for behavior change.

3. **CSOs played a decisive role in the popular uprising** which took place October 30-31, 2014. CSOs’ contribution to the toppling of the former political regime is a prime example of the dynamism, influence and presence of civil society in the process of socio-economic and political transformation.

4. **Today, CSOs in Burkina Faso have developed operational and financial management capabilities.** For example, in the field of natural resource management, there are over a hundred NGOs and platforms that benefit from funding from the State as well as from international organizations such as the European Union, the African Development Bank, the World Bank, etc.

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<sup>3</sup> Drawing on the work of CGD (2009)

Since April 1975, the Permanent Secretariat for Non-governmental Organizations (SPONG) has mobilized over 10 billion CFA Francs annually through varied actions for poverty reduction (PV / AGO - SPONG, 2009).

**5. At the national level, the various contributions of NGOs have allowed the country to get a respectable place** among the leading countries in sustainable promotion. The strategic support of CSOs should be noted in multilateral and bilateral negotiations within the framework of international agreements and international conferences which include: COP-15, UNFCCC, COP-18, Rio + 20 (Summit on Sustainable Development), etc.

### **Genesis of NGOs and Sustainable Development**

**6. In Burkina Faso, SPONG appears as a pioneer in the platforms of associations** working to promote sustainable development. Indeed, created in 1974, SPONG is the first platform for NGOs and private law associations, non-profit organization working in Burkina Faso.

**7. The socio-economic and environmental calamitous context generated by the great drought** of the early to mid-seventies (1970-1974) in the Sahel, led 17 NGOs to unite in the fight against desertification. Since then, several such initiatives have taken off with the creation of networks promoting climate change and sustainable development such as the coalition of CSOs on climate change, platforms for the promotion of sustainable development and the fight against climate change, etc.

### **Local associative network for climate change**

**8. Burkina Faso includes a large number of NGOs and Associations.** The field of natural resource management is covered by organizations engaged in income-generating activities, nature conservation, fight against greenhouse gas effects, pollution control, strengthening local institutional capacity, promoting an agriculture that respects the environment, advisory support to forest conservation, etc. Each of these associations is positioned and adopting various approaches regarding the specialization field. This pluralism is an obvious manifestation of the freedom of association guaranteed by several government initiatives and texts.

### **State Report / civil society and legal environment**

**9. In Burkina Faso, CSOs are seen as partners of the State.** This is part of the recommendations of the Cotonou Agreement, revised in June 22, 2010 in Ouagadougou, which provides for increasing participation of non-state actors (NSAs) in Asian, Caribbean and Pacific (ACP) countries in the development process. Considered as a key player in the development because of its close proximity to the people and their needs, NGOs are invited to participate in public activities alongside the State.

**Table 2: Brief Overview of Legislation Governing the Operation of CSOs**

<b>Year</b>	<b>Object</b>
<b>Law N / 014/99 / AN</b>	Regulation of cooperative societies and groups in Burkina Faso
<b>November 13, 2015</b>	Charter of the Burkinabè political transition organizing institutions
<b>Agreement of 22 June 2010</b>	Cotonou Agreement, revised in Ouagadougou on the participation of Non-State Actors (NSAs) in ACP countries in the development process
<b>Law 10-92 of 15 December 1992</b>	Freedom of association of different organizations and constituent associations of the society
<b>The 1993 Information Code</b>	Functioning of the media and the press
<b>Law O40 / 98 / Year 3 August</b>	Orientation of decentralization in Burkina Faso
<b>Law 041/98 / Year of August 6th, 1998</b>	Organization of territorial administration in Burkina Faso
<b>Law 042/98 / Year 6 August 1998</b>	Organization and functioning of local authorities
<b>Law 043/98 / Year of August 6th, 1998</b>	Programming of the implementation of the decentralization

Source: Literature review (2015)

## Annex 8: Map of DGM Intervention Zones

### BURKINA FASO: DGM - LOCAL FOREST COMMUNITIES SUPPORT PROJECT

