

PROJECT IMPLEMENTATION MANUAL

Agro-Climatic Resilience in Semi-Arid Landscapes (ACReSAL) Project

VOLUME I

DRAFT 1.0

5th May 2022

WELCOME TO PIM USERS

A welcome to PIM users! This Project Implementation Manual (PIM) is for use by different stakeholders involved in the implementation of the ACReSAL project in Nigeria. These include the Federal and State Government personnel, parastatals, consultants, associated academic institutions and collaborating NGOs. The intention is to provide a clear description of the project so each role-player can appreciate the scope of the project, and then identify their interest and role. Guidelines and approaches for actions and activities are set out.

What's in the PIM?

- Rationale for the project.
- Description of the project scope and components.
- Role-player interests and responsibilities.
- Guidelines & approaches for actions and activities.

Keeping your PIM live: The PIM is structured in separate Parts I - IV with additional info in the annexures. The PIM can be filed (e-book) with new and relevant information, such as updated GANTT-charts, pro-forma guidelines or memos, updated consultant TOR's etc., can be added as necessary. The PIM, if used in this way, responds to the need for a practical resource which can be personalized and updated frequently. In other words, this is a living document so as emerging issues are identified, the PIM can be updated.

Project description

Parts I - IV of the PIM contain the details of organizational implementation arrangements, and a description of theoretical and practical field methods that must be used. Update annually

GANTT Activity Charts

GANTT charts for each of the subcomponents are included in in the Annexes. These list specific tasks, their timing, and persons responsible for action. Update monthly

PIM Annexes

The remaining Annexes contain financial and technical details, guidelines and proformas, and consultants' TORs, among other supporting information. Add and amend as needed

Project Manuals and Resources

A range of project manuals and knowledge resources are available and filed individually to support project implementation and operational activities (e.g. M&E, Procurement, etc.).

Add and amend as needed

REVISIONS AND DOCUMENT CONTROLS

The master copy of this document containing latest revisions and inclusions is held by the National Project Coordinator in the office of the Federal Project Management Unit of the ACReSAL Project.

The document structure is divided into separate sections to allow easy revisions to be made and printed, if needed.

The master copy and record of revisions below should be updated with each revision, showing a progressive record of updates in the table below.

Date	Prepared by:	Filename of revised document	Authorized by:

ACKNOWLEDGEMENTS

The PIM was developed collaboratively by a team led by the ACReSAL Federal Project Management Units of the Ministry of Environment.

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PROJECT MANUALS and RESOURCES	**File I: Communication Strategy** **File II: Capacity Building Strategy and Plan** **File III: M&E Manual** **File IV: Financial Procedures Manual** **File V: Procurement Plan** **File VI: Security Management Plans** **File VII: GRM Procedural Manual** **File VIII: Community Implementation** **…**

GANTT CHART	**ACReSAL Activity Schedule Year 1 - 6**

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ACRONYMS AND ABREVIATIONS

AAP - Annual Action Plan
ACGs - Anti-Corruption Guidelines
ACReSAL - Agro-Climatic Restoration in Semi-Arid Landscapes
ALCCMS - Department of Agricultural Land and Climate Change Management Services
AP's - Affected Persons
ARAPs - Abbreviated Resettlement Action Plans
AWPB - Annual Work Plan and Budget
AWPBs - Annual work plans and budgets
BAP - Biodiversity Assessment Plan
BCA - Benefit-Cost Analysis
BER - Bid Evaluation Report
BMP - Biodiversity Management Plan
c-ESMPs - contractors Environmental and Social Management Plans
CBAs - Community business agents
CBSA - Community-based Sustainable Agriculture
CDD - Community-Driven Development
CDE - Centre for Development and Environment
CGIAR - Consultative Group for International Agricultural Research's
CiGs - Community Interest Group Planning
CPMCs - Community Project Management Committees
CQ - Consultant Qualifications
CRF - Community Revolving Fund
CSR - Corporate Social Responsibility
DA - Designated Account
DDA - Department of Drought and Desertification Amelioration
DLD&DA - Department of Drought, Land Degradation and Desertification Amelioration
E&S - Environmental and Social
EAD - Environmental Assessment Department
EFCC - Economic and Financial Crime Commission
EFCZM - Department of Erosion, Flood, and Coastal Zone Management
EOI - Expressions of Interest
ESCP - Environmental and Social Commitment Plan
ESF - Environmental and Social Framework
ESIAs - Environmental and Social Impact Assessments
ESMP - Environmental and Social Management Plans
ESO - Environmental Safeguards Officers

ESS - Environmental and social standards
ESSC - Environmental and Social Screening Checklist
ESSs - Environmental and Social Standards
F&C - Fraud and Corruption
FAO - Food and Agriculture Organization
FCAs - FADAMA Community Associations
FCT - Federal Capital Territory
FCV - Fragility, Conflict and Violence LPRES,
FDLR - Federal Department of Land Resources
FGN - Federal Government of Nigeria
FM - Financial Management
FMARD - Federal Ministry of Agriculture and Rural Development
FMEnv - Federal Ministry of Environment
FMFBNP - Federal Ministry of Finance, Budget and National Planning
FMM - Financial Management Manual
FMoF - Federal Ministry of Finance
FMWA - Federal Ministry of Women Affairs
FMWR - Federal Ministry of Water Resources
FPM - Financial Procedures Manual
FSC - Federal Steering Committee
FTC - Federal Technical Committee
FUGs - FADAMA User Groups
GBV - Gender Based Violence
GDP- Gross Domestic Product
GHG - Greenhouse gas
GIIP - good international industry practices
GIS – Geographical Information Systems
GRC - Grievance Redress Committee
GRS - Grievance Redress Service
GSAs - Government Security Agency/Agencies
HCI - Human Capital Index
HIA - Health Impact Assessment
IC - Individual Consultant
ICB - International Competitive Bidding
ICT - Information and Communication Technology
IDPs - Internally displace persons
IFAD - International Fund for Agricultural Development
IFRs - Interim Financial Reports
INT - Integrity Vice Presidency
IPCC - Intergovernmental Panel on Climate Change

IPM - Integrated Pest Management
IPMP - Integrated Pest Management Plan
IPSAS - International Public Sector Accounting Standards
IR - intermediate results
IRR - Internal Rate of Return
ISA - International Standards on Auditing
ISWAP - Islamic State – West Africa Province
IVA - Independent Verification Agency
IWRMC - Integrated Water Resources Management Commission
KPIs - Key Performance Indicators
LIC - Local Implementation Committee
LMP - Labour Management Procedures
M&E - Monitoring and Evaluation
MDAs - Ministries, Departments and Agencies
METT - Management Effectiveness Tracking Tool
MIS - Management Information System
MOU – Memorandum of Agreement
MSDs - Multi-stakeholder dialogues
MTR - Midterm review
MWP - Micro-watershed plan
NAGGW - National Agency on Great Green Wall
NASDRA - National Space Research and Development Agency
NCB - National Competitive Bidding
NCDC - Nigerian Center for Disease Control
NDVI - Normalized Difference Vegetation Index
NESREA - Nigeria Environmental Standards and Regulation Agency
NEWMAP - Nigeria Erosion and Watershed Management Project
NGOs - Non-governmental Organisations
NIHSA - Nigeria Hydrological Services Agency
NiMet - Nigeria Meteorological Agency
NNGF - Northern Nigeria Governors' Forum
NTFPs - Non-timber forest products
OHS - Occupational Health and Safety
PAD - Project Appraisal Document
PAP - Project Affected Parties
PC - Project Committee
PDO - Project Development Objective
PES - payments for ecosystem services
PIM - Project Implementation Manual
PMU - Project Management Unit

PO - Procurement Officer
PPSD - Project Procurement Strategy for Development
PS - Permanent Secretary
PS - Procurement Specialist
QCBS - Quality Based Selection
RAIN - Rainwater Harvesting Implementation Network
RAP - Resettlement Action Plan
RBIA - Risk-based internal audit (RBIA)
RF - Results Framework
RFP - Request for proposals
RPF - Resettlement Policy Framework
SEA/SH - sexual exploitation and abuse and sexual harassment
SEMA - State Emergency Management Agency (SEMA)
SEP - Stakeholder Engagement Plan
SLM - Sustainable landscape management
SLWM - Strategic Land and Water Management Plans
SMART - Specific, Measurable, Achievable, Relevant and Time-bound.
SMP - Security Management Plan
SPESSEP - Sustainable Procurement, Environmental and Social Standards Enhancement Project
SSC - State Steering Committee
SSO - Social Safeguards Officers
STC - State Technical Committee
STEP - Systematic Tracking and Exchanges in Procurement
TAP - Technical assistance/capacity-building partners
TOR – Terms of Reference
TRIMING - Transforming Irrigation Management in Nigeria project
UAVs - Unmanned areal vehicles
UN - United Nations
UNCAC - United Nations Convention Against Corruption
VMWM - Veterinary Medical Waste Management Plan
WA - Withdrawal Applications
WB - World Bank
WOCAT - World Overview of Conservation Approaches and Technologies
WSM - Watershed management

PART I: INTRODUCTION TO THE PROJECT

PART I	**Introduction to the project** · Project Overview · Project Approach · Financial Summary · Summary of Project Components and Phases · Results Chain and Results Framework · Key Investment Options · Project Sustainability · Long-term Vision and Framework · Beneficiaries and State Stages
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	• **Component A: Dryland Management**
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PART I

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1. Introduction

1.1 Project Overview

The Agro-Climatic Restoration in Semi-Arid Landscapes (ACReSAL) project seeks to address some of the critical challenges in Northern Nigeria. The region is characterized by high poverty rates, low literacy, an environment of fragility, conflict, and violence, degradation of natural resources, poor agricultural productivity, climate risks, desertification, poor penetration of modern technology, and weak institutional capacity. Addressing these issues will require effort in multiple sectors.

The ACReSAL project target selected States in arid and semi-arid area characterized by dry-semi-arid conditions, low precipitation, and sparse vegetative cover.

An integrated and participatory catchment management approach will be the operating framework for project implementation at field level. Appropriate modern technology will be leveraged throughout the project activities, including to manage the disruption of the ongoing COVID-19 pandemic and help build back better and smarter.

In particular, the project will support activities to develop multi-sectoral approaches for desertification control and landscape management, improve community livelihoods and resilience, and strengthen institutions.

The ACReSAL project aligns with the Federal Government of Nigeria in restoring one million ha degraded land out of the 4 million ha targets set for broader landscape restoration by 2030.

1.2 Nigerian Country Context

Socio-economic

Nigeria is comprised of a multi-ethnic and diverse federation of 36 autonomous states and Federal Capital Territory (FCT). Nigeria is Africa's largest country with over 200 million people and largest economy with a nominal Gross Domestic Product (GDP) of around USD405 billion in 2020. Although the country has the potential to be amongst the leading global economic nations, the level of poverty remains considerably high (40% of its population) with a large number of people living below the poverty line.

In the northern part of the country, many States are not able to significantly contribute to the formal economy, as opportunities are constraint due to the highly distributed populations, poor infrastructure development and the poor livelihood opportunities. Urban migration is also a contributing factor affecting the growth of the rural population in Nigeria with approximately 52% of its citizens residing in urban centers. In addition, the population growth predictions will exacerbate the poverty situation in the country if measures are not put in place. According to the United Nations, the population of Nigeria will double to 411 million by 2050, and by 2100, will nearly double again. Overpopulation will worsen Nigeria's economic and poverty status.

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Another significant fact is that Nigeria's poor human capital is reflected in the low levels of public expenditure and weaknesses in service delivery. In terms of the Human Capital Index (HCI), Nigeria, in 2020, was the seventh lowest in the world—168th out of 174 countries.

The government of Nigeria aims to lift 100 million people out of poverty by 2030

COVID-19

The economic and human impact of the COVID-19 pandemic on Nigeria has been severe due to the country's vulnerability to oil price shocks. In 2020, the economy contracted by 1.8% with the sharp fall in oil prices as a result of the COVID-19 crisis. It is estimated that should the outbreak be amplified and become more severe, the poverty rate could increase by 2% raising the number of people living in poverty by 10 to 15 million by 2022[1].

Bio-physical

Nigeria features diverse dryland ecosystems and degrees of aridity. The country's arid zones, or drylands cover about the northern half of Nigeria's total land area of 92 million hectares, and

[1] See World Bank (June 2020), Nigeria Development Update (Spring 2020)—Nigeria in Times of COVID-19: Laying Foundations for a Strong Recovery.

comprise three belts that are classified, from north to south, as arid, semi-arid, and dry sub-humid, according to a leading aridity index[2] (see Figure 1).

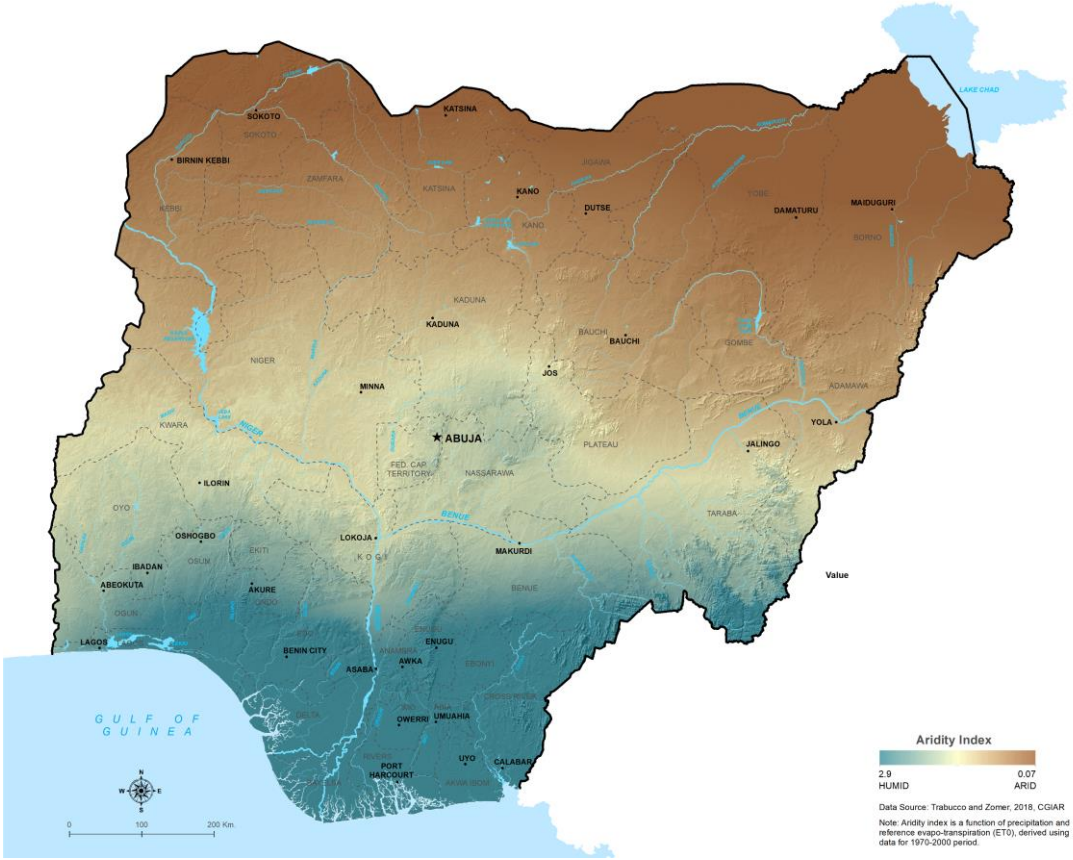

Figure 1. Aridity Index applied to Nigeria

Nigeria's drylands can also be classified into savanna agro-ecological zones:

- The northernmost savanna region (Sahel) characterized by open grasslands and desert with tree cover less than 10%.
- The Sudan Savanna region is further south and has similar features but with tree cover up to 20%.
- The Northern and Southern Guinea cover the balance of the northern states and feature open woodlands and grasses on 15-25% of the landscape.

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[2] Consultative Group for International Agricultural Research's (CGIAR) Aridity Index.

- The southernmost Derived Savanna agro-ecological zone covers most of the north-central states, where tree cover can reach 30%.

Nigeria's drylands have supported human communities for many centuries. Farmers and pastoralists historically had access to large areas of land, permitting long fallow periods and allowing for mobility to exploit forage and water resources both seasonally and in times of drought.

Climate

Nigeria generally has rainfall in the months of May to October with a bimodal hot temperature profile with April generally being the hottest month. This rainfall reduces from south to north with the long-term bioclimatic regions. The northern states fall in the Sahelian and Sudan belt characterized by dryer and arid zones.

Security

Northern Nigeria has experienced multiple conflicts over the past decade, including a decade of armed insurgency in the northeast by Boko Haram and the Islamic State – West Africa Province (ISWAP), farmer-herder conflicts in the northwest, and increased banditry and armed violence across large parts of the north. This region has seen ongoing conflicts (through the mobilization of local militias), increased competition over natural resources, and opportunistic crime in a weakened security environment. More specifically, these conflicts have led to:

- devastating consequences for the civilian population with ***large-scale displacements*** (estimates show about 2.2 million people displaced in the north-east);
- destruction of productive assets and livelihoods creating widespread ***food insecurity and humanitarian needs*** (with UN OCHA estimating about 8 million people facing urgent needs;
- ***criminal gangs proliferating***, including in the northwest; and
- exacerbated exploitation of declining natural resources, resulting in worsening cycles of ***misuse of natural resources and further conflict***.

Alongside security efforts, increased resilience at the community level requires peacebuilding efforts that are grounded in sound land and natural resource management to support conflict prevention, mitigation, resolution, and recovery.

Gender

Nigeria is 139th country out of 156 countries on the World Economic Forum's 2020 Global Gender Gap Index.[3] Women's disadvantaged position and lack of decision-making power in the social, economic, and political spheres is reflected in policies, laws, and resource allocation that inhibit progress towards gender equality in the country and results in different gender-related vulnerabilities including some forms of Gender-Based Violence (GBV).

Women lag behind men in terms of earned income from self-employment and production in agriculture. Self-employed women in the north earn 56% less than their male counterparts (World Bank Nigeria Gender Diagnostic, 2020). Their lower capital endowment impede their productivity but also limits their ability to purchase inputs, invest in new activities, and move up higher in the value chain.

A study on Gender and Climate Change Adaptation among rural households in Nigeria[4] showed that gender relations and women exclusion in climate decisions adversely affect climate change adaptation efforts, as women contribute 60–80% of food production in the country. The study presented the following findings:

- female farmers are more vulnerable to climate change as a result of the deeply rooted cultural systems and unjustified assumptions about women.
- vulnerability of farmers to climate change is even more severe in Nigeria, where majority of women folk are involved in agriculture for household consumption, yet are highly marginalized and excluded in climate decisions which directly affect them.
- gender relations in Nigerian agricultural sector have systematically subordinated women, limiting their access to adaptation information and supports.
- greater population of the farmers in the rural areas are females, but the lack of proper land ownership shifts land title and hence access to the males.
- Most women do not have access to credit facilities and networks. In some cases were the men are projected by their wives to receive the loans, because they are not the farmers, the loans they get are used for other things but aiding their wives on the farm.

[3] https://www3.weforum.org/docs/WEF_GGGR_2021.pdf.
[4] Ume, C. O., Opata, P. I. & Onyekuru, A. N. J., 2021. Gender and Climate Change Adaptation Among Rural Households in Nigeria. In: *African Handbook of Climjate Change Adaptation.* s.l.:SpringerLink, p. 2099–2115.

- Female enrolment in school lags behind boys and represents one third to one quarter of classroom participants depending on the state. Two-thirds of the 10.5 million out-of-school children, are girls. Consequently, there are assumptions that female farmers are less informed or intelligent. For instance, it was gathered that extension agents prefer explaining techniques to the male farmers, as they feel they are smarter than their wives, so they can pass the information to their wives.

1.3 Drought and Desertification: Key Threats and Opportunities

The northern region of Nigeria is under threat of desertification

Climatic variability and anthropogenic activities such as deforestation, extensive cultivation, overgrazing, bush burning, fuel wood extraction, charcoal production, faulty irrigation systems and urbanization are some of the major causes of desertification.

Desertification

is the process of degradation of drylands such that they become progressively less suitable to support human populations. It is a gradual process of soil productivity loss, soil erosion and the thinning out of the vegetative cover because of human activities and climatic variations such as prolonged droughts and floods.

Women and children are disproportionately affected by the effects of drought and desertification due to their high vulnerability and low coping capacity

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Nigeria has a total land of 923, 770 km2
15% of the land lost to desert encroachment
The annual loss of land to desertification estimated at 351,000 hectares.

The spread of desert-like conditions southwards is at a rate of 0.6 km per year.

Climate Change

Nigeria is already experiencing climate variability in the form of increased temperatures, rainfall variability and intensity, droughts, floods, and heatwaves. Most of the northern states face increasing aridity while others are exposed to seasonal riverine flooding. From 1941 to 2000, the temperature in the country has increased from 1.4 to 1.9 °C.[5] The annual rainfall has also decreased from 1941 to 2000 by 2-8 mm across most of the country but increased by 2-4 mm in a few places. Extreme precipitation events causing flooding have probably increased.

Looking to the future, the mean annual temperature is projected to increase between 1.1° C and 2.5° C by the 2060s and 1.4° C and 4.6° C by the 2090s. Projections indicate that warming will be greater in the northern part of Nigeria[6] (based on the CMIP5, RCP 8.5, Ensemble).[7] Annual precipitation will decrease by -3.52 mm (-308.01 mm to 354.90 mm) in 2040-2059 (RCP 8.5, Ensemble). However, in the northern part of Nigeria, the Sahel and Sudan savannas could experience an increase of 29% to 45.8% and 9% to 14.2%, respectively. Regional Climate Models indicate an increase in the number of days with extreme rainfall in May and July over West Africa.

As a result, the dryland belts of northern Nigeria are expected to shift southward, hastening desertification. Rainfall variability and extreme weather events, both flooding and droughts, can be expected to bring increasing pressure on vulnerable communities who will often be forced to more intensively exploit the natural resources they depend on, promoting a cycle of further land degradation.

Nigeria is listed among the countries most exposed to

climate risks

Agriculture (croplands and livestock)

The agricultural sector accounts for the main livelihood strategies of most rural dwellers in the drylands of northern Nigeria. The country has 78 million ha of agricultural lands, of which 38 million ha are under cultivation, mainly rainfed. 80% of the land in the 20 states in the center and northern part of the country is agricultural land (57% cropland and 23% grassland). Average household incomes from mixed cropping/pastoralism vary widely but can often be less than USD500 per year. Nigeria has significant potential for irrigation expansion.

[5] BNRCC (Building Nigeria's Response to Climate Change). (2011). National adaptation strategy and plan of action on climate change for Nigeria (NASPA-CCN). Prepared for the Federal Ministry of Environment Special Climate Change Unit.
[6] https://climateknowledgeportal.worldbank.org/country/nigeria/climate-data-projections.
[7] Future climate projections for Nigeria were based on the 5th Phase GCM Models of the Coupled Model Inter-comparison Project (CMIP5).

Resource shortages, climate change, violent conflict, outdated agricultural systems not adapted to changing dryland conditions, lack of access to finance, weak value chain linkages, uncompetitive environment for agribusiness, and poor market access are key barriers to increased agricultural productivity in Nigeria.[8]

Most smallholder farmers in northern Nigeria lack the capacity to increase food production or exploit natural resources, without degrading the land. The pursuit of higher yields in a fragile arid landscape fosters the adoption of unsustainable agricultural practices such as cropland expansion, intensive cultivation, overgrazing, cultivation of marginal land, deforestation, bush burning, poor and inefficient irrigation practices, inappropriate use of inputs, shortening and often elimination of fallow period resulting in continuous cropping with little or no necessary inputs.[9]

The abandonment of traditional land uses such as fallowing has led to the reduction of semi-natural habitats of high conservation value and the disappearance of associated local knowledge and practices[10]. Agricultural intensification, bush burning, climate change impacts and deforestation in drylands have also led to loss of biodiversity and soil fertility as well as loss of the soil's carbon sequestration capacity.

> Poor land tenure systems, mostly rainfed systems, land degradation, climate risks, low use of technology, high production costs and input availability, high post-harvest losses, and poor access to markets are all challenges to Nigerian agriculture (FAO)

The livestock population in Nigeria has been estimated to consist of 20.6 million cattle, 46.9 million sheep, 82 million goats, and 167 million poultry.[11] The northern region of Nigeria supports a significant proportion of the country's livestock economy, hosting about 90% of the cattle population, two-thirds of the goats and sheep and almost all donkeys, camels, and horses.[12] The livestock sector mainly comprises smallholders using extensive animal production systems. The cattle population is predominantly managed by transhumant herdsmen and semi-sedentary pastoralists.

The impacts of droughts and desertification on rangelands and livestock farming include changes in forage yield and changes in livestock feed grain availability, which in turn affects changes in pasture and forage yield.

Desertification exacerbated by drought and climate change has changed and still continues to push cattle herders to shift the traditional herding routes further south in search of grazing land with

[8] Downie, R. (2019). Growing the agriculture sector in Nigeria. *Gates Open Res*, *3*(98), 98.
[9] Federal Republic of Nigeria Ministry of Environment Nigeria (2012). Great green wall for the Sahara and Sahel initiative. National strategic action plan.
[10] Rossi, R. (2020). *Desertification and agriculture.* European Parliamentary Research Service.
[11] FAOSTAT (July 28, 2021).
[12]Federal Ministry of Environment of Nigeria (2001). National Action Programme to combat desertification.

sufficient forage yield. This change has caused friction between cattle herders migrating from the north and farmers in the south leading to the death of at least 10,000 people between 2011 and 2018.[13]

Investments to improve agricultural resilience systems of rural communities in northern Nigeria may include …

- Eco-friendly agriculture (inputs and practices)
- Field bunding to reduce erosion
- Agroforestry, silvopasture, crop rotation, intercropping
- Improving soil carbon (including with cover crops)
- Improving local livelihoods and incomes through agricultural innovation and post-processing/ marketing
- Improving household agro-climatic resilience

Water Resources

Northern Nigeria is characterized by erratic availability of water resources. Although Nigeria generally is endowed with abundant water resources, its occurrence is highly variable in time and space. Water situation in the north is often characterized by cycles of frequent flooding during the wet season and water scarcity during the dry season. The Nigeria Water Resources Masterplan (2013)[14] estimates a potential of about 375 billion cubic meters (BCM)/year of surface water resources inclusive of external flows into the country and the groundwater resources potential as renewable resources is estimated at 156 BCM/year. These resources, though huge, are unevenly distributed across the country.

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Also, the Intergovernmental Panel on Climate Change's (IPCC) Emissions Report suggests a drier

[13] Nugent, C. (2018, June 28). Land conflict has long been a problem in Nigeria: Here's how climate change is making it worse. TIME. https://time.com/5324712/climate-change-nigeria/
[14] FMWR. 2013. Nigeria Water Resources Master Plan (2013), supported by JICA.

north with an average decrease in rainfall of about 7.5 cm annually. With the twin effect of growing population and climate change, water resources availability for the mostly agrarian community in northern Nigeria is expected to become even more erratic.

Groundwater is also scarce in northern Nigeria but could be part of the solution to climate buffering. In this area, the groundwater is deep but accessible with potentially productive aquifers in some areas. The National Water Resources Masterplan indicates that groundwater development would need to be planned with adequate consideration to aquifer type (that determine costs, reliability and influence areas), recharge, and water supply demands for domestic, irrigation, livestock, and aquaculture.

WATER RESOURCE MANAGEMENT

1. There is a need for improved water resources management to address water scarcity challenges in northern Nigeria. Land degradation, compounded by the effects of climate change, reduces the water holding capacity of watersheds, increasing the impact of droughts and floods.

2. Watershed management interventions and climate adaptation measures to better control erosion and sedimentation of water resources include:

- Land restoration practices, erosion control and groundwater recharge measures

3. Building resilience to impacts of climate change in the drylands of northern Nigeria is also a water security issue and requires investments such as

- Harnessing flood waters for productive uses
- Water storage (surface, underground, sand)
- Managed aquifer recharge
- Rainwater harvesting and micro-irrigation systems
- Flood and drought resilience investments

Ecosystems and Biodiversity (Forests, Wetlands and Oases)

Natural drylands ecosystems of northern Nigeria have been significantly degraded.

The few remaining patches of vegetation that remain in northern Nigeria harbour globally and national important biodiversity and are genetic reservoirs for many species of endangered flora and fauna species which are also important for local livelihoods.

Ecosystems in northern Nigeria important for conservation include national parks, gazetted forests, wetlands, and oases. All these areas provide important ecosystem services, but have been affected by varying degrees of degradation, deforestation, encroachment, climate change shocks, and agricultural invasion.

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Restoration of some of Nigeria's important habitats is urgently needed. Investments may include:

- **Special area management (e.g. sand dune stabilization, improvement of protected areas and oases)**
- **Large gully rehabilitation**
- **Large area afforestation/ reforestation, shelter belts**
- **Larger demonstration projects (e.g. payment for ecosystem services)**
- **Larger pollution management (e.g. floating wetlands)**
- **Improving watershed ecosystem services (biodiversity, climate resilience and mitigation)**

Annex I and Annex II provide a more detailed description of the contextual characteristics of northern Nigeria, including climate change risks, project activities and climate co-benefits.

1.4 Responses towards managing droughts and desertification

In managing droughts and desertification, the Federal Government of Nigeria has made efforts to put control measures in place to rectify the drought and desertification problems. In particular, the responses embarked upon include:

- Sand dune fixation
- Rangeland establishment
- Oasis inventory and rehabilitation
- Drought forecasting
- Desert food programme

Key policies and planning documents of the government include, amongst others, the following:

- Drought and Desertification Policy
- National Drought Preparedness Plan
- National Action Plan to Combat Desertification
- Land Degradation Neutrality Process

The Great Green Wall

The Great Green Wall is Africa's flagship initiative to combat the effects of above-described climate change and desertification and develop sustainable development pathways in this food-insecure region and its highly vulnerable populations and landscapes. Led by the African Union, which represents the governments of all African nations, the initiative approved in 2005 aims to achieve a transformational change for millions of people by increasing resilience in the Sahara and the Sahel region through an integrated landscape approach.

©Telegraph

The objectives of the project were to control southward movement of the desert, restore land productivity and improve the socio-economic conditions of the millions of people inhabiting the areas. The project comprises 15 km wide 8,000 km long belt of trees, extending from Senegal to Djibouti.

In 2007, Nigeria joined eleven other countries to launch the pan African Great Green Wall Project and established a dedicated project agency encompassing 11 frontline states of northern area. In 2020, the present Federal Government of Nigeria has expressed a plan of planting 30 million trees to control desertification. Effective implementation of issues related to the already planned rehabilitation of 20 oases in the current Medium Term Sector Strategy, establishing 550 hectares of rangelands in the Frontline States, stabilizing and restoration of 160 hectares of active sand dunes in eight of the 11 frontline States, and continued assessment of the extent and magnitude of drought and desertification in Nigeria.

Nigeria aims to restore 4 million hectares of degraded land by 2030 as part of the AFR100 Initiative and Bonn Challenge

The ACReSAL project aligns with the Federal Government of Nigeria in restoring ONE million ha degraded land by 2030.

Several World Bank-financed projects have contributed to implementing sectoral elements of dryland management strategies. Three major World Bank-supported operations have made significant inroads in demonstrating and scaling up comprehensive land restoration programs linked to water and agriculture such as the Nigerian Erosion and Watershed Management Project (NEWMAP), the FADAMA Development Project, Transforming Irrigation Management in Nigeria Project (TRIMING).

Nigeria Erosion and Watershed Management Project (NEWMAP)

This USD900 million project was in operation from September 2012 to 2021. NEWMAP introduced a holistic watershed management approach linking poverty alleviation with maintaining sustainable ecosystems and better disaster risk management. NEWMAP focuses investments on rehabilitating major gully systems and surrounding catchments, mainly in urban and peri-urban areas that pose major risks to infrastructure and people. The project has pioneered a highly participatory approach to the blending of physical and vegetative soil and water conservation technologies to reduce investment costs and introduced an integrated livelihood component that has helped communities improve their economic welfare. Policy makers have recognized the value of

The ACReSAL project will build and expand on the existing successes and institutional arrangements established under NEWMAP in northern Nigeria.

this integrated approach. NEWMAP focused on 19 States primarily in the Southern and Central States with a few Northern States (Borno, Gombe, Kano, Katsina, Sokoto).

Third National FADAMA Development Project

The USD 500 million Third National FADAMA Development Project for Nigeria focused on increasing the incomes for users of rural lands and water resources within selected areas in a sustainable manner throughout northern Nigeria territory with positive outcomes.

The original project worked in 36 states and the FCT. Since the original closing date of 2013, two additional phases and financing of USD 250 million has allowed the project to put more focus in several conflict and non-conflict States. The project was focused on improving farm productivity of clusters of farmers engaged in priority food staples namely rice, cassava, sorghum and horticulture in rainfed and seasonally irrigated areas.

The project used a Community Driven Development (CDD) approach through local institutions such as FADAMA Community Associations (FCAs) and FADAMA User Groups (FUGs), to oversee the design and implementation of the project. People were empowered through skills and capacity-building to improve their livelihoods by increasing income generating activities. While the FADAMA projects demonstrated successful models for community-led agricultural improvement across the country, the operation is now closed.

Transforming Irrigation Management in Nigeria (TRIMING) Project

The USD495 million approved in June 2014, is supporting improved access to irrigation and drainage services and to strengthen institutional arrangements for integrated water resources management, with the overall aim to support agricultural productivity improvement including value chains with active involvement of the stakeholders in selected large-scale public schemes in Northern Nigeria.

In addition, TRIMING is establishing holistic basin-level water resources management strategies in Northern States, rehabilitating major irrigation systems, integrating them with existing surface reservoir-based canal irrigation, and helping farmers improve productivity on irrigated lands. The project is operating in selected dams and irrigation schemes within a) the Sokoto-Rima river basin, in northwest Nigeria; b) the Hadejia-Jama'are sub-river basin within the Hadejia-Jama'are- Komadugu-Yobe Basin in northeastern Nigeria's; and c) the Gongola River Basin in the Upper Benue sub-basin.

Annex III provides further information on these projects.

Furthermore, The Food and Agriculture Organization (FAO) has been particularly active in dryland management projects in Nigeria, under the aegis of the GGW and under other initiatives. With FAO's support, the AU Commission has developed a regional harmonized strategy, which includes the

integrated landscape/AFOLU approach, which is also aligned to all Sahelian countries' climate strategies: NAPs, NAMAs, and NDCs (FAO, 2018). ACReSAL has worked closely with FAO in the design of the project, and it is expected that they will play an advisory role for the project's landscape restoration component.

1.5 Lessons Learned from similar Programmes in Nigeria

The project design incorporates the following key lesson learned from other programmes in Nigeria. The rich legacy of lessons learned by the aforementioned interventions is that landscape interventions to manage dryland environments would be unlikely to succeed if the following issues were not addressed:

1. Effective stakeholder identification and engagement processes

It is critical to include all relevant stakeholders (e.g. water user associations, river basin development authorities, farmer associations, etc.) in the design and implementation of the project so to co-design relevant interventions, reflect and adapt the course of action, minimize potential conflicts and manage expectations.

2. Community involvement and institutional development

At the community level, community support, consultation and active participation could bring real and tangible benefits to vulnerable communities in the form of becoming more empowered, having access to water resources, food security and ultimately a better quality of life. The presence of good local institutions is also important in order to translate local aspirations into collective action.

3. Multi-sector integrated approaches

Weakly integrated, single-sector projects such as forestry projects, or dam construction projects, have had limited success in harnessing multisectoral benefits at landscape level. Integration of water and agriculture, for instance, is needed to improve agricultural productivity.

4. Integrated watershed or catchment planning

Linked to the above is the need to integrated land and water resource planning for the improvement of watershed or ecosystem services such as water provision, improved livelihoods and flood attenuation, to name a few.

5. Strong inter-institutional coordination

At the project level, strong inter-institutional coordination among government departments and agencies as well as with other stakeholders with key project implementation roles would help to

attain desired outcomes. Instead of relying on ad hoc collaborative arrangements, it will be important to ensure collaboration between implementing agencies backed up by high-level commitments, Memorandum of Understanding (MOUs), and plans.

6. Enhance collaboration, cooperation and effective partnerships

The role of partners is critical to promote multisectoral coordination and cooperation for building climate resilience and better management of drylands natural resources across northern Nigeria. Federal and state agencies responsible for environment, agriculture, and water management will be the ACReSAL project implementing agencies, through the project management units. The project will also need to develop partnerships with other governmental and non-governmental actors.

7. Management of investments

Correct sequencing and timing of investments for watershed interventions are important to deliver results. For instance, for infrastructure investments on dams and control structures are important to improving water security. Properly designed field channels are necessary for water to reach crops and should only be introduced when the system's outlet is performing as designed.

8. Contract management

A strong and efficient contract management team is critical for successful project implementation. Running several contracts simultaneously without capacity may be problematic unless the expertise necessary is in place.

9. Monitoring and Evaluation

Another important lesson learned from landscape management projects is that it is challenging to demonstrate improvement in land management and use of natural resources without good baseline data and monitoring systems.

10. Fragility and conflict situations

Security issues can hinder project implementation and supervision. They can also create risks for contractors, project beneficiaries, and participating communities. Given that the security situation in Nigeria continues to evolve, ongoing risk assessments and operational flexibility will be important. Security issues need to be properly factored into project design and risks clearly explained in the project documents. In addition, innovative ways of sharing the security risks between the contractor and the employer should be factored into the bidding process in order to mitigate security risks.

Refer to Annex IV for detailed lessons learned from the various projects.

2. Project Approach: Integrated Watershed Management

Despite an increased interest in moving towards an integrated and multi-sectoral approach to address the challenges of dryland management, responses to date by government programs have largely been fragmented. The scale and complexity of the land degradation problem in Nigeria is noteworthy. Past programs have generally had limited success because of a) an over-emphasis on civil engineering interventions without addressing water flows in the sub-watershed; b) weak land-use planning and regulatory enforcement; c) inadequate local participation and attention to livelihood issues; and d) insufficient attention to transparent governance and contract management, as alluded to in the previous section.

These different challenges are interwoven and require integrated solutions, focusing on priority landscapes. The ACReSAL project specifically supports the Federal Government of Nigeria's choice to prioritize a multi-sectoral and watershed level approach to enhance dryland and community resilience against desertification, under impacts related to climate change and human activity.

An integrated and participatory catchment management approach or watershed approach will be the operating framework for project implementation at field level

Watershed management (WSM) is a recognized landscape approach utilized throughout the world.

FAO (2007) defines a **watershed** as the geographical area drained by a watercourse, and **watershed management** as any human action aimed at ensuring a sustainable use of watershed resources. These resources are dealt with through an integrated ecosystem approach centred on the understanding of the overall interactions between biotic (including humans) and abiotic factors.

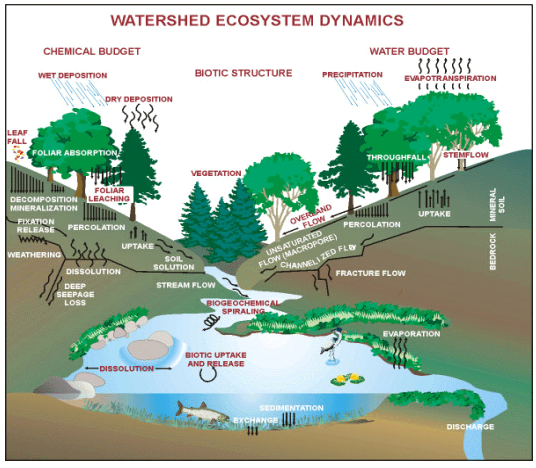


Figure 2. Watershed ecosystem dynamics[15]

Watersheds follow the principle of multi-functionality and provide a wide range of ecosystem services and goods, such as freshwater, timber, food, fiber and medicinal plants. They are often interrelated with mountain areas and have a high share of terrestrial biodiversity, store water, carbon and

[15] Source: Source: Environment Protection Agency 2010. Watershed management field notes. Washington DC.

minerals, support nutrient cycling, and regulate water flows, climate and fresh air. However, watersheds often present fragile ecosystems, highly susceptible to erosion, landslides and other natural hazards, which make them a priority area for strengthening resilience to change.

The Watershed management approach sets to understand and address complex problems and delivering solutions to support integration and collaboration across sectors, scales and actors, balance competing needs to generate simultaneous benefits for people and environment. Watershed management provides a **framework** for understanding and reconciling the interconnections among various land-use systems and for collaborative action and decision-making in the face of competing claims on resources, especially water resources.

BOX I. Twelve principles of watershed management

1. Treat underlying causes (not just symptoms)
2. Generate scientific evidence (do not rely on common myths)
3. Adopt an integrated approach (multi-sector, multi-stakeholder and multi-scale)
4. Ensure holistic planning and implementation (watershed management plan)
5. Seek innovative low-cost solutions and co-financing
6. Ensure that institutional arrangements are in place
7. Combine bottom-up and top-down processes
8. Combine traditional knowledge and technical advice through action research
9. Reflect upstream–downstream linkages and compensate off-site effects
10. Strive for gender balance in decision-making
11. Include capacity development at all levels
12. Instill a flexible, adaptive long-term approach to planning and financing

Therefore it is important for the ACReSAL project to adopt the integrated watershed management approach as a spatial perspective and framework to develop an integrated multi-sectoral approach to address the emerging challenges and bring about opportunities through the project components and activities as outlined in Section 5.

The ACReSAL project aims to strengthen multi-sectorality at the institutional and policy level and also at the project's design level by emphasizing the importance of multi-sectoral sustainable land and water management planning. Based on this, integrated watershed management plans will be developed as part of Component A and Component B activities. These plans will encompass watersheds at two different scales: watershed scale and at the micro-watershed scale. These plans, with targeted interventions can then be delivered to address natural resource priorities and build climate resilience which in northern regions through the promotion of rangeland and woodland management with the participation of local communities, and setting up plans for communities to execute.

The ACReSAL project will target selected States in arid and semi-arid areas. The arid to semi-arid States are located in the Sahel, Sudan Guinea Savanna and Southern Guinea Ecosystem, characterized by dry-semi-arid conditions, low precipitation, and sparse vegetative cover. More specifically, the project will target Lake Chad and Niger Basins based on their Aridity Index and climate change projections and will initially encompass 20 strategic watersheds and 200 micro-watershed with investments at the both scales and implemented by FGN in the case of interstate projects and States at the local level intervention.

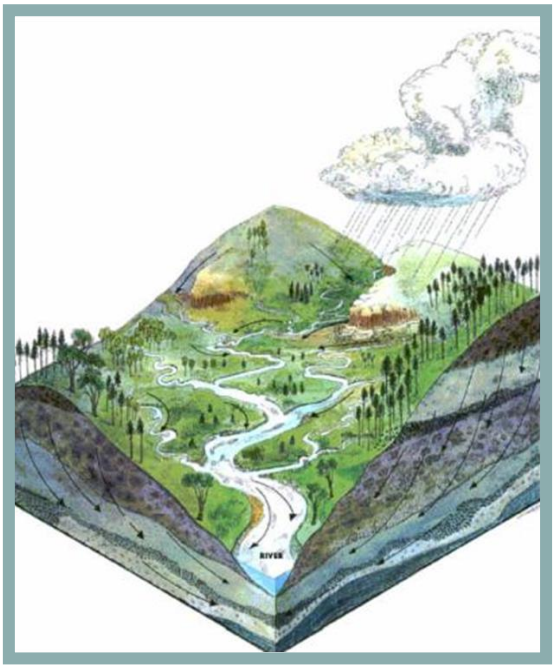


Figure 2. Example of a watershed interconnected elements

In addition, the project will build a long-term framework to improve the sustainable planning, monitoring and management of watersheds in an integrated, multi-sectoral manner with a judicious combination of information, institutional/policy, and investment framework. The project approach and planned activities are further described in PART II of this PIM.

3. Project Development Objective (PDO)

The Project Development Objective (PDO) is

to increase the adoption of sustainable landscape management practices in targeted watersheds in northern Nigeria and strengthen Nigeria's long-term framework for integrated climate-resilient landscape management.

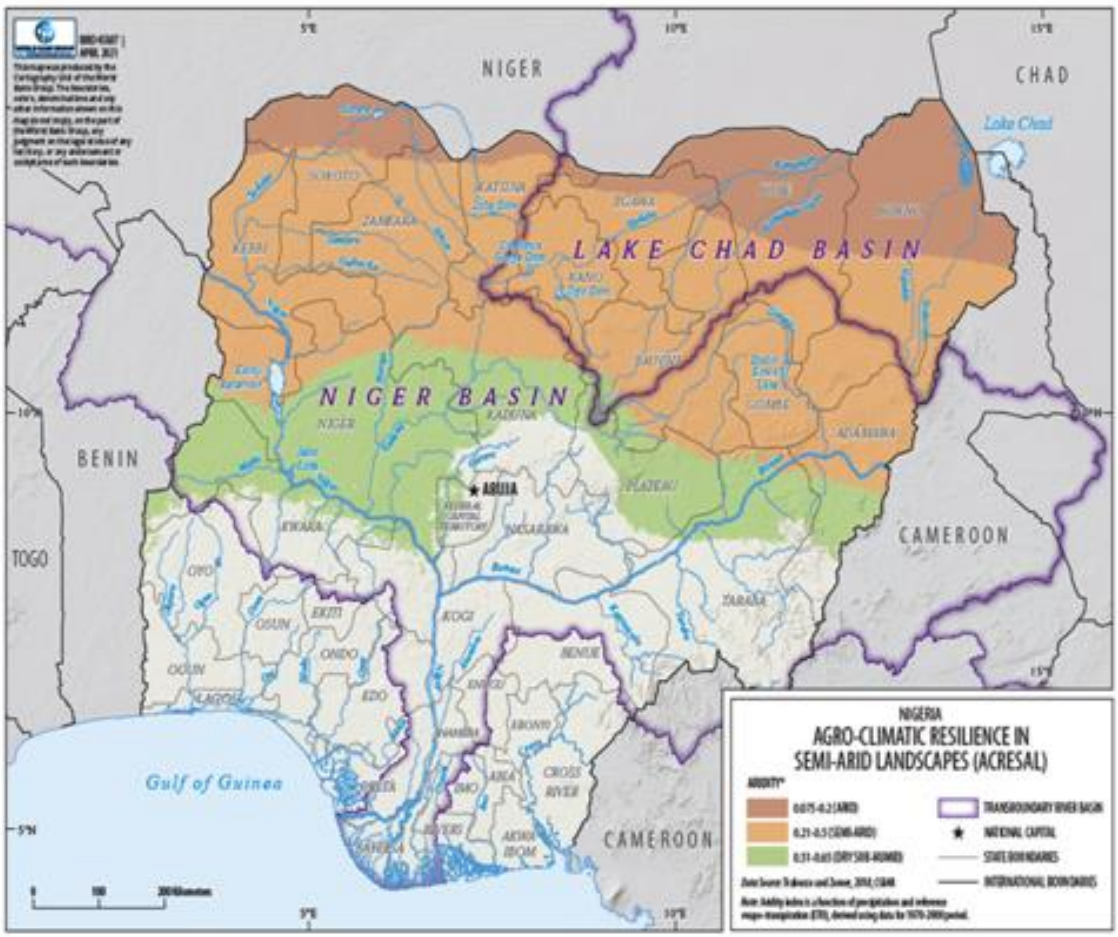


Figure 3. Agro-Climatic Resilience in Semi-Arid Landscapes, Nigeria

4. Financing Summary

The IDA financing is USD700 million. In addition, the Federal Government of Nigeria and governments of participating states will contribute to staff costs, operating costs, and payments for resettlement and compensation for civil works. Beneficiaries will participate in the financing of sub-projects and community activities through revolving funds or in-kind contributions.

Table 1. Project Cost and Financing (USD million)

Components	IDA
COMPONENT A: Dryland Management	
A.1 Strategic Watershed Planning	33.0
A.2 Landscape Investments	244.8
A.3 Special Ecosystems	50.0
Sub-total	**327.8**
COMPONENT B: Community Climate Resilience	
B.1 Community Strengthening	22.0
B.2 Community Investments	271.4
Sub-total	**293.4**
COMPONENT C: Institutional Strengthening and Project Management	
C.1 Institutional and Policy Strengthening	45.6
C.2 Project Management	33.2
Sub-total	**78.8**
COMPONENT D: Contingency Emergency Response	
Total	**700.0**

Detailed project cost tables per component can be found in Annex V.

The benefit-cost analysis carried out for the project and economic viability of IDA resources presented justification for public sector provision and World Bank value-addition on the basis that that:

i. Land degradation and soil erosion are externalities caused by market failure which in turn lead to, for instance, unsustainable agriculture and other land use practices, excessive deforestation, and improper road and drainage construction.

ii. Without intervention, these market failures will continue to generate negative externalities to the environment and the population living in these areas (worsening desertification, droughts, famines, farmer-herder conflicts, resultant displacement and loss of life, and loss of livelihoods).

iii. Given the high investment costs associated with appropriate landscape management and soil erosion control, the private sector alone has no incentive to undertake these investments, and while the affected populations (the majority of whom are low-income communities) would find the costs to be prohibitive.

BOX II. Results of the Benefit-Cost Analysis (BCA)

- The BCA considers all project costs (i.e., USD700 million over 6 years) as well as Operational and Maintenance costs (O&M) estimated at 10% of total project costs.

- Project costs are expected to be disbursed as follow:
  10% in 2022
  15% in 2023
  20% in 2024
  20% in 2025
  20% in 2026, and
  15% in 2027;
  with O&M costs starting to accrue from 2028 after project ends.

- The BCA attempts to quantify the following project benefits across 19 states and the FCT in northern Nigeria:
  - incremental benefits from landscape restoration;
  - incremental profits from climate-smart irrigated agriculture;
  - reduced damages from soil erosion;
  - reduced deaths due to herder-farmer conflicts over grazing land and water;
  - reduced drought-related human mortality; and
  - reduced greenhouse gas (GHG) emissions.

All benefits are assumed to accrue after the project implementation ends, i.e., from year 7 after the project begins, even though benefits will begin to accrue earlier.

- The Project activities would also have several benefits that are not easily monetizable:
  - improved comprehensive knowledge base and analytical tools;
  - improved in-situ monitoring systems (e.g. for weather, surface and ground waters), modern earth observation tools, and surveys;
  - capacity development;
  - outreach to women and youth;
  - policy reforms that should contribute to setting up an improved knowledge, institutional, and policy framework foundation for the longer- term across the country;
  - support to enable institutions to work together across sectors (especially environment/climate, water, and agriculture) and levels of governance (federal, state, and local levels and with community-level organizations);
  - activities contributing to improving social cohesion and peacebuilding.

- The results of the analysis indicate a Net Present Value of USD1,550 million and an Internal Rate of Return (IRR) of 17%. Sensitivity analysis showed that a 10% increase in costs (including operational costs) and a 10% reduction in all project benefits yielded an IRR of 14%

More details of the AcReSAL Benefit-Cost Analysis can be found in Annex VI

5. Summary of Project Components and Phases

COMPONENT A: Dryland Management

Support Strategic Watershed Planning processes, prioritize major investments to address desertification and land degradation in northern Nigeria at Federal and State level and complement investments at community level

COMPONENT B: Community Climate Resilience

Improve agro-climatic resilience at community and household levels by promoting locally adapted Sustainable Land and Water Management (SLWM) strategies and through climate-smart approaches to agricultural and natural resource management

COMPONENT C: Institutional Strengthening and Project Management

Improve the enabling institutional and policy foundation for integrated landscape management in Nigeria from ACReSAL activities to longer-term national framework and support overall project monitoring and management

COMPONENT D: Contingency Emergency Response

Table 2. ACReSAL components and summary of potential activities

Component	Interventions/ Activities	Budget (USD)
Component A **Dryland Management**		
A1: Watershed Management	· Identification of strategic watershed boundaries · Establish knowledge base on watersheds · Stakeholder engagement/ Inter-ministerial coordination mechanism for enhanced planning · Performance analysis of institutional framework · Field Trip, knowledge exchange visit · Development of watershed management plans · Prioritization workshop of investments in the watersheds · Appraisal and validation of plans (20 watershed plans) · Capacity building and training of Catchment Management Structures	33 million
A2: Landscape Investments	· Sand dune stabilization interventions including the establishment and maintenance of plant nurseries of assorted specied and post-planting operations · Watershed and catchment management interventions to better control sedimentation into existing dams · Construction and/or rehabilitation of integrated small storage/small dams multipurpose reservours and irrigation development · Flood control and erosion works to improve landscape functions, and sensitization, mobilization and organization of communities to manage erosion and prevent disasters · Identification and development of recharge areas to protect groundwater resources. · Large-scale agricultural investments such as rangeland management through also the improvement of fodder and fodder nurseries as well as integrated pest management programs	244.8 million
A3: Special Ecosystems	· Wetlands restoration and management · Desert Oases management · Protected Area management (Woodlands, Gazetted forests, National Parks) · Procurement, Construction and support establishment of infrastructures and equipment for special ecosystems	50 million

Component	Interventions/ Activities	Budget (USD)
Component B **Community Climate Resilience**		
B1: Community Strengthening	· Micro-watershed planning (200 micro-watersheds) · Formation or strengthening of inclusive community groups · Community sensitization · Peacebuilding initiatives to promote ownership, access and use of natural resources in a non-violent manner · Establishment of NRM committees in each community, which will include representatives from different livelihood groups and NRM user groups as well of vulnerable and marginalized groups · Social marketing campaigns to promote changes in behavior that encourage gender-based violence (GBV) · Agro-climatic resilience training and participatory information dissemination[16] · Group management training · Conflict management training · Gender-based violence training	22 million
B2: Community Investments	· Community-led landscape restoration through engagement with FAO for technical assistance and the procurement of Delfino ploughs · Capacity building on landscape restoration and revegetation of degraded lands and rangelands · Establishment of revolving funds to finance the continuing operation of community investments · Establishment of community nurseries for selected agro-forestry projects and piloting hybrid agroforestry models on communal lands · Expanding agroforestry and agro-silvo-pastoral enterprise models · Promoting sustainable production of non-timber forest products (NTFPs) value chains · Climate smart rainfed agriculture through extension services techinical assistance, financial management systems and business skills for farmer groups · Improving market access through shared transport logistics and provision of timely market information on crops · Constructing small-scale community storage and agro-processing facilities · Farmer-led irrigation development through awareness campaigns,, establishment of community revolving funds and improved access to markets and value chains · Water and soil conservation practices · Improved crop varieties	271.4 million

[16] Improve community access to agro-climatic information.

Component	Interventions/ Activities	Budget (USD)
	· Use of technology to optimize farm management	
Component C **Institutional Strengthening and Project Management**		
C1: Institutional and Policy Strengthening	· Investments in Monitoring Infrastructure · Investments in Institutional Infrastructure (IT, office, connectivity) · Information services for integrated watershed management planning, coordination, and monitoring (knowledge base, online data/analytic services, decision support systems, e-packaging) · Policy Improvement (for innovations and institutionalization of integrated landscape/watershed management) at federal and state levels · Capacity building and outreach (in-person and virtual training, internships)	45.6 million
C2: Project Management	· Providing support for key overall consultancies (e.g., to support project monitoring and management, watershed implementation support, and capacity-building), as well as incremental operating costs and systems for improving remote preparation and supervision of investment. · Providing support for the development of monitoring systems and dashboards and improving workflow processes to facilitate coordination across agencies at the central and state levels and public versions to improve transparency and outreach.	33.2 million
Component D **Contingency Emergency Response**		
D1: Contingency Emergency Reponses	This is a component that could be used as necessary to provide immediate support to an eligible crisis of emergency	

Specific activities and investment will be identified throughout the course of the project, especially in year one, from the strategic watershed planning processes and local level engagement with local communities and stakeholders. Table 2 presents potential examples of investment and activities which could be undertaken over the lifecycle of the project.

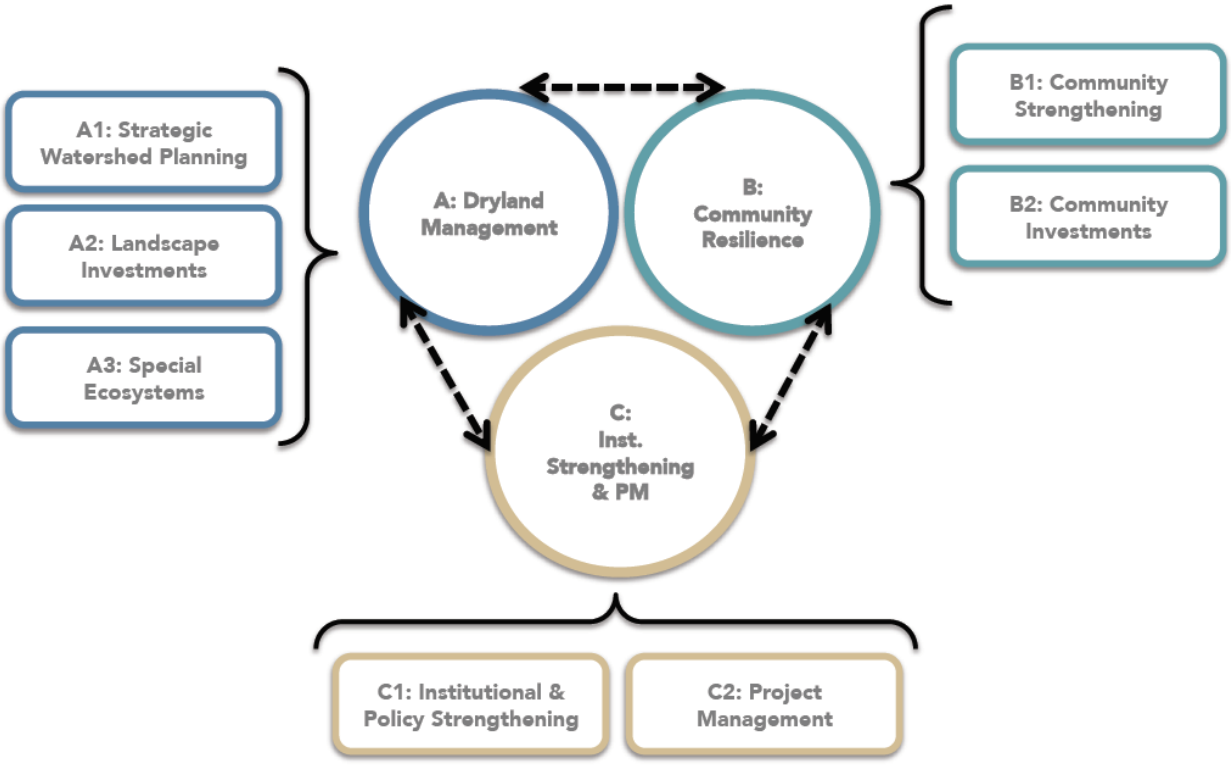


Figure 4. ACReSAL Project Components and Sub-components

Inter-relationships across Components

The project has been structured in a manner that encourages significant inter-relationships across components as indicated below:

		… to Component		
		Component A **Dryland Management**	**Component B** **Community Climate Resilience**	**Component C** **Institutional Strengthening and Project Management**
Support from Component …	**Component A** **Dryland Management**		· Strategic watershed priority inputs for micro-watershed planning and community investments · Lessons from investments that can be further decentralized into micro-watershed levels · Large-scale agricultural development supporting community/household-level agriculture	· Inputs for project M&E and prioritization of investments, planning and adaptive management · Data/Analytic needs · Technical assistance needs · Lessons from implementation · Enabling policies and regulations · Capacity building
	Component B **Community Climate Resilience**	· Inputs from evolving micro-watershed planning and implementation for future updates of strategic watershed plans · Lessons from innovations that can be scaled-up		· Inputs into project M&E (including micro-watershed completion e-reports) and adaptive management · Topics for technical assistance
	Component C **Institutional Strengthening and Project Management**	· Watershed Planning and Monitoring and adaptive management · Technical assistance for implementation support (incl. on strategic watershed planning across states, critical ecosystems), including specialized inputs (e.g. technical, environmental/social, IT) · Support for relevant integrated multi-sectoral knowledge, learning & outreach	· Knowledge Base and Analytics to support Strategic Micro-watershed Planning and Monitoring and adaptive management · Technical assistance for implementation support (incl. on micro-watershed analytics and platforms for stakeholder engagement and innovations) including specialized inputs (e.g. technical, environmental/social, IT) · Support for relevant integrated multi-sectoral knowledge, learning & outreach	

The project has four components and will be implemented over a period of six years.

A project GANTT Chart is available and attached to this PIM for further review and adaptation throughout the project implementation phases.

6. Theory of Change

Each of the operational components contributes to the overall theory of change to address key issues outlined earlier. The underlying theory of change is that:

a) National and state agencies will build strong links with networks of local scientific and technical partners who will bring more robust science into sustainable land management in arid and semi-arid areas;

b) Science and data-driven watershed plans and DSS tools will underpin more cost-effective and targeted investments in soil and water conservation, and climate resiliency;

c) Merging science-based watershed plans with stronger capacities and more targeted on-site investments, will lead to improved environmental conservation, agriculture, water, and climate change outcomes in selected catchments compared to control sites;

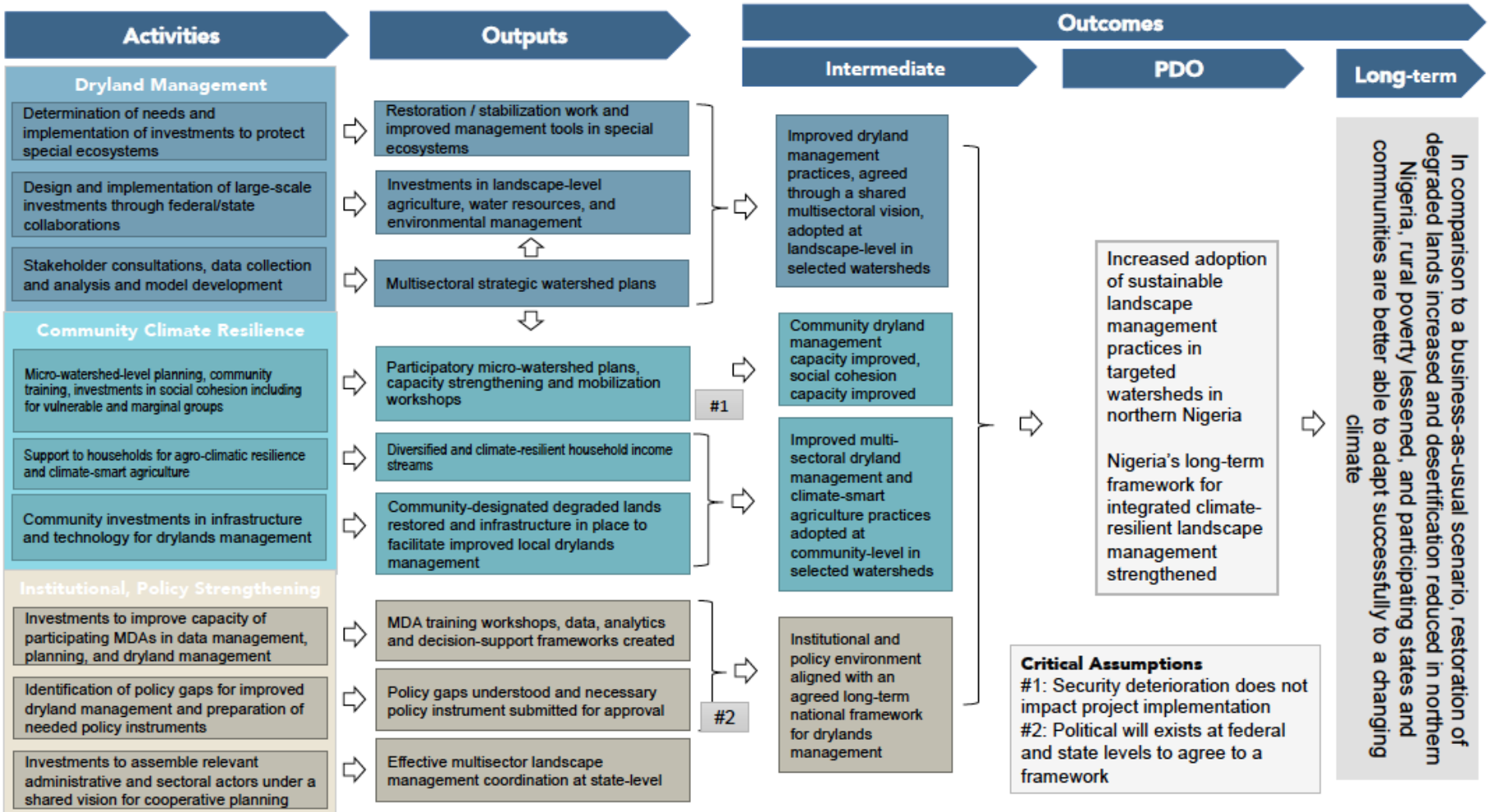
d) Improved dissemination mechanisms for site-level data and DSS tools will guide farmers and other land users to improve agricultural performance, climate resiliency, access to value chains, and incomes;

e) Building community capacities and supporting development of farm and non-farm livelihoods will increase local incomes, and reduce dependence and conflicts around natural resources;

f) Improved local livelihood opportunities and incomes will reduce COVID-19 impacts, especially among the poorest and most vulnerable individuals; and

g) Stronger capacities, systems and tools in relevant national and state agencies, combined with measurable outcomes and strong dissemination programs, will support the design and delivery of more effective and efficient national sustainable land management programs.

Figure 5. ACReSAL Theory of Change including critical assumptions.



Note: FGN: Federal Government of Nigeria; M&E: monitoring and evaluation; MDA: ministry, department, or agency; PMU: Project management unit; WB: World Bank.

7. Results Chain and Results Framework

The Results Chain for ACReSAL has been extensively iterated for each component and sub-component pertaining to the project's interventions. Each results chain details the activities alongside expected outputs and outcomes arranged in logical order, demonstrating how each proposed intervention will lead to the achievement of overall project development objectives. An accompanying set of progress indicators provides the basis for measuring the outputs/outcomes including both quantitative and qualitative measures.

7.1 Project Development Objectives (PDO) Level Indicators

The Project Development Objective (PDO) level indicators for the ACReSAL project are outlined as follows:

- Land area under sustainable landscape management practices (ha), disaggregated as:
    - Area under improved catchment management (ha);
    - Area under community-led landscape restoration (ha);
    - Protected areas under improved management (ha);
    - Area provided with new/improved irrigation or drainage services (ha);
    - Area under rainwater harvesting (ha);
- Enabling environment for integrated landscape management strengthened (Text);
- Increase in Normalized Difference Vegetation Index (NDVI) in targeted areas, correcting for natural variability (Percentage)
- Direct project beneficiaries (Number)
- Number of direct project beneficiaries - Female (Number)

7.2 Intermediate Results Indicators

COMPONENT A: Dryland Management
· Multi-sectoral strategic watershed plans completed with appropriate analytical and stakeholder inputs (Number) · Total water storage capacity added or restored through project interventions (m3) · Targeted gully complexes treated with appropriate measures (Number) · Area benefitting from improved information and extension services contributing to improved climate-smart sustainable agriculture systems (Ha) · Restoration of riparian areas in sensitive habitats (Ha)
COMPONENT B: Community Climate Resilience
· Community-based organizations with increased capacity (Number) · Integrated micro-watershed management plans completed with community participants (Number) · Farmers reached with agricultural assets or services (CRI, Number) o Farmers reached with agricultural assets or services - Female (CRI, Number) · Women-led/owned enterprises, cooperatives, and farmer groups receiving financial and technical support (Percentage)
COMPONENT C: Institutional Strengthening and Project Management
· Proposed integrated knowledge and analytics platform operational and supporting knowledge, learning, and decision making (Text) · Targeted states with effective multi-sector landscape management coordination mechanisms (Percentage) · Project management units meeting agreed standards (Percentage) · Grievances responded to within the stipulated service standards for response times as outlined in the Project Implementation Manual (Percentage)

7.3 Results Tables

Project Development Objective Indicators

Indicator Name	PBC	Baseline	Intermediate Targets						End Target
			1	2	3	4	5	6	
PDO Level Indicators									
Land area under sustainable landscape management practices (CRI, Hectare(Ha))		0	0	58 000	329 000	476 000	623 000	830 000	830 000
Area under Improved Catchment Management (Hectare(Ha))		0	0	6 000	20 000	40 000	60 000	70 000	70 000
Area under community-led landscape restoration (Hectare(Ha))		0	0	40 000	120 000	220 000	320 000	350 000	350 000
Protected areas under improved management (Hectare(Ha))		0	0	0	150 000	150 000	150 000	300 000	300 000
Area provided with new/improved irrigation and drainage services (Hectare(Ha))		0	0	2 000	4 000	6 000	8 000	10 000	10 000
Area under rainwater harvesting		0	0	10 000	35 000	60 000	85 000	100 000	100 000

Indicator Name	PBC	Baseline	Intermediate Targets						End Target
			1	2	3	4	5	6	
(Hectare(Ha))									
Enabling environment for integrated landscape management strengthened (Text)		Enabling environment for integrated landscape management in need of strengthening		Knowledge and analytics platform for integrated dryland management in operation, publicly accessible, and supporting knowledge, learning, and decision making Strategic landscape-scale watershed plans created and providing guidance for SLM practice		50% of targeted states with effective dryland management coordination mechanisms Policies submitted for approval: water sector policy; environmental sector policy; agriculture sector policy	National integrated dryland management strategy submitted for approval Multi-sector policy on dryland management submitted for approval	National integrated dryland management strategy submitted For approval Multi-sector policy on dryland management submitted for approval	Enabling environment for integrated landscape management strengthened
Increase in Normalized Difference Vegetation Index (NDVI) in targeted areas, correcting for natural variability. (Percentage)		0	0	0	0	2	3	4	5
Direct project beneficiaries (Number)		0	0	0	340 000	1 020 000	2 040 000	2 720 000	3 400 000
Number of direct project beneficiaries - Female (Number)		0	0	168 000	504 000	1 008 000	1 343 000	1 680 000	1 680 000

Intermediate Results Indicators by Components

Indicator Name	PBC	Baseline	Intermediate Targets						End Target
			1	2	3	4	5	6	
Component A. Dryland Management									
Multi-sectoral strategic watershed plans completed with appropriate analytical and stakeholder inputs (Number)		0	10	15	20	20	20	20	20
Total water storage capacity added or restored through project interventions (Cubic Meter(m3))		0	0	0	0	1 700 000	41 700 000	51 700 000	51 700 000
Targeted gully complexes treated with appropriate measures (Number)		0	0	5	11	16	16	16	16
Area benefitting from improved information and extension services contributing to improved climate-smart sustainable agriculture systems (Hectare(Ha))		0	0	10 000	40 000	90 000	240 000	400 000	400 000
Restoration of riparian areas in sensitive habitats (Hectare(Ha))		0	0	13 000	40 000	48 000	50 000	50 000	50 000

Indicator Name	PBC	Baseline	Intermediate Targets						End Target
			1	2	3	4	5	6	
Component B. Community Climate Resilience									
Community-based organizations with increased capacity (Number)		0	0	200	600	1000	1000	1000	1000
Integrated micro-watershed management plans completed with community participants (Number)		0	0	40	120	200	200	200	200
Farmers reached with agricultural assets or services (CRI, Number)		0	0	50 000	160 000	310 000	560 000	750 000	750 000
Farmers reached with agricultural assets or services - Female (CRI, Number)		0	0	50 000	160 000	310 000	560 000	750 000	750 000
Women-led/owned enterprises, cooperatives, and farmer groups receiving financial and technical support (Percentage)		0	0	20	20	20	20	20	20
Component C. Institutional Strengthening and Project Management									
Proposed integrated knowledge and analytics platform operational and supporting knowledge, learning, and decision		No knowledge and analytics platform	Stocktaking of available data (from in-situ, earth observation) and	Initial knowledge base and analytical tools for Northern Nigeria	Draft online catalog of relevant services and decision support	Draft Nigeria-wide data and analytics platform for integrated landscape	Rollout of Nigeria-wide data and analytics platform	Sustainability plan for knowledge base and analytics	Knowledge and analytics platform operational and supporting knowledge,

Indicator Name	PBC	Baseline	Intermediate Targets						End Target
			1	2	3	4	5	6	
making (Text)			services	watershed planning	dashboards	planning			learning, and decision making
Targeted states with effective multi-sector landscape management coordination mechanisms (Percentage)		10	10	20	30	50	70	100	100
Project management units meeting agreed standards (Percentage)		0	60	70	80	80	90	90	90
Grievances responded to within the stipulated service standards for response times as outlined in the Project Implementation Manual (Percentage)		0	80	80	90	90	95	95	95

See Annex VII for detailed description of the PDO level indicators and intermediate results indicators and protocols.

7.4 Summary of Results Monitoring and Evaluation Arrangements

The Results Framework (RF) will form the basis for tracking progress on Project outcomes through PDO level indicators and intermediate results (IR) indicators.

Monitoring and evaluation (M&E) and results-based management of ACReSAL will:

- build upon and strengthen the M&E system developed for NEWMAP;
- support adaptive management to guide project implementation and compare and verify results, serve as a mechanism for periodic assessment of project performance;
- provide a learning platform for project stakeholders to strengthen their contributions, and engage the public in supporting and contributing to the goals of ACReSAL;
- strengthen the capacity of the country to collect, manage, and disseminate data related to management of erosion, climate risk, and watersheds; and
- focus explicitly on disaggregating results by gender wherever possible.

M&E Institutional Arrangements and Capacity Building
· The FMPU will be responsible for overall project M&E and will work closely with SPMUs. · Support from the World Bank and other national entities will also be required to support government with the effective functioning of the M&E system. · The PMUs and other national entities will be resourced to effectively execute their M&E related duties. · M&E specialist will be retained at national and SPMUs to coordinate all M&E activities under the project, including creating an M&E manual. · The project will engage relevant government agencies, stakeholders, implementers, and community-based organizations to monitor and report on project indicators. · Where necessary, the project will finance the development of M&E capacity of these partners, particularly with respect to the innovative digital technologies adopted.
M&E Methods
The project will adopt a mixed-methods approach to adequately monitor and verify results: · Field-level data collection will utilize ICT-enabled tools and geotagged photos where possible. · GIS systems will be used to delineate and track the progress of restoration and agricultural-based interventions. · Remote sensing will provide data on land use and vegetative health, this data will be triangulated by field-level monitoring employing unmanned areal vehicles (UAVs) and field surveys when security allows.

M&E Procedures
· A *baseline study* will be conducted in order for the project to have a baseline, pre-implementation snapshot about the current status of areas and sectors related to the project's intervention activities. · A *midterm review* (MTR) will be undertaken in year three to review progress and if necessary, adjust project design. · The MTR will be preceded by an *independent study* to identify key areas for MTR to focus on. · An *impact evaluation* will provide statistically reliable evidence on the causal impact of the project and its interventions on targeted outcomes. · The MTR and impact evaluation will be contracted to a third party. · End line study to understand the overall impacts of the project at project closure.
M&E Reporting
The Federal PMU will prepare and submit to the World Bank: · *Semi-annual progress reports* on achievements against project objectives at the PDO and IR levels. · *Annual work plans and budgets* (AWPBs). · *Progress reports* will be reviewed during semi-annual joint supervision missions with representatives from the World Bank and the Government of Nigeria and will ensure compliance with legal covenants and assess the status of key project documents. · A *closing report and implementation completion report* will be prepared respectively by the Government of Nigeria and by the World Bank, at the latest within six months after the project closes.

A robust Management Information System (MIS) will be set-up at national and state levels. The MIS will be design to track implementation progress including disbursement, procurement, and the implementation of planned activities. The MIS sill be funded by the project and will have a separate but interlined modules for the national and all SPMUs.

The ACReSAL M&E system is presented in detail in PART II of this PIM.

8. Key Investment Options and Investment Lifecycle

8.1 Key Investment Options

This section outlines and describes the pipeline of potential investment options and prioritization process, including types of suitable investments which build on best-practice projects in the region. ACReSAL will fund investments that are identified through extensive consultations and watershed planning processes and prepared in the Strategic Land and Water Management Plans (SLWM) plans or Strategic Watershed Management Plans. However, 'shovel-ready' technical designs are available to jump-start project implementation in the first year or two of the project. These investments have already been prepared mainly as part of NEWMAP. Table 3 presents the type of potential investments and activities relevant under the ACReSAL project with reference to existing or past program initiatives in northern Nigeria.

Table 3. Potential list of type investments under the ACReSAL project and linkages to other programs

POTENTIAL INVESTMENTS and ACTIVITIES	PROGRAM
Strategic watershed plans	NEWMAP/ TRIMING
Sand dune stabilization	
Gully erosion control/ remediation works for flood/erosion site	NEWMAP
Rehabilitation and expansion of dams and irrigation projects	TRIMING
Stabilization of shelter bell and river banks	
Rangeland Management	
Oasis restoration	
Wetland restoration	
Forest management	NEWMAP/ Great Green Wall
Protected areas conservation and management	
Micro-watershed plans	CADP/FADAMA
Community engagement/ social cohesion and capacity building	NEWMAP/ TRIMING/ GGW/ MCRP/ FADAMA
Community-led landscape restoration	FAO
Information services for integrated watershed management planning, coordination and monitoring	
Institutional strengthening of relevant MDAs	SURWASH
Policy improvement for integrated landscape management	

A comprehensive list of potential investments and their approval status can be found in Annex VIII.

8.2 Investment Cycle

The ACRESAL Project intervention activities will occur through a cycle consisting of the following stages:

1. Procedures for screening sub-project activities.

2. Procedures for designing activity; engaging consultants and contractors.

3. Procedures for undertaking the intervention. During implementation, integration of project sustainability measures should be prioritized.

4. Procedures to ensure implementation follows the plan to the required quality in accordance with the terms of the contract.

5. Actions to confirm completion of activity, all documentation and final payment.

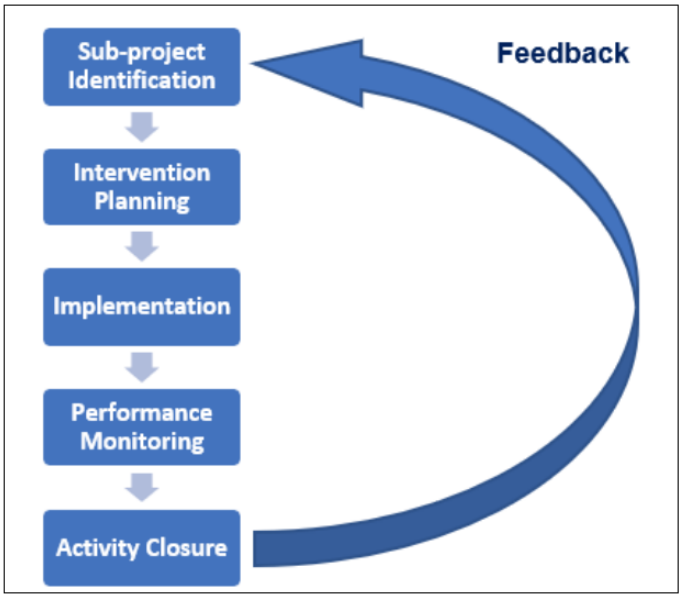


Figure 6. Investment Cycle

Throughout the activity cycle, feedback will provide the opportunity for improvement and refinement of future activities towards achieving the project's PDO indicators.

STEP 1: Sub-project Identification and Screening

This process will result in a set of screened and prioritised sub-projects. The screened and prioritised sub-projects will be submitted to the World Bank (WB) for approval. Once approved, the activity can advance to the detailed planning and design stage.

Reference documentations for this stage:

- Project Implementation Manual (PIM)
- Project Appraisal Document (PAD)
- Procurement Manual (PM)
- Environmental and Social Management Framework (ESF) and Environmental and Social Commitment Plan (ESCP) and associated instruments

Procedure and responsibilities:

1. All participating states in collaboration with the SPMU and relevant state MDAs will conduct a prioritization exercise involving extensive consultations with key stakeholders such as communities, local governments, CSOs and community groups.
2. The SPMU will determine sub-projects that meet the eligibility criteria.

3. The SPMU is responsible for ensuring the screened sub-projects that meet requirements will be included in the Annual Work Plan and Budget (AWPB) and Procurement Plan (PP). An Environment and Social Screening will be done by the Environmental and Social Framework (ESF) Unit for E&S risk rating for the sub-project. Once the risk rating is confirmed, the ESF Unit will confirm the site, specific E&S safeguards instruments required for the sub-project and will arrange for preparation of these instruments. Consultants may be required for the preparation of the site-specific E&S safeguard instruments. Safeguard instruments will be ultimately reviewed and cleared by the WB **(NB: refer to Section 3.4 in PART IV for more details on this step of the process).**
4. The State AWPB and PP are submitted to the FPMU.
5. FPMU collates all state AWPBs and PPs and submits to the Federal Technical Committee (FTC).
6. Following clearance by the FTC, the PP and the AWPN is submitted to the WB for approval.

Approval must be given by the World Bank before a sub-project is advanced to the next stage.

Outcome:

Se of screened and prioritized sub-projects approved by the WB

Criteria / Justification for Sub-project Selection [more details under ESF section and Micro-Watershed Planning sections]

- Threat to life, structure and eco-system (priority micro-watershed)
- The magnitude of agro-climatic vulnerabilities (desertification and land degradation)
- The size of population affected by desertification (disaggregated by poverty rate)
- Absence of on-going competing interventions in the communities
- Availability of communal land for landscape restoration activities
- Readiness of community to contribute revolving funds for maintenance of project investments

STEP 2: Intervention Planning

This procedure ensures that all sub-projects can be designed, planned, budgeted for and procured in line with the ACRESAL objectives as well as project, donor and Government requirements. Community participation and engagement should be initiated and ensured from this stage.

Reference documentations for this stage:

- Project Implementation Manual (PIM)
- Procurement Manual (PM)
- Financial Management Manual (FMM)
- Environmental and Social Management Framework (ESMF)
- Resettlement Policy Framework (RPF)
- Labour Management Procedures (LMP)
- Stakeholder Engagement Plan (SEP)
- Security Management Plan (SMP)
- Integrated Pest Management (IPM) and Veterinary Medical Waste Management Plan (VMWP)
- Gender-Based Violence (GBV) Action Plan
- Anti-corruption Guidelines (ACGs)

Procedure and responsibilities:

Once a sub-project has been approved, the SPMU sets up a dedicated file for the sub-project. All details of the planning process including decisions on procurement process and contract selection will be recorded in the file.

Once the sub-project design is completed to the level of detail and quality required for costing purposes and timing confirmed, the choice of procurement method will be decided by the SPMU. Based on the agreed procurement methods, the preparation of bidding, quotation/proposal documents will be developed, reviewed and approved by the Procurement Unit.

The *SPMU Safeguards Officers* (ESO & SSO) will be responsible for overseeing all safeguards effectiveness required in line with ESMF, RPF, SRA, SEP, IPMF, etc. **(refer to PART IV, E&S Management Process, Section 3.4 for more details).**

The *Procurement Officer* (PO) is responsible for preparing all tender documents. Tenders will be issued, received and assessed in accordance with Procurement Management requirements. Contractors / consultants will submit their technical and financial proposals for evaluation. This process will be detailed in an evaluation report. All procurement will be recorded and included in the Sub-project file. Draft contract documents to be prepared in accordance with PM for agreement

with the Contractor. Final Contract documents to be signed by both parties in accordance with the PM.

Outcome

- Design, plans and specifications for sub-project implementation.
- Bidding/Quotation/Proposal and Contract documents.
- Site-specific environmental and social safeguards instruments (ESIA, ESMP, RAP, ARAP, etc.).

STEP 3: Implementation

At this stage, sub-projects are implemented as planned. Implementation includes the key steps from preparation of all safeguard documents through to the completion of all physical works. During implementation, integration of project sustainability measures should be prioritized. During implementation, integration of project sustainability measures should be prioritized. Sustainability measures can be capacity building, consolidation of institutional structures, etc. Tracking and monitoring should be initiated and integrated from this stage.

Reference documentations for this stage:

- Contract including terms of reference, all designs, plans and specifications for the intervention.
- Sub-project specific environmental social and safeguards instruments.
- Contractor's Environment and Social Management Plan (c-ESMP)

Procedure and responsibilities:

Consultant/Contractor is responsible for procuring the temporary use of land for campsites or storage and evidence of agreements for this use is presented in the c-ESMP to be approved by the SPMU.

SPMU is responsible directly or through contracted consultants for ensuring the pre-deployment requirements, deployment requirements and project works are undertaken as planned to include assisting with community awareness meetings on the project and safeguards provisions including temporary site access agreements, training and signing off the contractor's safeguards manual and procedures as contained in the c-ESMP. The SPMU may delegate some or all of these tasks to a design and supervision consultant.

Consultant/Contractor is responsible for ensuring all the terms and design requirements and technical standards are followed at all times and at all sites. This includes following all safeguards requirements. More details on Management of Contractors and Consultants are available in Part IV, Section 3.6.

Outcome:

Project implemented

STEP 4: Performance Monitoring

Performance monitoring ensures the supervision and monitoring of all project activities to ensure they meet contract specifications in terms of the agreed programme of works, quality standards and other requirements including financial management and safeguards.

Reference documentations for this stage:

- Project Implementation Manual (PIM)
- M&E Manual
- Contract including terms of reference, all designs, plans and specifications for the intervention.
- Sub-project specific environmental social and safeguards instruments.
- Contractor's Environment and Social Management Plan (c-ESMP)

Procedure and responsibilities:

The PMUs are responsible for ensuring works are completed to the required standard and that the requirements of the Performance Monitoring procedures are met. Some or all of these tasks may be designated to a supervision consultant. The SPMU will be responsible for the performance monitoring at state levels and the FPMU at federal level. Supervising consultants will generally be responsible for the performance monitoring of Contractors.

Project implementation reporting and monitoring will commence with the pre-deployment site visit where all information that might affect the quality of the project, concerns, risks and potential safeguards issues are to be recorded in a Project Inception Report. Any issues identified will be recorded in the report and their subsequent resolution recorded. The Project Inception Report will also set out any additional site-specific requirements for safeguards arising from the pre-mobilisation community and stakeholder consultation.

Key Performance Indicators (KPIs) shall be confirmed for each sub-project and reflect contract requirements in terms of technical requirements and the quality of works.

Regular inspections throughout the implementation will take place and Site Reports will be produced as shown in Table 4 by the PMU, Contractor and Supervising Consultant. Records of all site reports will be retained by PMU and available in the sub-project file.

Table 4. Project Activity Reports

REPORT NAME	REPORT SCOPE AND CONTENTS	FREQUENCY/WHO
Inception Report	Agreed approach to site specific issues prior to commencement of implementation Confirms agreed KPIs	Once (follow up on action points) SPMU/Contractor
Daily Site Report	Progress, issues including any complaints under GRM.	Contractor
Site Report (Weekly)	Summary of daily reports, issues, progress against programme of works and safeguards summary including GRM.	SPMU / Supervisor
Monthly Report	Progress of all Activities	SPMU
Notices	Details activities required to bring services/works up to TOR/specification.	SPMU / Supervisor
Ad Hoc/ Audit Report	Audits for compliance and verification of safeguards, project progress and systems.	Auditor / WB
Works Completion Report	Confirmation of completion of intervention activities.	SPMU / Supervising Consultant / Contractor
Activity Final Report	Confirms all works completed and lessons learned.	SPMU

STEP 5: Activity Closure

This procedure sets out the steps and requirements to confirm a sub-project has been successfully completed as planned and the related administrative procedures and requirements have been completed.

Reference documentations for this stage:

- Procurement Manual (PM)
- Contract
- M&E Manual

Procedure and responsibilities:

PMUs and relevant MDAs are responsible for formally confirming the completion of an intervention activity / sub-project. At state level, the SPMUs and state MDAs are responsible for this and at Federal level, the FPMU and Federal MDAs.

The PMU shall gather all Activity reports including the Works Completion Report to ensure that the Activity has been completed including sign-off of Consultant reports and demobilisation of the Contractor, workforce, equipment and any project wastes.

The PMU shall verify with the relevant Agency that all services and physical works have been completed and that the Activity site can be formally handed over to the Agency upon receipt of a

letter from the Agency agreeing that the Activity works are completed and the Agency is able to either accept the Consultant deliverable or take the site over the works.

The PMU will perform a final project budget to confirm performance against budget for the sub-project. Reports and documents will be gathered to develop an Intervention Activity Final Report which will be reviewed and signed off by the PC (SPC/NPC). The PC will also ensure that a short summary section in the report indicating the services/works meet the requirements and is completed with any “lessons learned” that may be used in other sub-projects.

The final step is to obtain formal validation and verification of the Intervention Activity Final Report from the WB.

Outcome

- Financial Records for the sub-project
- Intervention Activity Final Report

9. Project Sustainability

The sustainability of the project investments depends on three pillars:

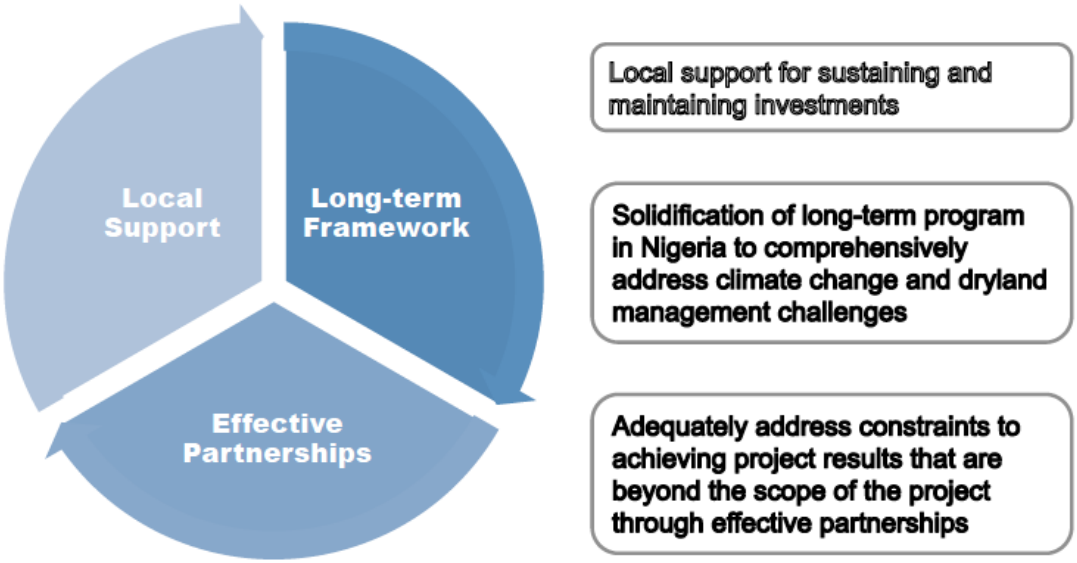


Figure 7. ACReSAL project sustainability pillars

9.1 Long-term Vision

The project's multisectoral approach to better managing the drylands of northern Nigeria can only be sustained if it is anchored with respect to long-term institutional priorities and the policy environment. The ACReSAL project, under Component C, will contribute to a Long-term Framework for Integrated Multi-sectoral Landscape Planning and Management vision. In sum, the project, through the various activities aims for:

- increased restoration of degraded lands,
- reduced desertification in northern Nigeria ,
- lessened rural poverty, and
- effective and efficient adaptation of participating States and communities to a changing climate.

Desirable Long-term Impacts

- Updatable knowledge base/analytics and meaningful stakeholder participation foundation for landscape planning, management and monitoring leveraging modern technology.

- Improved institutional arrangements within and across governance levels, across sectors (especially Environment, Water, Agriculture) and stakeholder groups (incl. communities, govt., CSOs, academia, private sector) and participation of target stakeholders (e.g. women, youth).
- Improved policy frameworks for climate-smart integrated landscape/ watershed management.
- Integration of integrated climate-smart landscape approaches into sectoral and state plans and local government plans.
- Improved framework for nature-based solutions, “green” jobs, performance-based contracts.

9.2 National Long-term Frameworks associated with the ACReSAL Project Objectives

ACReSAL project focuses on the long-term sustainability of land and water management in the dry-lands of northern Nigeria. The project will support a scale-up of SLWM practices in northern Nigeria by reinforcing strategic investments to address natural resource degradation through an integrated ecosystem approach, build capacity of institutions to reduce risks and respond to climate variability, and generate information and knowledge, and improve sustainable land and water management practices in Nigeria as a whole, and northern Nigeria in particular. Emphasis will be on natural regeneration of tree cover, soil and water conservation, watershed planning, water harvesting, water resources management, integrated nutrient management, low tillage, secure biodiversity, and agroforestry. This will form the foundation for achieving the goals of food security and inclusive green growth through innovative financing instruments, improved technical and capacity building mechanisms, and comprehensive policy frameworks for land use and watershed planning, payments for environmental services, and climate change adaptation techniques.

The ACReSAL project can support and collaborate with entities responsible for the implementation of the following long-term frameworks existing in Nigeria such as:

- National Climate Change Policy for Nigeria (2021 – 2030)[17]
- National Action Plan on Gender and Climate Change for Nigeria[18]
- Nigeria’s National Action Plan to Reduce Short-Lived Climate Pollutants[19]
- Nigeria Sovereign Green Bonds

Description of national Long-term Frameworks aligned with ACReSAL objectives can be found in Annex IX.

[17] Department of Climate Change, Federal Ministry of Environment, n.d.
[18] Department of Climate Change, Federal Ministry of Environment, 2020.
[19] Federal Ministry of Environment Nigeria, 2018.

10. Project Beneficiaries and State Staging

10.1 Project Beneficiaries

Primary Beneficiaries

ACReSAL interventions will improve land use planning and help a wide range of communities adapt to evolving climate impacts and dryland conditions. Communities and households that are most dependent on natural resources for their survival and vulnerable to desertification are expected to most benefit from ACReSAL. In the communities that will receive project investments, additional benefits can be expected for residents in terms of community cohesion and peacebuilding, including through improved capacity for local conflict resolution. ACReSAL will specifically target vulnerable and marginalized groups, including women, youth, the elderly, persons with disabilities, internally displaced people, and ethnic and religious minorities, to ensure their full participation in community level structures established or supported under the project. As well, targeted livelihoods and other interventions will be provided to vulnerable and marginalized groups under Components A and B.

Secondary Beneficiaries

Government institutions at federal and state levels and other partners from governmental and non-governmental agencies will be secondary beneficiaries of the institutional modernization and policy support investments. The project intends to improve the capacity of the country to adapt to a changing climate, largely through modernized access and use of data, and through the establishment of sustainable programs that will survive the project – these investments will benefit all Nigerians.

10.2 State Selection, Investment Staging and Dynamic Fund Allocation

A process of progressively staging the activities in each State and of individual large investments based on demonstrated performance has been developed rooted on transparent criteria: i) Eligibility and ii) Prioritization

Eligibility Criteria

In consultation with the Federal Ministry of Finances, the FMEnv developed a simple technical eligibility criterion for the states, using the CGIAR Aridity Index. Based on this single technical criterion measuring aridity, the 19 northern states of Nigeria as well as the Federal Capital Territory were deemed eligible to participate in ACReSAL, as listed in Table 5 - **Annex X provides short summaries for each 19 states and FCT.**

Table 5. Eligible states

Northeast	Northwest	North Central
Adamawa	Jigawa	Benue
Bauchi	Kaduna	FCT
Borno	Kano	Kogi
Gombe	Katsina	Kwara
Taraba	Kebbi	Nasarawa
Yobe	Sokoto	Niger
	Zamfara	Plateau

The single proposed technical aridity criterion is simple, transparent, and based on available information. The project applies the CGIAR Aridity Index (Trabucco and Zomer, 2018). This index combines data on rainfall and evapotranspiration (thus also reflecting water availability, vegetation, and temperature). Nigerian values range from 0.07 (the most arid and the darkest brown colour) to 2.9 (the most humid and the bluest colour). Widely accepted aridity classes include arid (values of 0.075 to 0.2), semi-arid (0.21 to 0.5), and dry sub-humid (0.51 to 0.65).

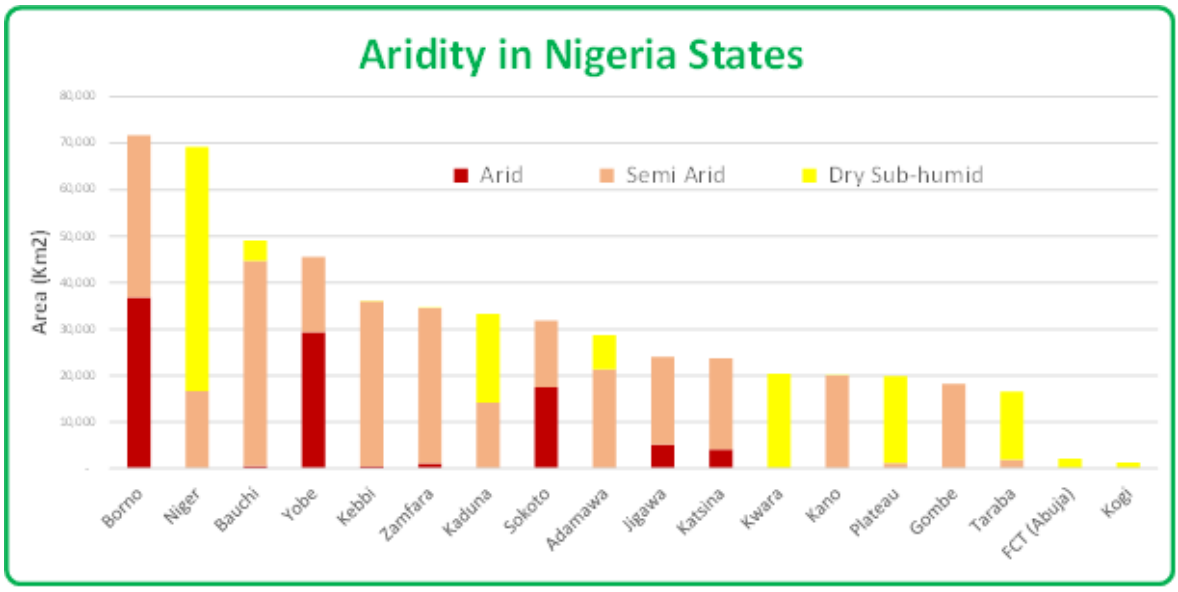


Figure 8. Dryland areas in Nigeria

Figure 8 shows all of the Nigerian states with some land area in one of the three dryland classes of arid, semi-arid, or dry sub-humid. The 17 northern states captured in Figure 8 are all members of the Northern Nigeria Governors' Forum (NNGF). The two NNGF states missing from Figure 8, namely Nasarawa and Benue are also deemed eligible because of their membership in the NNGF and because in both cases they also face significant dryland management challenges. Nasarawa State's average Aridity Index is about 0.7 which is marginally above the range for dry semi-humid. Benue State average Aridity Index of 0.9 is on the lower end of the Humid zone. All of the states of the NNGF are face growing challenges of dryland management due to climate change.

Eligibility and Prioritization

- **Eligibility:** All 20 Northern States (incl. FCT) have been deemed eligible for ACRESAL support, based on their low Aridity Index.
- **Prioritization:** Eligible States were assessed by the Federal Project Management Unit

Prioritization Criteria

In consultation with state commissioners responsible for environment, agriculture, and water portfolios, the FMEnv developed prioritization criteria for state participation in the project. Eleven prioritization criteria were proposed to assess the demonstrated commitment and implementation readiness of eligible states, with the view to determining staged access to investment funding. They include:

- Dryland Management Engagement
- Counterpart Financing and Land Availability for ACReSAL
- Use of State Ecological Fund
- Inter-sectoral Coordination
- Commitment to Project Security
- Readiness for investment projects
- Catchment investment plans
- Institutional Capacity
- Policy Readiness
- Fiduciary Capacity
- Safeguards Capacity

Table 6. Demonstrated Overall Commitment and Readiness Criteria

Criteria	Documentation Requirements
1. Active engagement in dryland management	Past and ongoing State initiatives to develop integrated dryland management to combat desertification and water scarcity and promote climate-smart agriculture. This may include a) Laws, policies, strategies, investment plans (date, scope); b) Investment programs (dates, scope, budgeted amounts, implemented amounts, results).
2. Counterpart funding and land availability for ACReSAL	Provide a statement of State commitment to: a) Co-finance 5% of ACReSAL works investment costs; b) Cover any involuntary resettlement compensation costs; c) Make land available for relevant ACReSAL activities, in line with World Bank land acquisition and resettlement policy; d) Fund initial readiness costs, including early State Project Management Unit (SPMU) costs, such as may be relevant ahead of availability of Project funds.
3. Use of State Ecological Fund	a) Describe and if possible quantify past utilizations of SEF for dryland management needs (year, uses, amounts, % of SEF resources) b) Statement of State intent for annual allocation of a minimum share of SEF resources, or other funding mechanisms, to be allocated for the implementation of future dryland management programs.
4. Inter-sectoral coordination	Describe existing entities or coordination mechanisms, involving environment, agriculture & water sector actors, for planning & implementation of dryland management activities in the State.
5. Commitment to Project Security	Provide a statement of State commitment and potential measures to ensure security of Project personnel, beneficiary communities and assets in coordination with Federal Government, and in compliance with Project operational security requirements.
6. Readiness of investment projects	If any available, list and summarize the scope, cost and status of existing designs or feasibility studies for investment sub-projects to be proposed under ACReSAL. This may include, but is not limited to, relevant approved "shovel-ready" NEWMAP sub-projects.
7. Catchment investment plans	List & summarize any available watershed plans or catchment investment plans of various scales, which identify priority investment and activity needs for sustainable dryland management.
8. Institutional capacity	Confirm State multisector capacities for dryland management across Environment, Agriculture and Water sectors: a) Describe existing sectoral or intersectoral capacities for the planning and implementation of ACReSAL investments. b) Describe the commitment of State Environment, Agriculture and Water Resources Ministries to collaborate to ensure effective Project steering and implementation. c) Describe State commitment to mobilize a Project Implementation Unit with multisector capacity.
9. Policy readiness	Availability and enactment of policies for Desertification, Land Degradation and Drought Response, as well as for alignment with national Integrated Water Resources Management policy and legislation.
10. Fiduciary capacity	Fiduciary capacity assessment is to be performed by World Bank
11. Safeguards capacity	Safeguards capacity assessment is to be performed by World Bank

Investment Readiness and State Staging

Investment Readiness (How ready is the state for the implementation of ACReSAL investments). ACReSAL is open to all interested states in northern Nigeria. The managed allocation of project funds to participating states is intended to promote implementation performance. States will access growing levels of funding based on their compliance with readiness and performance conditions. For initial consideration for ACReSAL investments starting at project effectiveness, the States have to demonstrate eligibility based on assessing overall commitment as outlined above with an overall Commitment Index Score of not less than 0.7.

Eligible states were asked to document their compliance with the prioritization criteria. The state selection process and prioritization criteria were also presented at the Northern Nigeria Governors' Forum (NNGF). The responses submitted by the states to document the criteria were assessed by the FPMU.

Table 7. State Readiness Criteria for States to enter each Stage

	State Level		
Criteria	**Stage 1**	**Stage 2**	**Stage 3**
Overall Commitment	**Overall Commitment Index Score > 0.7** · Counterpart Financing (also Land Availability and Ecological Fund Use) Commitment · Institutional Capacity (including SPMU Setup, Technical, Fiduciary and ESF) · Policy Readiness · Security		
Component A	· Scoping of potential investments in A2 and A3	· Initial investment packages approved (up to $S2A_{max}$)	· Initial investment packages approved (up to $S3A_{max}$ with special provision for larger investments)
Component B	· Identification of at least 2 priority micro-watersheds for planning · Scoping of potential investments in Component B	· Initial investment packages approved (up to $S2B_{max}$)	· Approved micro-watershed plans · Initial investment packages approved (up to $S3B_{max}$ with special provision for larger investments)
Component C		· SPMU fully operational	

Initial limits (to be adjusted from time to time by concurrence of Federal Project Steering Committee and World Bank): $S2A_{max}$=USD 10m; $S2B_{max}$=USD 2m; $S3A_{max}$=USD 25m; $S3B_{max}$=USD 5m

At entry, states will benefit from funding for technical assistance and planning studies, towards satisfying minimum capacity and readiness conditions (Stage 1). The states having satisfied capacity and readiness conditions will have access to an initial capped amount of investment funding to start implementing an agreed workplan (Stage 2). Each state will have the opportunity to subsequently access larger capped tranches of funding to continue implementing their workplan (Stage 3), based on their performance in Stage 2. In all stages, state performance will take into account the timeliness and compliance of consultancies, design, procurement and implementation tasks. Excessive delays or compliance deviations in procurement or in implementation will be factors in potential decisions for reduced or deferred allocation of new funding or even for a reallocation of non-committed funding. The proposed starting and fund allocation mechanisms are further described above.

Potential Activities at each Stage

Entering subsequent stages will unlock additional activities that can be undertaken by the States as in the table below:

Table 8. Potential Activities at each Stage

		State Level		
	Activity	**Stage 1**	**Stage 2**	**Stage 3**
A1	*Strategic Watershed Planning*	Strategic Watershed Knowledge Base, Analytical Tools, Stakeholder Discussions, Strategic Watershed Plan development		
A2	*Landscape Investments*	Strengthen state extension systems (e.g. IPM programs), Agro-climatic data and information systems, Support for Investment preparation	+ Support for small investments	+ Relevant scaled-up on-ground landscape restoration as in A2
A3	*Special Ecosystems*	Knowledge base, training	+ Wetland and oases management	+ Forest and woodland management and supporting infrastructure as in A3
B1	*Community Strengthening*	Community engagement, Microwatershed planning	+ Establishment /strengthening of community groups	+ All relevant Microwatershed investments as in B1
B2	*Climate-smart Community Investments*	Farmer training	+ Special Equipment (e.g. Delfino Plough), small investments	+ All eligible investments in B2
C1	*Technical Assistance and Institutional Infrastructure*	Knowledge Base, Data/Analytic Services, Virtual Training Cloud Services, Limited IT Equipment	+ In-Person Training, Internships, national study tours, Office and IT Equipment	+ International Study Tours and other C1 activities, Minor Civil Works, Enhanced In-situ Monitoring, and other activities as in C1
C2	*Project Management*	Basic support to start SPMU	+ Full SPMU support	
D	*CERC*	Qualified emergency support		

Assessment Process

Progressing through the various stages will be based on regular reviews of the State performance according to the next Stage criteria for inclusion every 6 months based on the recommendation of the National Steering Committee and concurrence of the World Bank. In addition, the annual performance of these States will be assessed to determine if the State should continue at that stage or be dropped as indicated below.

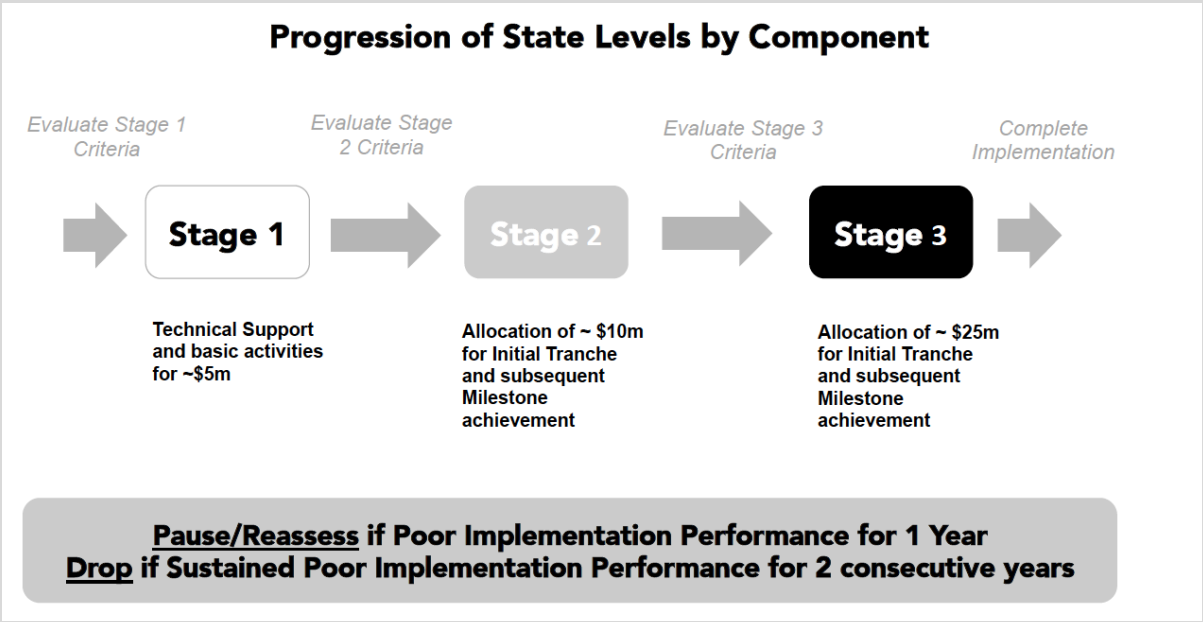


Figure 9. Progression of State Levels by Component

The results of the State performance will be updated by the FPMU on a public-domain website along with other key M&E indicators.

The Implementation performance criteria will include:

- SPMU performance (related to overall project activity facilitation, technical, fiduciary, ESF)
- State Investment implementation performance

Note: Stages are defined for each individual investment. These are evaluated every 6 months. A State may be running 20 investments simultaneously at different Stage levels.

The Federal Project Steering Committee (with concurrence of the World Bank) will:

- Finalize and adjust State Readiness Criteria and Potentially Allowable Activities for the States at various Stages
- Semi-Annually Review Assessment of each State's Readiness to determine/adjusts overall State's Stage

- Reviews Annual Work Plan and Budget and ACReSAL Procurement Plan and ensures this is in line with current State Stage
- Annually Review State Implementation Performance to determine consequences (Pause/Reassess, Drop)

Dynamic Allocation of Investment Financing

Individual Investments will also be considered with well-defined milestones. The overall process will include:

- **Investment Summary** of Relevance to PDO, Technical (with location, maps, and photos), Environmental, Social, Economic, Institutional Aspects (submitted/ revised by State, reviewed by FPMU) – includes request for supporting Technical Assistance for preparation (to be included in workplan/procurement plan)
- **Final Investment Package** including feasibility studies/ detailed costs and designs/ ESF instruments and supervisory TA (draft submitted/revised by State after State Steering Committee clearance, reviewed by FPMU and submitted to WB for clearance as required)
- Included in **AWPB/Procurement Plan** (reviewed and cleared by Federal Steering Committee and WB) and **Strategic Watershed Plan** after PY2
- **Investment implementation** with supporting technical assistance
- **Regular monitoring** by SPMU/ FPMU and State and Federal Steering Committees for action based on milestone achievements and reflected in project M&E system for reporting and corrective actions

The investments in Component A can be a combination of “lumpy” investments (e.g. a check-dam or major erosion control work which cannot have benefits when partially complete) and “scalable” investments (e.g. most watershed management measures, rangeland management, etc. that can be customized based on scale). Both these will require careful determination of specific milestones (3-5 milestones as indicated below), which, when achieved, release the next tranche of funds. This dynamic fund allocation is intended to avoid “earmarking” of large financing by non-performing investments and incentivize timely investment completion. Remaining funds will be allocated on a rolling basis to better performing States.

Table 9. "Lumpy" versus "Scalable" investments

"Lumpy" Shovel-ready Investments	"Scalable" Investments
· Initial Tranche 1 (initiating work) ~10% budget · Intermediate Tranches (1-3 levels based on Investments) ~70% based on milestone completion · Final Tranche (completion, final reporting, lessons for replication/scale-up) ~20%	· Initial Tranche 1 (initiating work) ~10% · Intermediate Tranches (1-3 levels based on Investments) ~80% based on milestone completion · Final Tranche (completion, final reporting, lessons for replication/scale-up) ~10%

The fiscal responsibility for the IDA credit will be assumed jointly between the FMF and the participating states. The relative allocation of those responsibilities is decided by the Borrower. The following table presents some preliminary ideas about how the Borrower may choose to make these allocations.

Table 10. Approximate allocations of fiscal responsibilities

Component	Federal Responsibility	State Responsibility
A: Dryland Management	· Strategic catchment planning consultancy (across states) · Cross-state investments · National parks	· Most activities on the ground
B: Community-Based Climate Resilience	· Technical assistance · Cross-state landscape restoration and agriculture	· Detailed investment preparation, implementation, and supervision · Equipment (but procured centrally where possible)
C: Institutional Strengthening and Project Management	· Capacity-building support (involving federal MDAs) · FPMU & consultancies	· Capacity-building support (involving state MDAs) · SPMU & consultancies
D: CERC	· Full component	

PART II: COMPONENT A - DRYLAND MANAGEMENT

PART I	**Introduction to the project**
PART II	**Project Components:**
	• **Component A: Dryland Management**
	• **Component B: Community Climate Resilience**
	• **Component C: Institutional and Policy Strengthening**
	• **Component D: CERC**
PART III	**Institutional and Implementation Arrangements** · Institutional Arrangements · Project Staffing · Roles of Implementing Agencies · Stakeholder Identification and Engagement Processes
PART IV	**Compliance and Safeguards**

PART II: COMPONENT A

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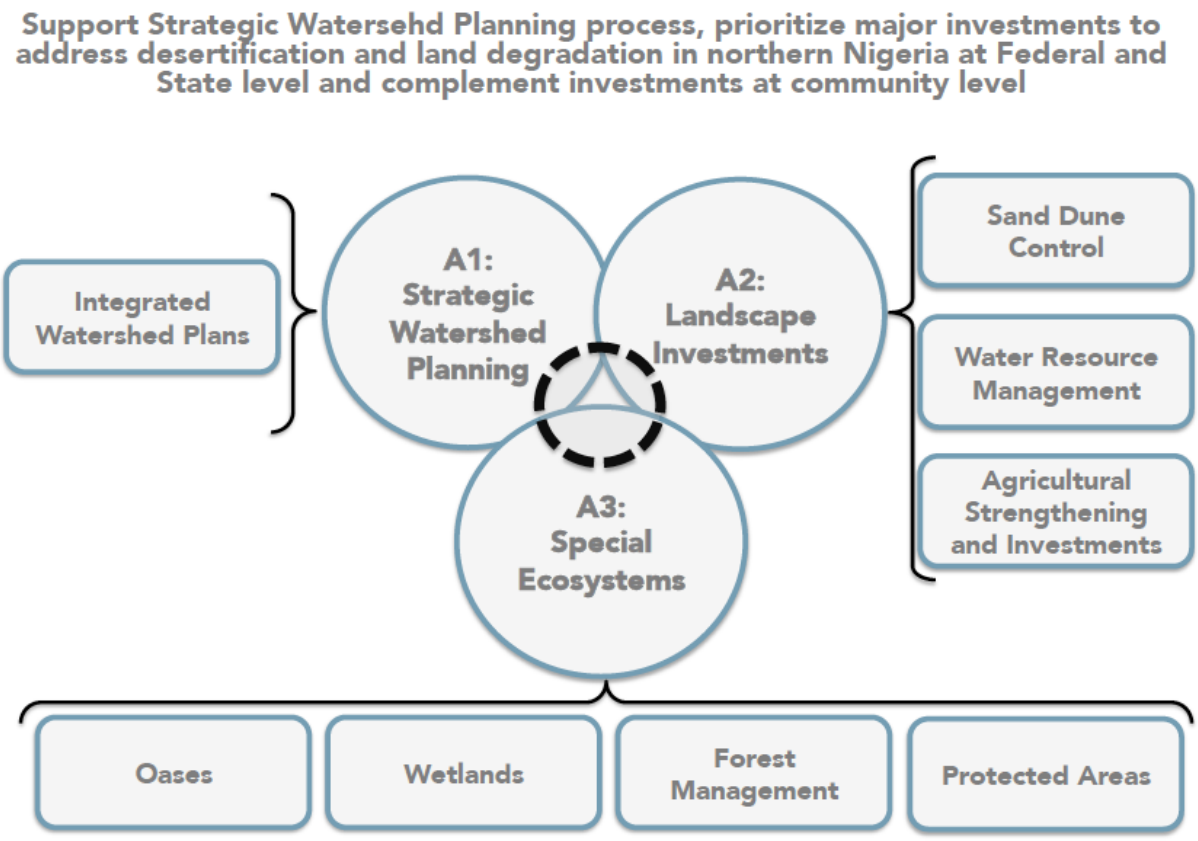
1. Component A: Dryland Management



Component A is composed of the following sub-components:

- *Sub-component A1: Strategic Watershed Planning*
- *Sub-component A2: Landscape Investment*
- *Sub-component A3: Special Ecosystem*

Component A and its three subcomponents will support:

- A **planning process to prioritize major needed investments at a large-scale or landscape watershed level** to address major drivers of desertification and land degradation in northern Nigeria.
- The investments will target the **highest priority large-scale public investments** as defined in the **Watershed Strategic Management Plans** or watershed-level sustainable land and water management (SLWM) plans developed or/and refined under this component.
- The investments will be **managed primarily by government agencies** (at the federal and state level) and **implemented through a combination of government agencies and contractors**.

- Watershed planning process and investments from Component A will inform and complement **micro-watershed plans and smaller investments planned and managed at the community level** under Component B.
- In the case of large-scale activities being implemented in private lands (those of individual households or of local communities) would require providing landholders with long-term compensation for their efforts and for the opportunity costs they would face through mechanisms such as **payments for ecosystem services (PES)**. Although investments under component A will be limited to working in public lands, PES programs will be piloted in northern Nigeria under Component C1.
- Provide a basis for **longer-term holistic management** of these systems even after the project.

Figure 1. Degraded farmland in Nigeria

1.1 Subcomponent A1: Strategic Watershed Planning

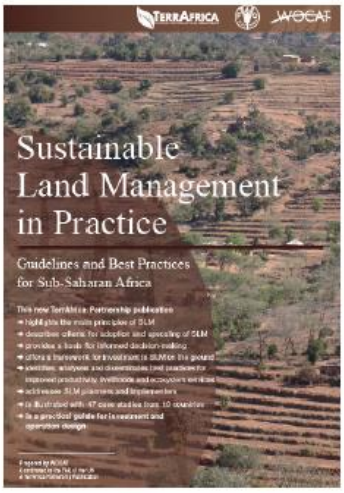
Support the integrated use of Land and Water Resources in a drainage area for the improvement of ecosytems services and residents' benefits

20 x Integrated Watershed Plans
(Year 1 – rapid initial plans and "shovel-ready" investments)

Guidelines for and the establishment of multi-sectoral/ multi-stakeholder **Watersheds Committees (WCs)** with Technical Advisory Board support

Participatory approach methodologies
(e.g. TerrAfrica's *Sustainable Land Management in Practice: Guidelines and Best Practices for Sub-Saharan Africa*)

Informs micro-watershed planning and community investments



Basins and Level 05 Hydroshed Watersheds

Integrated Watershed Management

Watershed Management (WSM) practices tend to share the broad objective of reducing poverty, and doing so through watershed-based natural resources management, livelihoods promotion, capacity building and institutional development.

An integrated and participatory catchment management or watershed management [20] approach will be the operating framework for project implementation at field level. Watersheds are proposed to be the spatial framework for developing **integrated multi-sectoral investment plans** in ACReSAL. These plans will assist to integrate (and not just collate) plans and activities across the **water, environment, and agriculture** themes even if implementation is done by different agencies. It is also critical to integrate the evolving security challenges into the design and implementation of any project activities. The northern drylands of Nigeria are composed of watersheds at various scales that

[20] Terminology around catchments and watersheds differs around the world. The term watershed is often used synonymously with catchment, although in some parlance watershed is the boundary between two catchments. In this document we use the term watershed except where a certain programme or concept has adopted the term catchment.

could be useful for planning, implementing, and monitoring investments to improve watershed sustainability and productive climate-smart ecosystem services.

Based on approved Watershed Management Plans, targeted interventions can then be implemented to address natural resource priorities and build climate resilience which in northern regions of Nigeria. These may include, for instance, reducing land degradation and erosion, increasing vegetative cover, improving agricultural productivity, increasing availability and access to water and protecting existing water sources, improving pasture management and nomadic grazing practices, etc. In addition, an integrated watershed management approach should also include activities to improve farm and non-farm livelihoods to broaden economic activity, particularly for women and vulnerable groups, and reduce the community's dependency on, and illegal use of natural resources. Overall, as the natural resource and economic base are put on a more sustainable footing, conflict over natural resources would be expected to decline.

Watersheds as complex socio-ecological systems

The catchment or watershed of a river is the land area that provides the source area for water draining to the river, and all material carried within in. This includes eroded soils, dissolved minerals and various pollutants including fertilizer, pesticides and the ubiquitous plastic waste.

The watershed is also the land surface on which we as humans live and from which we derive our main sustenance. Our actions on the catchment surface have a direct impact on the flow of water into a river and the quality of that water. A watershed is therefore the most logical management unit for any water-based activity. Our activities in the ACReSAL project will be framed, therefore, within a watershed context.

Watersheds cover a range of sizes, from micro-watersheds to the scale of a large river basin. Large watersheds are made up of a hierarchy of smaller watersheds or catchments that feed into the greater system.

Watersheds are increasingly understood as **complex socio-ecological systems** involving numerous inter-related elements from the natural environment and the human dimension. These factors and relationships influence land, water and biological resource-use; the way in which they take place can have either beneficial or negative consequences for the system as a whole.

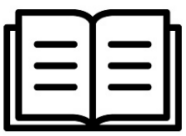
Biophysical degradation of the catchment in the form of erosion, biodiversity loss and reduced productivity is a widespread concern and occurs within this dynamic complex where people impact the environment and the environment in turn impacts on people. There is a direct interdependence between healthy catchments and healthy people as people are directly dependent on the services that these ecosystems provide (e.g. water, nutrition, forest products, grazing, etc.). Ecosystems can also act as regulators of climate, provide cultural linkages, economic opportunities and support life on earth as a whole.

Watershed Management (WSM) frameworks are guided by the following considerations[21]:

- ✓ the micro-watershed as a building block;
- ✓ decentralized and participatory development;
- ✓ participatory, evidence-based micro-watershed planning;
- ✓ stakeholder inclusion;
- ✓ capacity building and information sharing;
- ✓ sustaining outcomes through linking conservation to livelihoods; and
- ✓ monitoring and evaluation (M&E).

The development of watershed management plans for the ACReSAL project will be informed by the model promoted by TerrAfrica's *Sustainable Land Management in Practice: Guidelines and Best Practices for Sub-Saharan Africa,* which include:

a. the **development of models** of watersheds and their **ecosystem services** (including, for example, food production, soil retention, water regulation, fodder and fuel production, carbon sequestration);
b. **spatial prioritization** of watershed management actions based on an **assessment** of the cost, the benefits to ecosystem services and livelihoods and potential tradeoffs;
c. definition of a **M&E framework** including results framework, metrics, roles and responsibilities for collecting and reporting on progress towards plan implementation;
d. clearly laying out **roles and responsibilities** of implementing agencies and defining **mechanisms for allocating project funds** to priority investment actions, including identifying additional funding where applicable; and
e. incorporation of **information** (collected in the MIS under Subcomponent C1) on monitoring of conflict impacts in the project area, to inform the adaptive planning process and to help prioritize project investments.



COMING UP: "Analysis of global good practices on watershed planning and landscape-level interventions applicable in Northern Nigeria context". The results will help adapt the integrated watershed planning methodology and approach to be followed by ACReSAL.

[21] World Bank, 2013

Integrated Planning Scales

Two scales of planning are proposed for the ACReSAL project – **strategic watershed plans** covering all northern Nigeria and **micro-watershed plans** for a few areas with interventions primarily at local community level in a few targeted areas (see further details under Subcomponent B1). It is important to understand the links between the two levels of planning scales. It should also be noted that the actual sizes of the watersheds vary according to local geographical factors and density of settlements within the watershed.

Table 1. Watershed Nomenclature, Sizes and Implications (Source: Adapted from Project Implementation Plan: Neeranchal National Watershed Project, 2014)

Watershed Unit	Indicative Size Ha	Influence of Land Use on Hydrology	Primary Stakeholders	Typical Management Focus/Instruments
Basin	500,000+	Weak to Very Weak	State, multi-State, or federal w/principal regional & State stakeholders	Basin planning; stakeholder management policy, legal framework & incentives
Sub-basin	100,000 - 500,000	Moderate to Weak	Local, regional or State w/principal regional stakeholders	Basin planning; stakeholder management; policy, legal framework & incentives
Watershed/catchment (Landscape Level)	10,000-100,000	Strong to Moderate	Local or multiple local governments w/principal local and regional stakeholders	Watershed-based zoning; land use & water resources planning; stakeholder management; policy, norms, regulations & incentives
Sub-watershed/ catchment	1,000~10,000	Very Strong to Strong	Local government w/ principal local stakeholders	Stream classification; land use planning/zoning; land, water resources & stakeholder management
Micro-watershed/ catchment	Around 500 - 1000	Very Strong	Communities, Property owners (local), other users (including pastoralists)	Participatory planning; site design; village-level plans and mini-projects

Around the world, typical watershed plans are developed at the scale of micro-catchment level (500 to 1 000 ha) which tend to include between one to five villages or settlements with its own plans and specific local projects or activities identified. There area benefits when working at local level as this are smaller planning units and deeper engagement and consultation could be attained than

working at larger scales. A sub-watershed of approximately 1 000 to 2 000 ha could also be an appropriate level for planning, implementing and monitoring a set of interconnected activities. **The actual size will have to be determined based on the local context, including previous experiences and existing capacities.** Table 1 describes the watershed or catchment nomenclature, sizes and associated planning units.

Plans, whether at basin level or micro-catchment level, should be integrated so that everyone is working towards the same goal. For integrated catchment management to work, it needs the input of all stakeholders and the whole community. The best results are achieved when all players are involved early in the process, which should be underpinned by participative resource use planning supported by scientific input, for instance scientific water-management techniques, and knowledge exchange interventions.

Plans should ensure that local strategies are aligned to higher-level strategic catchment management plans and social development priorities. If any of these plans are carried out in isolation within a larger catchment system, there is no certainty that at the required scale (e.g. river basin) the goals of protecting and conserving hydrologic services (and natural resources) and/or managing negative downstream and groundwater impacts will be met unless carefully integrated with higher level objectives.

At the same time, local priority areas (e.g. agricultural productivity aspiration and improvement of livestock) should be communicated through the institutional channels for these plans to be relevant and of value to the catchment's residents.

Strategic Watershed Plans

Large-scale integrated watershed management planning (as seen above) provide the strategic context especially for Component A to help identify larger landscape interventions in water resources, agriculture, and environment in the relevant areas of the Niger and Lake Chad basins. These could include, as described in the activities that follow, identification of ecologically sensitive areas (e.g. wetlands such as the Hadejia-Nguru wetlands, oases), water storage (improvements and new) and managed aquifer recharge at various scales, agricultural modernization (rainfed and irrigated systems), hotspots for erosion management (e.g. upstream of dams to improve their life or shallow flood-prone streams), potential for agroforestry/afforestation/shelter belts, protected area management, and other green/nature-based solutions.

Strategic watershed plans will also provide guidance to the finer micro-watershed investments for Component B as indicated below. Furthermore, this planning process and activity would also strongly leverage and contribute to institutional strengthening activities of Component C, especially

related to use of modern knowledge base, monitoring systems, analytical and decision support tools, and facilitating meaningful stakeholder participation.

One possible watershed typology to be adopted by the project is the Level 05 hydroshed watersheds. Figure 2. shows the major river basin watersheds in Nigeria. **Demarcation of the Watersheds in northern Nigeria can be found in Annex XI.**

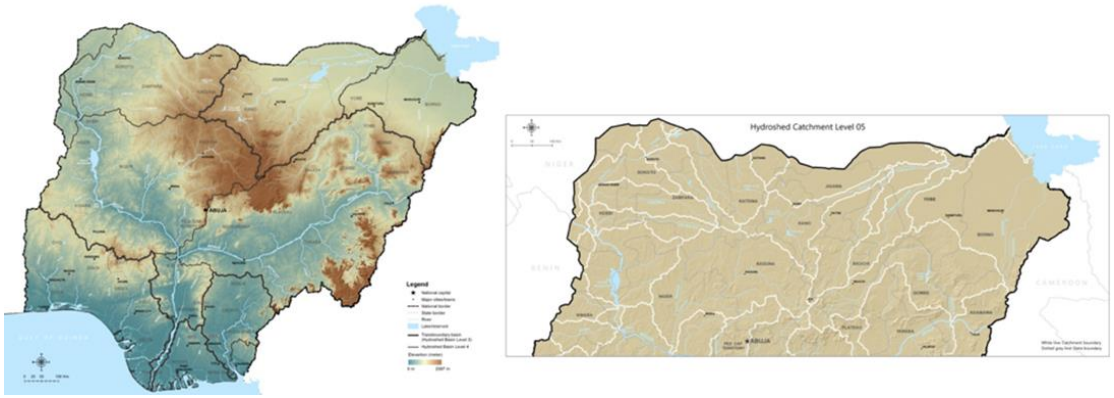


Figure 2. Major river basins in Nigeria and Level 05 Hydroshed watershed

Micro-Watershed Planning

The more detailed planning will need to be at micro-watershed level that is most relevant to local communities. This will also include both **analytical and meaningful stakeholder participation tracks** (Table 2) at a different finer scale. Although strategic watershed management plans are expected to cover most of the areas in the north with basic inputs that are expected to improve within the project period and beyond; it is certainly not expected that all the thousands of micro-watersheds in these northern watersheds will be covered for planning and investment purposes. **It is expected that a total of about 200 micro-watersheds would be covered in this project to keep the work manageable yet meaningful for this operation.**

For example, the watershed (and sub-watersheds and micro-watersheds) for the areas upstream of the Hadejia-Nguru Wetlands is indicated below.

In summary, watershed management planning can be carried out at various scales from a watershed level strategy down to site-specific.

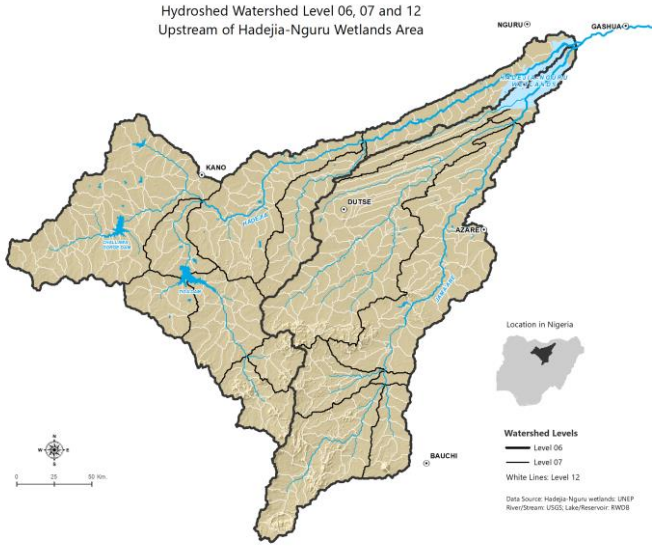


Figure 3. Watershed area upstream of the Hadejia-Ngurue Wetlands

Strategic Watershed Plan

A strategic watershed plan includes a set of actions to manage the natural resources, as well as people's actions and livelihoods in a catchment. The plan aims to set a balance between how resources are used in a watershed for today's needs (like harvesting wood, planting crops, herding livestock and building houses) and protecting those resources for tomorrow's needs. A watershed plan would be strategically oriented and would identify watershed level priorities, challenges and opportunities. It should also consider information and outcomes derived from sub-watershed planning process and the local knowledge and need of stakeholders. This plan should be developed interactively with the micro-watershed plans developed at community level.

This would require a parallel effort of ***analytical activities*** and structured stakeholder participation. The planning will be carried out using analytical approaches and through development of a modern knowledge base (including collation of existing data from in-situ and earth observation and biophysical surveys), modelling and decision support systems to provide information over time. Furthermore, extensive participatory stakeholder consultations will be fundamental to help identify issues, challenges and opportunities, explore alternative scenarios (e.g. climate, investment paradigms), develop a longer-term vision and translate this to support decisions embedded into strategic action plans for the project and beyond. As these watersheds would invariably involve multiple states, there will need to be agreement across states with federal inputs along with a shared agreed vision across sectors (especially water resources, environment, and agriculture) to facilitate investment rollout.

The plans will both provide an overview of the watershed as well as "deep dives" into both the sub- or micro-watersheds, including the various types of land cover in these areas (e.g.

cropland, shrubland/grassland and forest systems) to improve sustainable productivity and address the drivers of dryland degradation. Croplands (primarily rainfed) are most critical as they comprise most of the land use in the northern states and are very critical to local livelihoods.

These strategic watershed plans would need to be refined in perpetuity by revisiting the plans on an ongoing basis as well as documenting them at regular intervals (expected every 5 years).

The strategic watershed plans will also provide a framework and guidance to the micro-watershed-level planning in Component B and will be a foundation for the longer-term dryland management framework of Nigeria supported under Subcomponent C1.

EXAMPLE OF WATERSHED MANAGEMENT PLAN OUTLINE CAN BE FOUND IN COMPONENT B.

Micro-watershed Plans

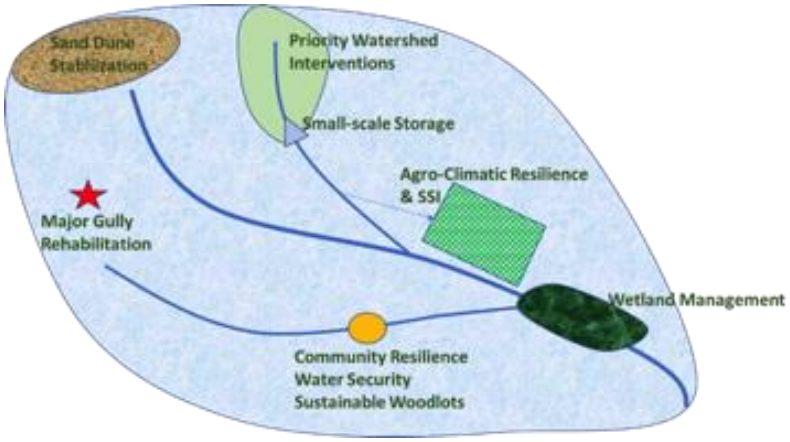


Figure 4. Example of Micro-watershed Investments

Micro-watershed plans are more practically oriented and will be directly linked to the local context opportunities. These plans should identify sub-projects at the local community level. These sub-projects could include, for example, soil and water interventions such as erosion protection works, plants nurseries, RWH among others. The micro-watershed plans would indicate the investments spatially to facilitate discussions and monitoring of activities and impacts at a decentralized level as indicated in the adjoining illustration.

Managing Upstream and Downstream Interrelations

Water-related and downstream externalities are the central justifications for applying a WSM approach, yet linking and orienting upstream activities to management objectives at the broader watershed level is a major challenge. If micro-watershed approaches are to be aggregated up as a basis for management of larger watersheds, then their planning and implementation will have to

proceed within the broader context of a watershed (or sub-basin/basin) planning and management process. The larger-scale process, among others, should provide opportunities to develop incentives and mechanisms to compensate for the provision of ecosystem services in the upper parts of watershed should be identified. Compensation mechanisms represent one of the few ways to encourage the lowland population to invest adequately in upstream areas in the medium to long term, to ensure the continuous provision of essential goods and services such as clean water.

Phasing

- → ***Strategic Watershed Plans:*** Rapid initial versions will be prepared in less than a year, with refined updates to be prepared throughout the project lifetime. Overall, it is expected to prepare 20 watershed plans at this level in the first year of the project.

- → ***Micro-watershed plans:*** Micro-watersheds will be grouped into temporally-overlapping batches during the project lifetime with about a 3 three year cycle for each batch as in the following table. It is expected that a total of about 200 micro-watersheds would be covered in this project in three batches of 40, 80 and 80 initiated in Year 1, Year 2 and Year 3 respectively.

Table 2. Micro-watershed Batch Stages

3 Batches (40, 80, 80 micro-watersheds annually initiated in PY1, 2 & 3 respectively)	**Micro-watershed Batch Stages**		
	Planning (6 months)	**Implementation** (24 months)	**Post-Implementation** (3-6 months)
Analytical Track	· Pre-planning (mapping, knowledge base, inputs from strategic watershed plans as available) · Planning (biophysical surveys, analysis, joint walkthroughs, detailed mapping) · Investment design (activities, detailed cost, benefits, monitoring framework, institutional arrangements, schedule)	· Investment rollout · Monitoring systems · Adaptive management based on regular monitoring and discussions and potential for additional appropriate innovation	· Completion e-report for each micro-watershed · Post-activity sustainability monitoring arrangements
Stakeholder Track	· Community sensitization/ mobilization · Regular stakeholder meetings · Joint walkthroughs · Basic training/ field visits · Determine community-implemented activities and demonstration locations · Agreement on micro watershed plan	· Project and Stakeholder agreement on activity milestone achievement for payments · Grievance redressal systems	· Stakeholder viewpoints recorded in completion e-reports (e.g. with photos, videos) · Sustainability training · Strengthen institutional linkages for sustainability

Implementation Activities for Sub-component A1: Watershed Planning

The strategic watershed plans will be the result of dynamic models with environmental and socioeconomic data for each watershed, which will help define the areas of strategic investment of project and counterpart funds and leverage additional investments through participatory processes.

The planning effort must be a continuous and participatory process, constituting an adaptive management model. As these watersheds would invariably involve multiple states, there will be need to have an agreement across states with federal inputs along with a shared agreed vision across sectors (especially water resources, environment and agriculture) to facilitate investment rollout.

The FPMU will be involved in overall coordination and supervision of all implementation activities for this sub-component.

Preparation of the plans will entail the following process:

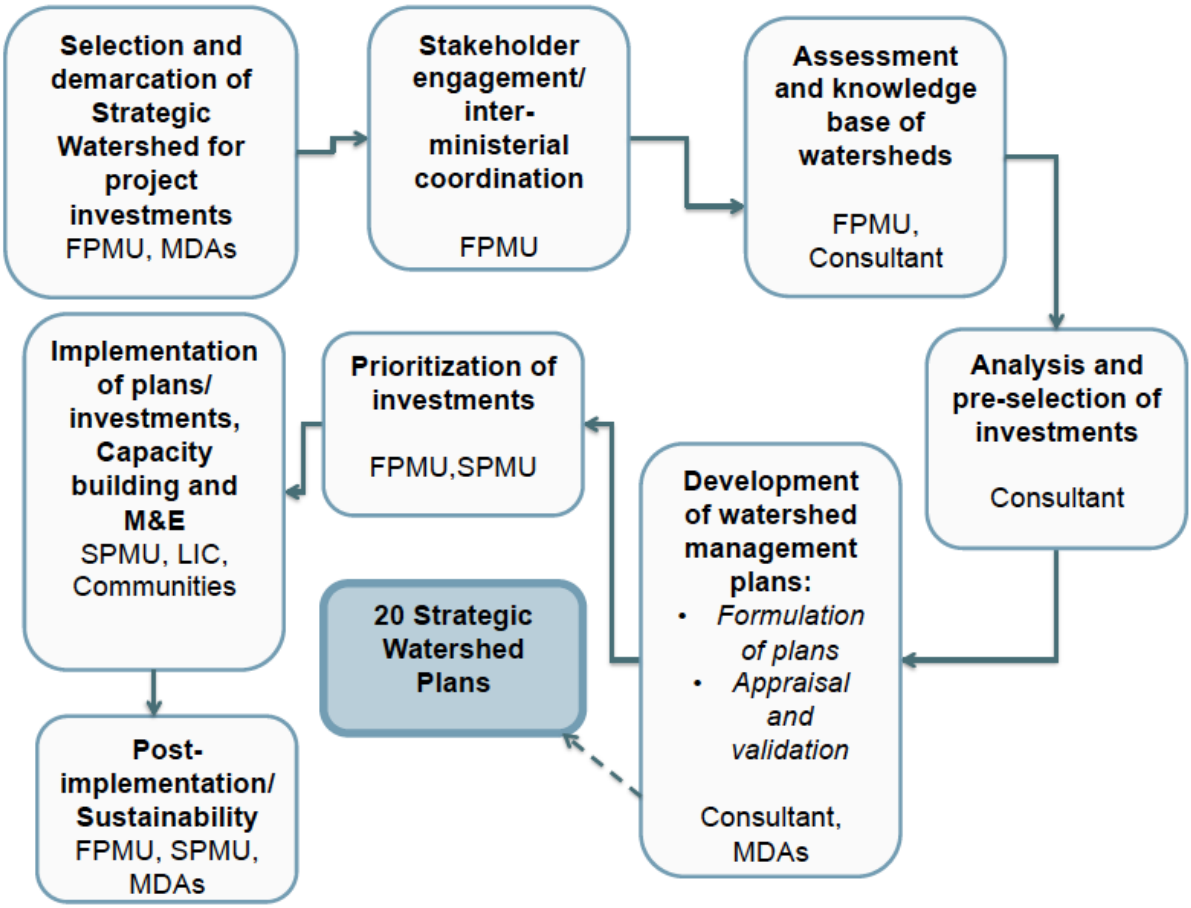


Figure 5. Summary of Strategic Watershed Planning flow

1. Selection and demarcation of Strategic Watersheds for project investments

The FPMU and federal MDAs will be responsible for this activity (Year 1)

This process will involve identifying and capturing the 20 Strategic Watersheds to be covered by the ACReSAL project across northern Nigeria and their associated boundaries and size.

2. Stakeholder engagement/ Inter-ministerial coordination

Identification and establishment of stakeholders will be conducted by the FPMU with support from the SPMUs from Year 1 to Year 6.

This activity will allow for identification of key groups of stakeholders who will participate in workshops and contribute to the development of the Strategic Watershed Management Plans.

These stakeholders are entities that can make water resource and quality management decisions, can affect implementation of decisions, characterize the present watershed conditions, identify and prioritize investments, define management objectives, and develop protection or remediation strategies and practices.

Stakeholders' meetings, workshops and annual symposiums will be organized by the FPMU with stakeholders at all levels to share and discuss the results of the baseline study as a precursor to setting the goals and objectives of the Watershed Management Plan. SPMUs of states in a watershed will be carried along in the planning of the watershed. Importantly, sustainability of the WMP should be clearly identified, this includes clearly establishing roles and responsibilities of all stakeholders.

Key stakeholders should be selected based on at least one of the following three criteria:

- shows high level of commitment to the watershed planning process;
- has the power to influence the outcome and sustainability of the process; and
- will be directly affected by the plan to be implemented.

Key institutions and stakeholders that may need to be engaged can be categorized as follows: MDAs, representatives of community associations and groups (men, women and youths), river basin agencies, water user organizations, hydro and meteorological agencies, NGOs, community-based organizations, universities and research institutes.

Identification and mobilization of Stakeholders strategies for ACReSAL are described in PART II – Section 5 of this PIM.

3. Assessment and establishment of knowledge base of the watershed

Whether the objective of an intervention is to protect an undisturbed watershed from degradation or to restore an already degraded one, it is important to start by assessing and describing the current state and trends in the watershed. The establishment of the knowledge-based and baseline for the watershed under assessment should include the *biophysical features and resources* in the watershed, the *socio-economic conditions* that determine the *livelihoods* of the watershed population and the *institutions* that operate in the watershed.

BOX I. HOLISTIC ANALYSIS OF WATERSHEDS

- ✓ Look at the watershed in a holistic way as a dynamic system with spatial and temporal relationships of people and resource flows within it.
- ✓ Analyse current situation including recent changes and trends to determine future action.
- ✓ In a degraded watershed, the assessment shall identify key drivers, pressures and degrading influences resulting from human activities that have altered the environmental state of the watershed and that need to be addressed to reverse the situation.
- ✓ Identify barriers that may prevent the implementation of watershed management principles and practices

The World Overview of Conservation Approaches and Technologies (WOCAT) [1] network has developed a modular questionnaire system for documenting and evaluating sustainable land management. It includes a specific and comprehensive questionnaire for documenting and evaluating watershed management approaches, which could be a useful tool in assessing the current state of a watershed.

FAO [1] has developed the *Land Degradation Assessment in Drylands (LADA)*, which comprises a set of tools and methods for use at the global, national and local levels.

In more detail, this activity will follow the following steps or sub-activities:

- *Engagement of consultants for preliminary studies:*

Studies which will facilitate data collection and analysis such as M&E baseline studies and GIS mapping. A Livelihood Needs Assessment will be conducted. These studies will provide information that will feed into the strategic watershed planning process as well as guide intervention activities captured in other sub-components. **The FPMU will spearhead the selection process for qualified Consultants, through the procurement unit.**

- *Review of all relevant existing watershed management plans across states (in shared repository):*

ACReSAL is going to build on the existing catchment management plans developed under NEWMAP or previous projects. Therefore, the planning process will entail review of existing watershed management plans. These existing MWPs will not be replaced but reviewed and

updated if necessary. **The FPMU will assist in the identification of states with existing watershed plans. This activity will also involve reviewing and screening of NEWMAP activities.**

- *Performance Analysis of institutional framework:*

This exercise will also assess the performance of existing formal institutions and determine whether they have the capacity to enforce and coordinate implementation activities.

- *Baseline Characterization of Watersheds:*

Baseline characterization of watersheds will be prerequisite for development of a robust and tailored watershed plan. The aim of this activity is to gather comprehensive database on the key characteristics of the watersheds for better understanding of their bio-physical, socio-economic and institutional profile. Data collected should include land ownership systems, land use patterns, area production and yield of crops, seasonal variability effect on productivity and yield, crop utilization and commercialization, irrigation systems, etc. Environmental components such as rainfall, water quality, biodiversity, etc. are to be assessed to determine the effect of anthropogenic activities on the environment. Thus, enabling measurement of performance for implementation of the watershed plan. The baseline characterization should take into cognisance the baseline indicators as captured in the Result Framework, as well as other detailed information within the watershed. It is also necessary that specific natural resource challenges of the watersheds are identified and captured.

A multidisciplinary assessment of the biophysical, socio-economic and institutional dimensions in the watershed requires a team of professionals from diverse technical disciplines and with varied but complementary experience, qualifications and skills.

4. Analysis and pre-selection of investments

The identification and mapping of areas for protection and production interventions across all land-use categories is a key step in watershed management planning. The results from the assessments need to be presented to and discussed with all stakeholders to reach an agreement on the findings and to develop a road map for future action.

Stakeholder workshops will be held for presentation and discussion of the assessment findings, define concrete objective which can realistically be achieved as part of the watershed management plan, set priorities for selection of most appropriate solutions and investments for implementation relating to potential landscape investments and special ecosystems interventions as described under this Component A, as well as initial micro-watershed and activities to focus on. Activities in these micro-watersheds will be further scrutinize under Component B through a process of selection and prioritization at local community level.

5. Development of watershed management plans

- *Formulation of watershed plans:*

A plan formulation is often not a separate distinct step in the project, but rather a gradual process after the results of data collection and analysis have become available and consultative stakeholder processes to compare the actual and desired future state of the watershed have been completed and documented. The goals that are collaboratively determined in the stakeholder engagement process will give direction to the development of strategies for the watershed plan.

It is also important to keep in mind that the watershed management plan, whatever its vision, scope and quality, is not an end in itself. The watershed management plan should be considered a **highly flexible** tool which reveals a territorial vision and promotes a unified reading of the watershed interactions among key stakeholders. In addition, watershed management plan shall also be harmonized and linked to relevant sectoral programmes and plans.

The catchment management plans will include the strategies, implementation schedule, milestones to track implementation, monitoring components, capacity building plans, institutional and budgetary allocations to execute plan. This plan will also cover laying out roles and responsibilities of implementing agencies and define mechanisms for allocating project funds to priority investment actions, including identifying additional funding where applicable.

The plan will be developed with relevant MDAs such that those of the environmental sector will focus on technical aspects of climate vulnerability and biodiversity, agricultural sector will be focused primarily on technical aspects of sustainable agriculture practices and water sector MDAs will be focused on technical aspects of water resource management.

- *Appraisal and validation of plans (20 watershed plans):*

This involves further deliberation, evaluation and review of the draft watershed plans to ascertain the feasibility. To ensure firm stakeholder buy-in and commitment, it is important to present the plan in a formal meeting or **workshop** where it can be approved by all parties involved.

Appraisal and validation of plans will be conducted at Federal level by the FPMU. SPMUs of states in a watershed will also be involved in the validation of the watershed plans. This step will not only secure the concrete involvement of relevant technical services and authorities in the short and medium term, but will also foster internalization of the project experience in national policies, programmes and budgets. For this workshop, higher-level representatives of main government authorities and partner organizations should be invited to endorse the plan officially and to confirm their role and function as agreed in previous meetings. Once validated, a hard copy of the finalized watershed management plan should be distributed to all stakeholders involved in

the process. A press release on the occasion of the workshop with an electronic link to the plan could help to ensure its broader dissemination.

6. Prioritization of investments in the watersheds

This involves decision making on which investment projects identified in the watershed plans comes first before the other.

The prioritization exercise will be conducted in the validation workshop. The FPMUs and SPMUs will support the consultant to form trackable timelines, staged accomplishments and specific tasks towards accomplishing the set plans according to project priorities. Investments that can be covered at this level of planning are larger irrigation improvements and conjunctive use systems, large gully rehabilitation, large area afforestation/ reforestation, shelter belts, mainstreaming larger agricultural initiatives (e.g., facilitating access to improved seeds and other inputs, improved tilling and cultural practices, conservation agriculture, eco- friendly integrated pest management, integrated plant nutrient management, land levelling, drainage improvement, soil carbon improvement).

Identification of priority "shovel-ready" actions for immediate implementation during the assessment phase can help build trust and confidence between the project team and the project beneficiaries.

7. Implementation and capacity building

The implementation of this catchment management plan is critical to achievement of the PDOs. While developing the catchment management plans it is important to determine catchment size according to international / national watershed standards. It is also important to clearly describe strategies for implementing and sustaining activities in the Plan. The adoption and implementation of this plan will require Community Consultations and Socialization activities (Y1-6) as well as fieldtrips, knowledge exchanges, and other capacity building opportunities (Y1-6). The implementation of landscape interventions and special ecosystems are described in the sections that follow.

8. Watershed Monitoring

Definition of an M&E framework including results framework, metrics as well as roles and responsibilities for collecting and reporting on progress towards plan implementation will be included in the plan and linked to the project-level MIS and M&E system. In a project context, monitoring can be defined as the regular systematic collection and analysis of information to track the progress and performance of project execution against preset objectives and targets, and ultimately to measure the change in the state or condition of the watershed. MIS and M&E capacity building plans will be developed during Year 1 and implemented across all years – **Refer to**

Component C.

As the watershed is a complex socio-ecological system in which ecological, social and economic processes are closely linked, different types of indicators need to be identified, combined and monitored at regular intervals. The set of indicators comprises environmental, social, economic and institutional indicators.

1.2 Subcomponent A2: Landscape Investments

Support the implementation of large landscape-level investment prioritized in the strategic watershed plans and pipeline investment at State and Federal levels (e.g. improvement of water resources, environmental management and large-scale agri.)

Planning and design of dune **stabilization and restoration interventions** (e.g. straw checker boards, seeding and planting of shrubs and grass)

Supplemented by **fire breaks and access routes, watchtowers, temporary irrigation**, etc.

NEWMAP and other **'shovel-ready' investments**

Collaborative and inter-states **surface** water and **groundwater resource management**

Integrated/multipurpose **small-scale storage** (e.g. check dams, farm ponds and aquifer recharge and use)

Downstream **flood and sedimentation control**

Federal or State **large-scale agricultural development**

Linking to Water Resources and Irrigation development and Community/household-level agriculture

Rangeland Management and **Carbon Sequestration**

This subcomponent will support large landscape-level investments, as prioritized in the strategic watershed plans. These may include those related to water resources (e.g., surface and groundwater storage, managed aquifer recharge, riverbank restoration, gully rehabilitation, irrigation, improved water systems), to environmental management (stabilization of sand dunes, forest management, afforestation), and to agriculture investments at large scale. Some investments will be supported that have been already identified and prepared under NEWMAP, provided they are consistent with ACReSAL objectives and requirements.

Interventions under this sub-component include:

- Sand Dune Stabilization
- Water Resources Management
- Large-scale agricultural investments.

Background information on Landscape Investments can be found in Annex XII.

Sub-component A2. ACTIVITY 1: Sand Dune Stabilization

Urgent investments to restore vegetative land cover are needed in selected areas to control the movement of sand dunes threatening the survival of communities, to put in place shelterbelts to slow erosion and sand movement, and to restore and better manage forestlands. The investments will have to be prioritized in the SLWM watershed plans (see subcomponent A1). This set of activities will support efforts aimed at halting the movement of shifting sand dunes and prevent their encroachment onto communities, infrastructure, agricultural land, and wetlands. Investments will support the planning, design, and establishment of straw checker boards and the seeding and planting of vetiver, indigenous shrubs, and grass on moving and semi-stabilized sand dunes. The establishment of straw grids, combined with supportive grass and shrub planting will allow an initial fixation of the sand. The grids remain intact for about three to five years, allowing time for the development of the vegetation cover and subsequently for their permanent stabilization.

Planting activities will be complemented in selected sites by supporting investments in fire control equipment, construction of firebreaks and access routes, watchtowers, small scale temporary irrigation infrastructure, small buildings for technical staff and workers, and project information and warning signs.

Implementation Activities for Sub-component A2: Dune Stabilization

Investments under this set of activities will support the planning, design, and establishment of straw checker boards and the seeding and planting of vetiver, indigenous shrubs, and grass on moving and semi-stabilized sand dunes. Planting activities will be complemented in selected sites by supporting investments in fire control equipment, construction of firebreaks and access routes, watchtowers, small scale temporary irrigation infrastructure, small buildings for technical staff and workers, and project information and warning signs.

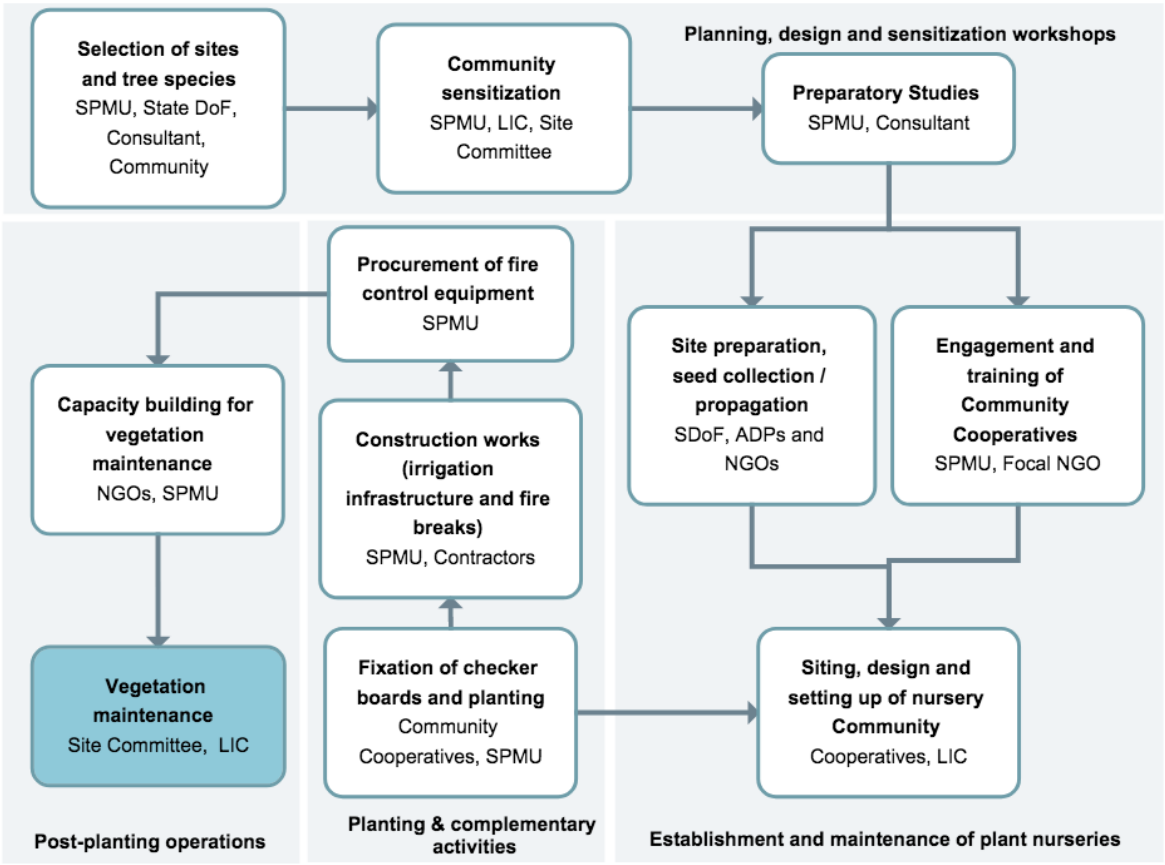


Figure 6. Summary of Sand Dunes Stabilization activity flow

1. Planning, design and sensitization workshops

· *Selection of sites and tree species:*

The SPMU will select sites according to the selection criteria. The State Department of Forestry will supervise the selection of sites and tree species. Selection of sites entails mapping of strategic points for planting of trees to control development of sand dunes in collaboration with a consultant and the communities. Selected sites will be forwarded to the World Bank for approval and No Objection.

· *Community Sensitization:*

The SPMU with the LIC and Site Committee will also organize a community sensitization to create awareness of the proposed project.

· *Preparatory studies:*

This activity requires involvement of qualified Consultants who will be engaged by the SPMU, to review the technical, environmental, economic and financial viability of the project and ascertain the project rationale, scope, cost, schedule, implementation arrangements, risks and mitigation measures. The Consultants will carry out feasibility study and engineering design for

the subproject, baseline studies, development of site specific environmental and social safeguards plans (ESMP, RAP/ARAP, IPMP, etc.).

· *Community Sensitization:*

The SPMU with the LIC and Site Committee will also organize a community sensitization to create awareness of the proposed project.

2. Establishment and maintenance of plant nurseries of assorted species

· *Pre-planting operations:*

This activity involves **site preparation**, **seed collections/propagation**, and **engagement and training of Community Cooperatives**. Seed collections and propagation will be carried out by the State DoF in collaboration with ADPs and NGOs. At this stage, the SPMU with the help of the Focal NGO will engage and train the Community Cooperatives on setting up plant nurseries, best approaches for nursery maintenance, fixation of checker boards and planting. Critical consideration should be given to health and safety during the trainings.

The siting, design and setting up of the nurseries will be done by the Community Cooperatives and supervised by the LIC.

3. Planting operations and complementary activities

· *Fixation of checker boards and planting:*

Community cooperatives, supervised by the SPMU will carry out the fixation and planting activities.

· *Construction works (irrigation infrastructure and fire breaks):*

Planting activities will be complemented by construction of firebreaks and access routes, watchtowers, irrigation infrastructures and small buildings such as gatehouses, stores, etc. Due to the inadequacy of natural water in the region, irrigation is necessary for plants maintenance and growth. Effective fire control begins with a field survey and map to identify the areas at risk, delineate them, and define and improve the barriers or firebreaks that may limit fire spread. Fire breaks can be belts of land from 10 to 20 metres (33 to 66 feet) wide cut clear of trees or left unplanted or surfaced roads. The SPMU will oversee engaging of contractors for the construction works.

· *Procurement of fire control equipment:*

For protection and management of fire outbreaks, there is need for provision of fire control equipment which will be handled by the SPMU.

4. Post-planting operations

· *Capacity building:*

Capacity building should be carried out to train the workers on the technical know-how for vegetation maintenance; this should be spearheaded by NGOs/CSOs and supervised by the SPMU.

· *Vegetation Maintenance:*

This will involve adequate soil-water conservation to enhance plant growth. The Site Committee with LIC should ensure proper engagement of community workers to adequately integrate mulching practices and irrigation of the plants.

Sub-component A2. ACTIVITY 2: Water Resources Management

The objective of this part of the subcomponent is to implement investments to improve the long-term conservation and management of water resources. Some investments will help improve the water security of local communities, in targeted basins, and improve resilience to the impacts of climate-related disasters through improved access to resilient green infrastructure.

Some specific interventions are already in the process of preparation (e.g., technical design and feasibility) under the NEWMAP program and some others by the FMWR. For the proposed interventions that could be taken up from NEWMAP, they will be given priority in the first year of the project, provided they align with the objectives of ACRESAL. In principle, priority would be given to those activities that have already been identified and discussed in watershed management plans. In implementing any of these solutions, preliminary studies of available options would be made to determine the relative benefit versus cost of different alternatives. Extensive details on the investments prepared under NEWMAP are available in Annex VIII.

For water management interventions, both surface water (river, lakes, streams, runoffs, oases) and groundwater sources will be considered. Legality of supply deals with doctrines and principles of water rights. Complications could arise from the fact that political boundaries do not coincide with hydrological boundaries; under ACReSAL the goal would be to ensure appropriate consultations and stakeholder engagements from the affected states to collaboratively identify relevant landscape water management investments.

The menu of water resources investments include the following subproject typologies:

- *Integrated dams/small-scale multipurpose reservoirs and irrigation development.* Dams store and protect surface water sources and ensure the availability of water for drinking and irrigation during low precipitation months and periods of seasonal droughts. Depending on the locations, reservoir capacities, and flood peaks, some of the reservoirs will have multiple functions, such as stream flow control to prevent and minimize flooding incidents in the rainy seasons and in addition, provide resources for productive uses like irrigation, water supply, livestock watering etc. To ensure resilience of local communities, the project would go beyond just building dams/storages but also provide basic infrastructure that would facilitate access to water resources, e.g., hydraulic infrastructures for irrigation, water supply. The extent of the requirements at each location would be determined in a watershed management planning process, that will also consider ecological flow requirements and preferences of communities, as determined in participatory community planning. Possible activities under this subcomponent include the (i) construction of new and/ or rehabilitation of existing small dams/ reservoirs; (ii) rehabilitation, replacement and/or decommissioning of deep boreholes; (iii) rehabilitation and construction of

associated hydraulic infrastructure (including, borehole heads, pumps and meters); and (iv) development and/or improvements of irrigation and drainage networks.

- *Flood and sedimentation control structures downstream* will prevent and mitigate the impacts of floods, which may cause loss of life and significant damages to local infrastructure, properties, and agricultural assets, and are even more damaging during periods of heavy precipitation. Flood and sediment control structures will include check dams, levees, retaining walls, embankments, culverts, bridges, concrete channels, grouted riprap, and stream bed rehabilitation, among others. The project could support sensitization, mobilization and organization of communities to manage erosion and prevent disasters. Specific locations will be determined through hydraulic modeling, historical flood records, flood risk mapping, and other relevant analysis.

Implementation Activities for Sub-component A2: Water Resource Management

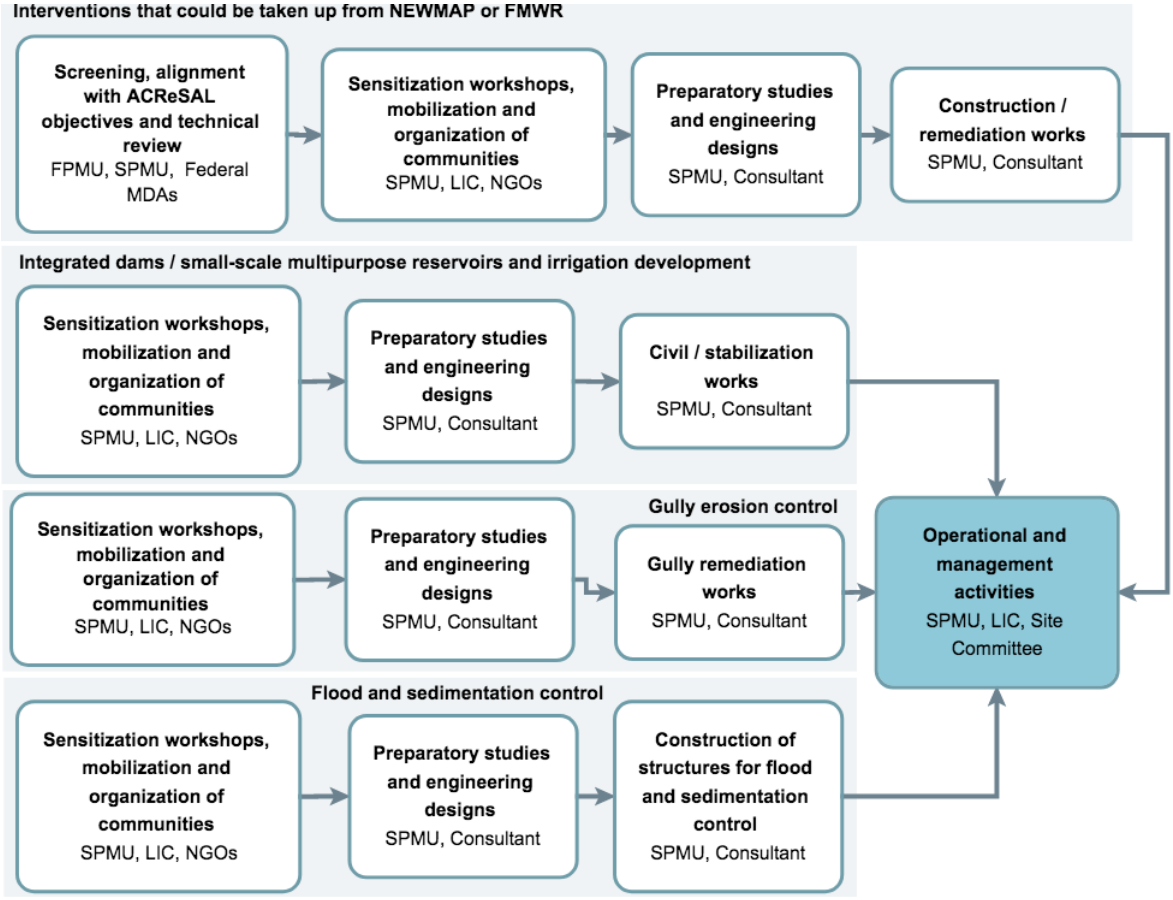


Figure 7. Summary of Water Resource Management activity flow

Interventions that could be taken up from NEWMAP or FMWR

1. Screening, alignment with ACRESAL objectives and technical review

The FPMU assisted by the SPMUs and relevant federal MDAs will screen projects that have been designed under NEWMAP or FMWR to select those that align with ACReSAL objectives. The selected investments will be given priority.

2. Sensitization workshops, mobilization and organization of communities

The SPMU with support of the LIC and NGOs will carry out sensitization campaigns for the community to foster ownership of the project and to indulge the community's full participation and contributions towards project implementation.

3. Preparatory studies and engineering designs

This entails feasibility study and engineering design for the subproject, baseline studies, development of site specific environmental and social safeguards plans (ESMP, RAP, IPMP, etc). This phase is necessary so as to review the technical, environmental, economic and financial viability of the project and ascertain the project rationale, scope, cost, schedule, implementation arrangements, risks and mitigation measures. The SPMU will oversee these activities and engage of consultants for these activities.

4. Construction / remediation works

Following completion of the preparatory studies, the SPMU will engage engineering contractors to carry out the remediation works at the sites.

5. Operational and management activities

These set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU with the support of the LIC and site committee will be responsible for these activities. Post maintenance should be given adequate recognition, especially with regards to sustainability, this is very critical.

Integrated dams/small-scale multipurpose reservoirs and irrigation development

Possible intervention activities under this subproject typology are:

- construction of new and/ or rehabilitation of existing small dams/ reservoirs
- rehabilitation, replacement and/or decommissioning of deep boreholes

- rehabilitation and construction of associated hydraulic infrastructure (including borehole heads, pumps and meters)
- development and/or improvements of irrigation and drainage networks.

Achieving this activity set will require the following processes:

1. Sensitization workshops, mobilization and organization of communities

Community participation is of great importance to achieve an effective project sustainability. The SPMU with support of the LIC and NGOs will carry out sensitization campaigns for the community to foster ownership of the project and to indulge the community's full participation and contributions towards project implementation. This should be done after having a prior meeting with community leaders on the need for community engagement. During these workshops/engagements, sustainable strategies should be clearly identified, documented and communicated, this include the roles and responsibilities of all stakeholders to safeguard and sustain investments.

2. Preparatory studies and engineering designs

This activity requires involvement of qualified Consultants who will be engaged by the SPMU, to review the technical, environmental, economic and financial viability of the project and ascertain the project rationale, scope, cost, schedule, implementation arrangements, risks and mitigation measures. The Consultants will carry out feasibility study and engineering design for the subproject, baseline studies, development of site-specific environmental and social safeguards plans (ESMP, RAP/ARAP, IPMP, etc.).

3. Civil / stabilization works

Following completion of the preparatory studies, the SPMU will engage engineering contractors for the construction of new and/ or rehabilitation and expansion of existing small dams/ reservoirs.

4. Operational, maintenance and management activities

This set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU with the support of the LIC will be responsible for these activities. Post maintenance should be given adequate recognition, especially with regards to sustainability, this is very critical.

Gully erosion control

1. Workshops-sensitization, mobilization and organization of communities

The SPMU with support of the LIC and NGOs will carry out sensitization campaigns for the community to foster ownership of the project and to indulge the community's full participation and contributions towards project implementation.

2. *Preparatory studies and engineering designs:*

This entails feasibility study and engineering design for the subproject, baseline studies, development of site specific environmental and social safeguards plans (ESMP, RAP, IPMP, etc). This phase is necessary so as to review the technical, environmental, economic and financial viability of the project and ascertain the project rationale, scope, cost, schedule, implementation arrangements, risks and mitigation measures. The SPMU will oversee these activities and engage of consultants for these activities.

3. *Gully remediation works for flood/erosion sites (construction works)*

Following completion of the preparatory studies, the SPMU will engage engineering contractors to carry out the remediation works at the sites.

4. *Operational, maintenance and management activities*

This set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU with the support of the LIC will be responsible for these activities.

Flood and sedimentation control

1. *Workshops-sensitization, mobilization and organization of communities*

The SPMU with support of the LIC and NGOs will carry out sensitization campaigns for the community to foster ownership of the project and to indulge the community's full participation and contributions towards project implementation.

2. *Preparatory studies and engineering designs*

This activity requires involvement of qualified Consultants who will be engaged by the SPMU, to review the technical, environmental, economic and financial viability of the project and ascertain the project rationale, scope, cost, schedule, implementation arrangements, risks and mitigation measures. The Consultants will carry out feasibility study and engineering design for the subproject, baseline studies, development of site-specific environmental and social safeguards plans (ESMP, RAP/ARAP, IPMP, etc). Specific locations for the flood and sediment control structures will be determined through hydraulic modeling, historical flood records, flood risk mapping, and other relevant analysis.

3. Construction of structures for flood and sedimentation control

This activity involves the construction of flood and sediment control structures such as check dams, levees, retaining walls, embankments, culverts, bridges, concrete channels, grouted riprap, stream bed rehabilitation and riverbanks rehabilitation.

The stabilization of shelter belts and riverbanks will involve planting of seedlings along shelter belt (grassification) and planting of long root trees along the riverbanks. The SPMU will engage Community Cooperatives with the assistance of the Focal NGO, LIC and Site committee.

4. Operational, maintenance and management activities

This set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU with the support of the LIC will be responsible for these activities.

Having involved community stakeholders in the planning and implementation of activities, it is important to identify clear strategies and concepts to ensure sustainability of investments.

Sub-component A2. ACTIVITY 3: Agricultural Strengthening and Investments

Agricultural investments to increase resilience at scale will be implemented at the federal or state levels. They will complement community- and household-level activities undertaken in component B and irrigation development opportunities associated with water resources management subprojects noted above. Agricultural strengthening investments in this subcomponent, in addition to rangeland management noted below, will finance a range of agricultural extension services such as promotion of integrated pest management (IPM) and knowledge and data platforms and services.

The principal investments that have been identified are the following:

- Rangeland management, including boreholes and definition of transhumance routes (including "social fencing" approaches), demarcation of cattle routes, provision of water points and temporary shelters, etc.
- Systems for improved fodder/nurseries.
- Support sustainable agriculture programs addressing aspects of climate-smart agriculture such as soil carbon enhancement, integrated nutrient management, integrated pest management (IPM), and drought preparedness.

Implementation Activities Sub-component A2: Agricultural Investments

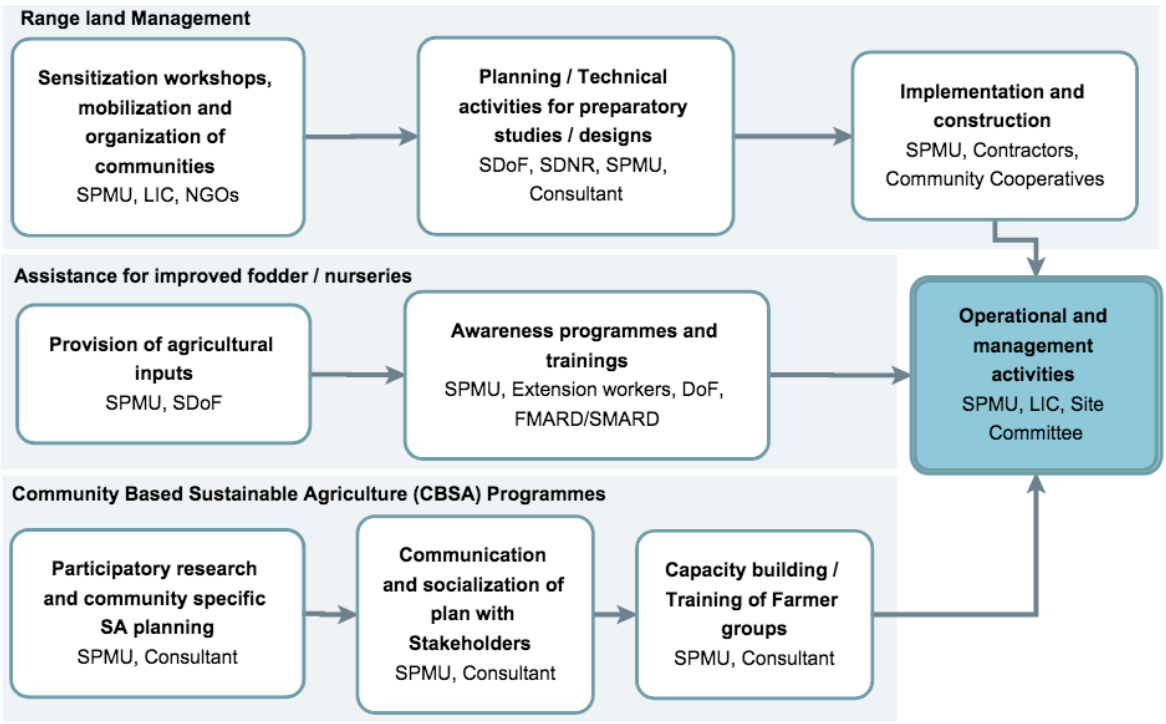


Figure 8. Summary of Large Scale Agricultural Investments activity flow

Rangeland Management

1. Sensitization workshops, mobilization and organization of communities

Community participation is of great importance to achieve an effective project sustainability. The SPMU with support of the LIC and NGOs will carry out sensitization campaigns for the community to foster ownership of the project and to indulge the community's full participation and contributions towards project implementation. This should be done after having a prior meeting with community leaders on the need for community engagement.

2. Planning / Technical activities for preparatory studies/ designs

The planning phase involves selection, timing and costing of implementing rangeland management. This phase will be implemented at the state and community levels and entails site assessment, mapping and selection of sites, selection of fodder species, environmental and social impact studies (ESIA/ESMP, RAP/ARAP), Feasibility studies and designs for solar powered boreholes and perimeter fencing.

The State Departments of Forestry and Natural Resources will supervise the selection of sites and fodder species. Selection of sites will also involve mapping of strategic points for livestock drinking points. The SPMU is responsible for engaging consultants for activities where they are required.

3. Implementation and construction

This activity involves grassification using improved fodder species, Construction of solar powered boreholes and livestock water points and perimeter fencing. Community cooperatives will be engaged by the SPMU for planting of fodders, in close supervision and assistance of site committees. Engineering Contractors will also be engaged for the construction works.

4. Operational, maintenance and management activities

These set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU with the support of the LIC will be responsible for these activities.

Assistance for Improved fodder / Nurseries

1. Provision of Agricultural Inputs

Inputs such as fodder seeds, root slips and stem cuttings, fertilizers and drip irrigation facilities for improved development of the fodder nurseries.

2. Awareness programmes and training

The SPMU shall organize and engage Extension Workers, relevant MDAs such as Department of Forestry, FMARD/SMARD for technical inputs during trainings of beneficiaries on agronomical and agricultural practices in fodder production. The training will cover areas such as land preparation, collection of root slips, sowing of fodder seeds or root slips, fertilizer/manure application, harvesting of fodder.

3. *Operational, maintenance and management activities*

These set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU with the support of the LIC will be responsible for these activities.

Community – Based Sustainable Agriculture (CBSA) Programmes

1. Participatory research and community specific SA planning

This constitutes the conduct of a participatory baseline research on agricultural practices and identify gaps in sustainable agriculture practices. Based on the needs assessment report, a plan will be developed for the community on addressing aspects of climate-smart agriculture such as soil carbon enhancement, integrated nutrient management, integrated pest management (IPM), and drought preparedness.

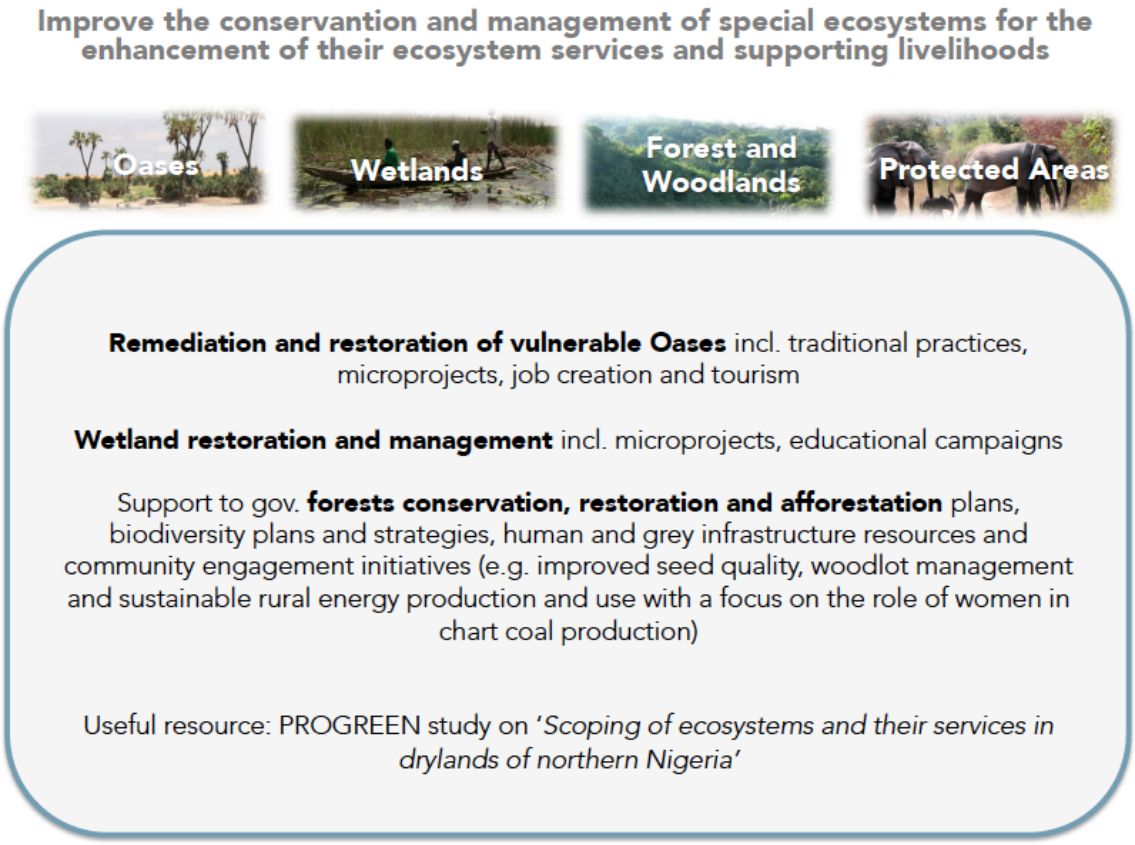
2. Communication and socialization of plan with stakeholders

Communicating about the plan helps to earn farmers' confidence as well as the confidence of other relevant stakeholders, raise their awareness and understanding while addressing their perceptions. This activity will be implemented by the consultant engaged by the SPMU through mobilization of the relevant stakeholders such as farmers and community leaders.

3. Capacity building / Training of Farmer groups

Capacity building is basic to develop and sustain CBSA programmes. The development of capacities is a continuing concern at the farmer and the NGO partner levels. At the partner and community level, the training of individual farmer technicians, farm co-operators and the extension workers is the main stroke for building capacities and making CBSA take deep roots in the community.

1.3 Sub-component A3: Special Ecosystems



Natural ecosystems form an important and integral part of the drylands of northern Nigeria. They harbor globally important biodiversity and are genetic reservoirs for many species of flora and fauna that people depend on for their livelihoods. These natural ecosystems include national parks, forest reserves, wetlands, oases, and remnants of natural woodlands. They play particularly important functions in several important ecosystem services such as food (fisheries, nuts, etc.), biomass for firewood and housing, erosion control, regulation of water flows, recharge of surface and groundwater, among others. Only a few of these special ecosystems in northern Nigeria are formally protected within national parks and gazetted forest reserves. All these special ecosystem areas suffer from degradation caused by farming, bush burning, firewood production, hunting, grazing, water diversion, pollution, invasion, among others.

Investments under this subcomponent will improve the conservation and management of special ecosystems, including wetlands (such as the Hajejia-Nguru Wetlands, a RAMSAR site and national park), desert oases, forest reserves, protected areas and woodlands remnants. They are all urgently in need of additional support and financing. Investments can also include support of government forest conservation, restoration and afforestation plans, national and state biodiversity plans and strategies, and community engagement initiatives. Policies, regulations, capacity

building and technical assistance in different topics are covered under Component C. A forthcoming PROGREEN-financed study entitled “Scoping of ecosystems and their services in drylands of northern Nigeria” will provide useful inputs to this subcomponent.

Activities under this sub-component include:

- Oases restoration
- Wetland restoration
- Forest management
- National parks management

Background information on Special Ecosystems can be found in Annex XIII.

Sub-component A3. ACTIVITY 1: Oases

The remediation and restoration of oases will in some cases be supported under the investments of Subcomponent B2, when participating communities are in such areas. The ACReSAL project will further focus resources on some of the most vulnerable oases for the purposes of their remediation and restoration.

For oases restoration, investments could include those related to inventories, actions plans for climate change adaption, protection and restoration of oasis buffer areas, improved water provision and water quality, recovery of cultural water management traditions, jobs and microprojects for oases cleaning, restoration of palms, tourism, control of pollution and invasive species, and fire management.

Implementation Activities for Sub-component A3: Oases

The activities for oases restoration will be implemented at the State level by the SPMU with technical support from State Departments of Forestry, EAD, Climate Change, DDA, ALCCMS and NIWRM.

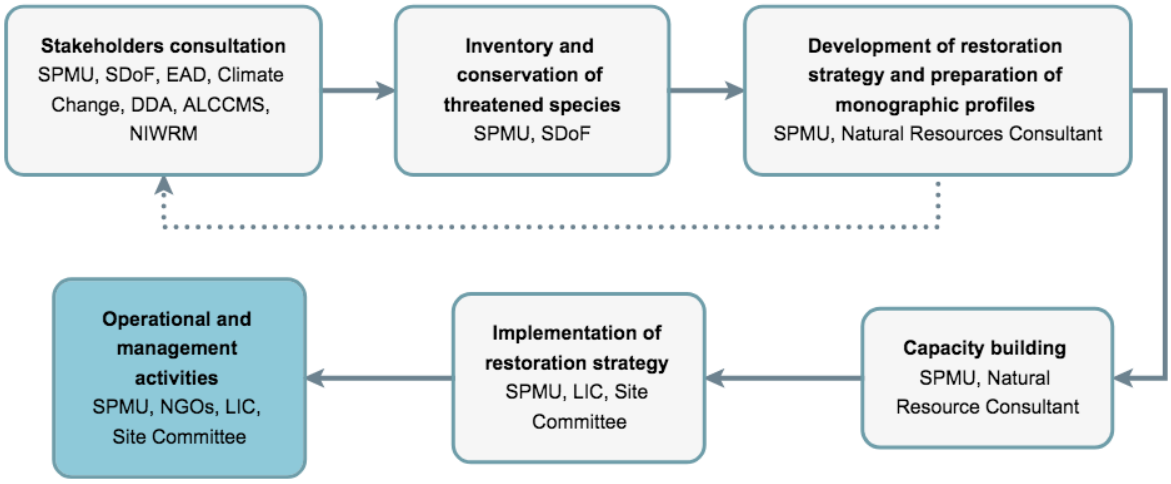


Figure 9. Summary of Oases Restoration activity flow

1. Stakeholders Consultation

Consultations will be held with all local associations, civil societies and socio-professional organizations, as well as with the deconcentrated technical services, and encourage any initiative to consolidate and strengthen local associations, particularly among youths and women, around local priority interests (especially in terms of diversifying livelihoods and protecting the cultural heritage of the oases).

2. Technical assistance for inventories, studies, designs and methods

- *Inventory and conservation of threatened species:*

The SPMU in collaboration with the State Department of Forestry will conduct the inventory and the identification of genetic material (seeds or any other material from which plants multiply) of targeted oases, identify threatened species, collect and preserve their seeds.

- *Development of restoration strategy and preparation of monographic profiles:*

The SPMU will engage the services of a Natural Resources Consultant to develop an action plan for restoration of the oases, Mapping and production of monographic profile of the oases, including status of wildlife and biodiversity, together with a Web-based GIS. The monographic profile should document the environmental and economic potentials.

3. Capacity Building

Capacity building will be organized for the identified local stakeholders on plantations suitable for the oases and implementation of other recommendations per the developed restoration strategy. The capacity building programmes will be organised by the SPMU with the technical assistance from the Natural Resource Consultant.

4. Restoration / rehabilitation for drought resilience and desertification amelioration

- *Intervention works:*

This activity will involve implementing recommendations specified by the restoration strategy of which will also include Cleaning/pollution/palm restoration/invasive removal.

- *Operational and management activities:*

This set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU in collaboration with the NGOs, LIC and Site Committee will implement these activities.

Sub-component A3. ACTIVITY 2: Wetland Restoration

For wetland restoration, targeted investments will be carried out in selected wetlands to restore their ecological functions. Investments will include wetland inventories, definition of buffer protection areas, zoning, banks restoration, monitoring systems, water management, biodiversity conservation, invasive species control, jobs and community microprojects, management, overfishing management, climate change adaption action plans, education campaigns, etc.

Implementation Activities for Sub-component A3: Wetland Restoration

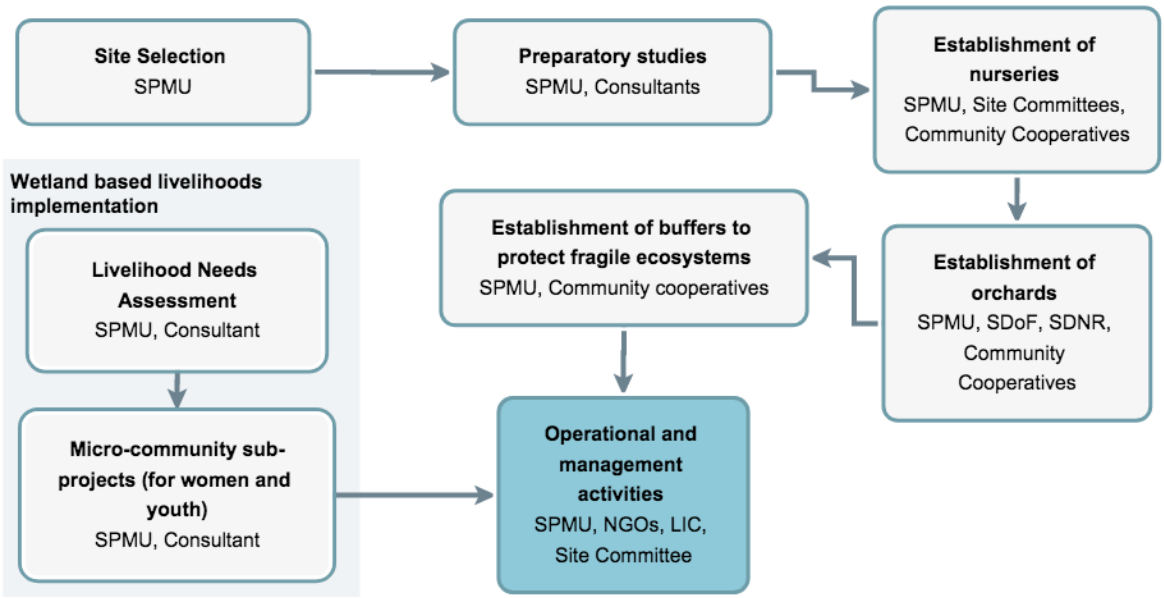


Figure 10. Summary of Wetland Restoration activity flow

1. Site Selection

The SPMU will select sites according to the selection criteria provided in PART I of this PIM. This selection will be forwarded to the World Bank for approval and No Objection.

2. Preparatory Studies

This entails feasibility study for the subproject, baseline studies, development of site specific environmental and social safeguards plans (ESMP, RAP, IPMP, etc). This phase is necessary so as to review the technical, environmental, economic and financial viability of the project and ascertain the project rationale, scope, cost, schedule, implementation arrangements, risks and mitigation measures. The SPMU will oversee these activities and engagement of consultants for these activities.

3. Establishment of nurseries

For this activity, selection of sites for establishment of the nurseries will be conducted by the SPMU based on consultations with communities. Community cooperatives should be engaged throughout the Nursery development stage, with close supervision of the site committees and the SPMU. Capacity building is paramount on the various stages of establishing a standard Nursery and this can be spearheaded by NGOs/CSOs.

4. Afforestation/reforestation of degraded wetlands (Establishment of orchards)

This activity deals with Establishment and maintenance of the orchard. With technical assistance of Department of Forestry and natural Resources, the SPMU shall make provision of seedlings, and Mobilize community cooperative for the planting activities.

5. Establishment of buffers to protect fragile ecosystems

This involves planting of deep root trees to stabilize riverbanks. Mobilization of community cooperative is needed for effectiveness of this activity

6. Wetland based livelihoods implementation and management practices

- *Livelihood Needs assessment:*

is paramount and should be carried out by a consultant. The livelihoods need assessment will comprise of baseline survey of the wetland region should be conducted to determine the condition and livelihood activities of the inhabitants.

- *Micro-community sub-projects (for women and youth):*

Conduct awareness workshops for potential community beneficiary groups in income generating activities such as aquaculture, fisheries, ecotourism and provision of inputs to support these livelihood activities. A micro-project committee should be set up to protect the interest of the target group.

7. Operational and Management Activities

This set of activities will implement systems to ensure capacity building programmes are executed; monitoring systems are in place and institutional arrangements established. The SPMU will engage the NGOs and LIC to implement these activities.

The SPMU will be responsible for the above tasks with recruited Consultants. The SMEnv, SMARD and Department of Forestry will be involved to oversee the implementation. Full participation of the community is also recommended.

Sub-component A3. ACTIVITY 3: Forest Management

Public sector investments in better management of the remaining forested areas of northern Nigeria are a critical element of dryland management. Forest areas have critical functions in dryland management strategies for maintaining ecosystem integrity, supporting livelihoods, and slowing desertification. Charcoal production is an economically important sector but in Nigeria is considered as one of the major drivers of deforestation (particularly in Bauchi, Kaduna, Nasarawa, Taraba, Ogun, Oyo, Kogi States). In Nigeria, charcoal is primarily used as a source of domestic energy for cooking and heating. Charcoal is a major source of domestic fuel for urban areas such as Jos, Kano, and Abuja. There is also a large market for charcoal export to Europe and Asia.

Clusters of forest sector investments to be supported include:

- *Improved seed quality.* Support will be provided to the various Seed Centers in the country. It will cover both productivity aspects and the viability of climate-resilient tree seeds. The support will improve and diversify the tree seed pool. Local cooperatives will be trained in the use of new varieties and in seed collection, handling, and distribution.

- *Improved woodlot management.* Investments will include training of local cooperatives in management of new varieties, in planning, in seed collection, handling, and distribution. Establishment and maintenance of plant nurseries of assorted species will also be supported.

- *Sustainable rural energy production and use.* The project will support exploring production of sustainable and efficient bio-fuels from alternative sources. The project will also assess women's role in bio-fuel production and target investments to reduce gender disparities in this sector of the economy. The project will also assess women's role in charcoal production and target investments to reduce gender disparities in this sector of the economy. The World Bank's PROGREEN project will finance "Sustainable woodlot management in northern Nigeria: assessment of woodlot biodiversity and quantity, and opportunities for alternative rural energy applications". This assessment will also explore current charcoal production practices and alternative opportunities, and implications for measures to address land degradation.

- *Forest Management and Conservation (State and local forest).* Gazetted forest reserves are under the responsibility of state and local governments. The project will support the government's efforts to improve the management and conservation of forests, increase presence of personnel, offices, transportation, communication, management plans, etc. Improved access to fuelwood will be provided by supporting plantations with fast-growing species and to strengthen non-timber forest product value chains for forest-dependent communities. To address challenges identified in the forestry sector, the project will set up a

combination of incentive-based agroforestry schemes, agricultural intensification, bush fire control, establishment of fuelwood plantations on degraded gazetted forest lands or in other communal land. The aim will be to increase fuelwood production and meet the energy needs of local communities, create jobs and microbusiness that supply high-consumption urban hubs. It also includes efficient production of charcoal, transhumance grazing management, Non-Timber Forest Products (NTFPs), fire control, invasive species, and. biodiversity conservation.

Implementation Activities Sub-component A3: Forest Management

For gazetted forests, the project will support the government's efforts to improve the management of forests, increase access to fuelwood in the main cities, and to strengthen non-timber forest product value chains for forest-dependent communities. This subcomponent will also support national parks which are considered to be particularly at risk, and which form major parts of the prioritized watersheds under the project.

The following tasks will be implemented at the State level by the SPMU with technical support from the State Department of DDA, Forestry, Nigeria National Park Services and the Local Government Technical Officers.

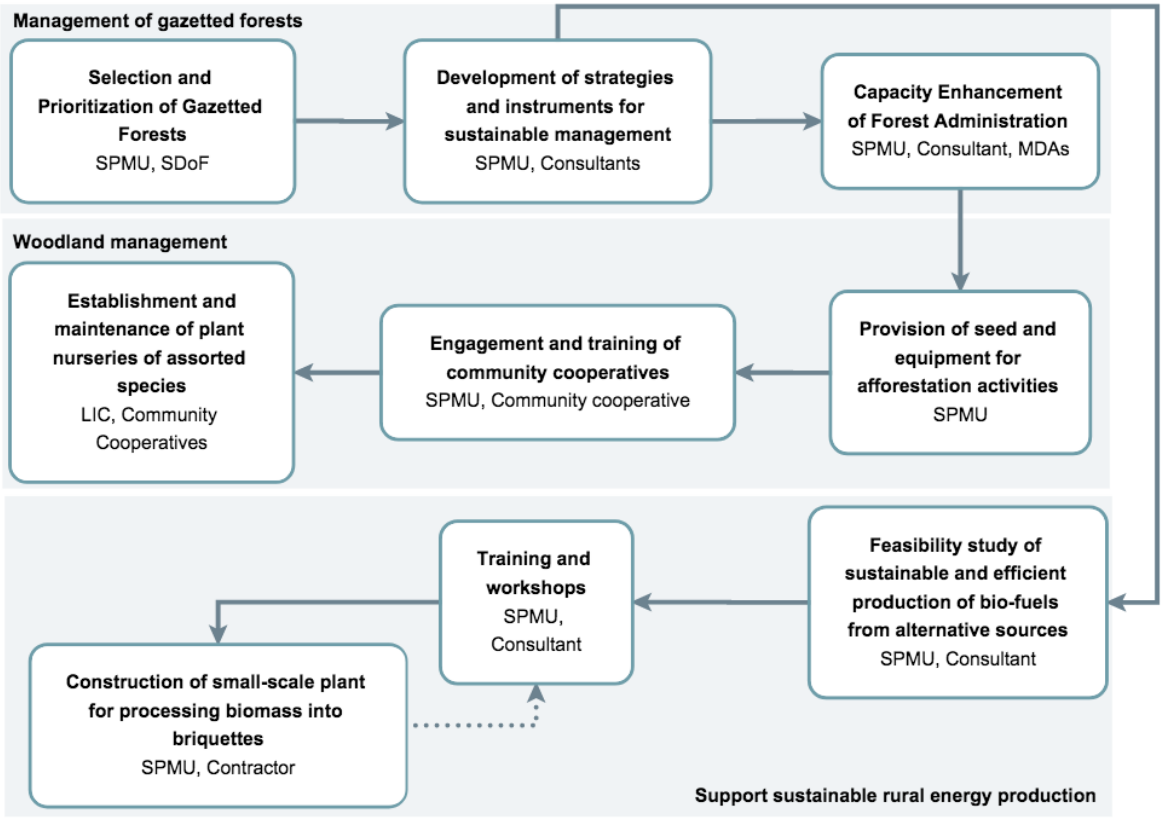


Figure 11. Summary of Forest Management activity flow

1. Management of gazetted forests

· *Selection and Prioritization or Gazetted Forests:*

The SPMU will work together with the SDoF to select and prioritize gazetted forests for intervention.

· *Development of strategies and instruments for sustainable management:*

The SPMU with the support of a consultant will be responsible for the forest survey to identify relevant forest indicators for an effective forest management. Development of designs and mitigation measures against forest disasters will also be covered under this activity.

· *Capacity Enhancement of Forest Administration:*

will enhance the capacity of Forestry Administration MDAs for improved management of the sector. This will by organised by the SPMU and a consultant.

2. Woodland management

This involves afforestation activities requiring the following actions:

- Provision of Improved Seed Quality-Support to seed centres, procurement of equipment and operational materials, technical assistance and operating costs.
- Establishment and Training of local cooperatives on forest nursery establishment and management, as well as plantation establishment and management techniques.
- Establishment and maintenance of plant nurseries of assorted species.

3. Support sustainable rural energy production

- Feasibility study of sustainable and efficient bio-fuels from alternative sources by PROGREEN.
- Training and workshops.
- Construction of small-scale plant for processing bio-fuel from alternative sources.

Sub-component A3. ACTIVITY 4: Protected Areas

Four of Nigeria's seven national parks, Chad Basin, Gashaka-Gumti, Kamuku, and Kainji Lake, are located in the semi-arid region of northern Nigeria. They are under the management of the National Parks Authority. They together cover about 15,492 km^2 (about 70% of the total area covered by Nigerian national parks) and are globally recognised for their species richness, endemism, and protection of ecosystem resources that sustain the socio-economic livelihoods of communities in their respective region. President Muhamadu Buhari recently approved the upgrading of ten game or forest Reserves to the status of national parks. Seven of the new national parks are in the project area of northern Nigeria: Falgore, Hadejia wetlands, Allawa Kogo, Pandan, Marhai, and Kampe. National park investments will support national parks which are considered to be particularly at risk, which form major parts of the prioritized watersheds under the project, and are national priorities. About 200,000 ha are expected to benefit from improved conservation and management.

Expected investments in the national parks address both the needs of communities in park buffer zones and the parks themselves. This part of the subcomponent will be under the authority of the National Parks Authority. Communities in buffer zones will be supported in areas where the Parks authority has jurisdiction to be operating. Support will include boreholes, afforestation/reforestation, training and support to local livelihoods, and involvement of local communities in park management. The project will support biodiversity and ecological surveys in 7 national parks and management plans for 11 of them. Ranger posts and critical park infrastructure will be financed as well as demarcation, training, and diverse support to park management as needed.

Implementation Activities Sub-component A3: Protected Areas

This sub-activity will be financed through:

- Afforestation of 400 hectares (economic trees) of degraded ecosystems around the seven national parks areas;
- Provision of 50 Solar-powered Boreholes in selected communities around the National Parks;
- Training and support to sustainable livelihood activities in the surrounding communities;
- Technical assistance on development of management plans for the 11 National Parks;
- Technical assistance on biodiversity and Ecological surveys of 11 National parks;
- Construction of 40 Ranger Posts in seven National Parks;
- Equipment for 40 Ranger Posts in seven National Parks; and
- Conservation education meetings in the communities of the National Park.

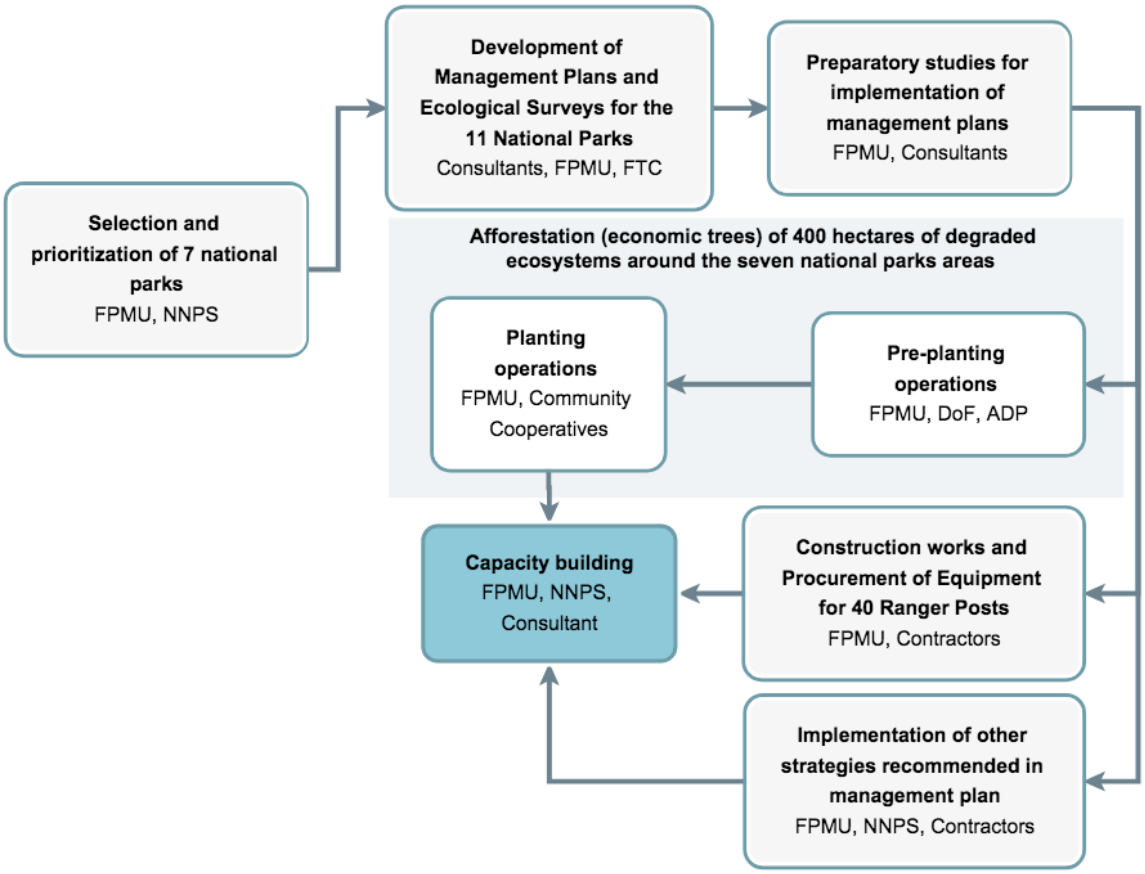


Figure 12. Summary of National Parks Management activity flow

This set of activities will be implemented by the FPMU in collaboration with the Nigeria National Park Service and achieved through the following steps.

1. Prioritization of National Parks

The FPMU in collaboration with the NNPS will agree on the 7 national parks that would benefit from the proposed intervention activities besides development of management plans and ecological surveys. The selection will be forwarded to the World Bank for approval and No Objection.

2. Development of Management plans and Ecological Surveys for the 11 National Parks

This will be done by a consultant. Appraisal and validation of the management plans will be conducted at Federal level by the **FTC and FPMU**.

3. Preparatory studies and implementation of management plans

The engagement of consultants will be handled by the FPMU through recruitment process. Preparatory studies entail development of site specific environmental and social safeguards plans (ESMP, RAP), GIS mapping, etc. The FPMU will implement these activities with consultants.

4. *Afforestation of 400 hectares (economic trees) of degraded ecosystems around the seven national parks areas*

- *Pre-planting operations:*

This activity involves seed collections and propagation and site preparation with the technical support from the DoF and ADP. Establishment and maintenance of plant nurseries of assorted species will also be carried out in this phase.

- *Planting:*

Community cooperatives around the national parks will be engaged to carry out the planting activities. Prior to commencement of this activity, the NNPS should organise a training for the personnel to be involved; priority should be given to health and safety considerations.

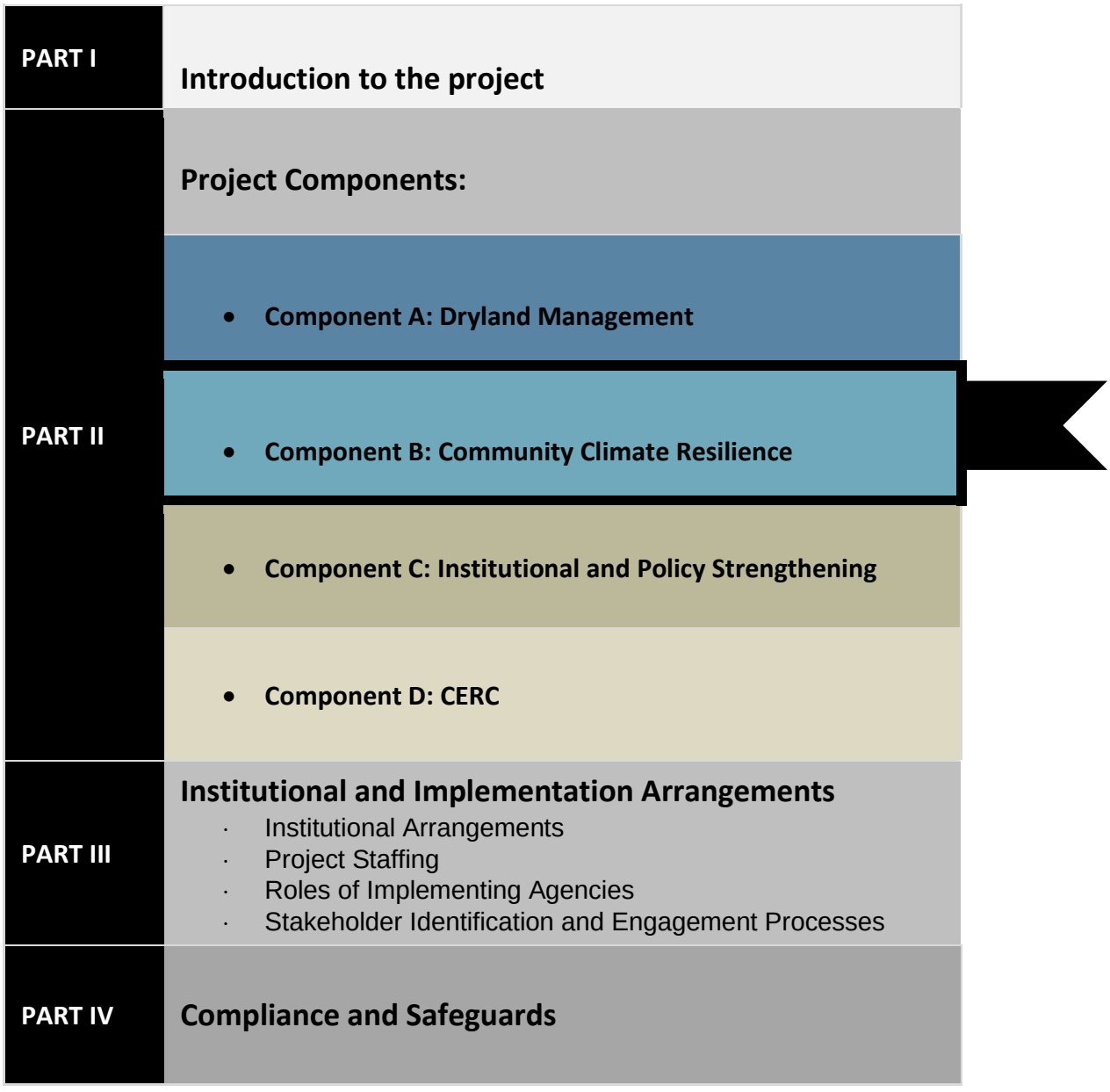
5. Construction works and Procurement of Equipment for 40 Ranger Posts

Following completion of the preparatory studies, the FPMU will engage engineering contractors for the civil works of setting up Solar-powered Boreholes in selected communities and 40 Ranger Posts in seven National Parks. The procurement activities will be handled by the FPMU working closely with the NNPS.

6. Capacity building

The capacity building programmes will be organised by the FPMU with the technical assistance from the Consultant for the NNPS personnel and staff in charge of the 11 National Parks.

PART II: COMPONENT B – COMMUNITY CLIMATE RESILIENCE



PART II: COMPONENT B

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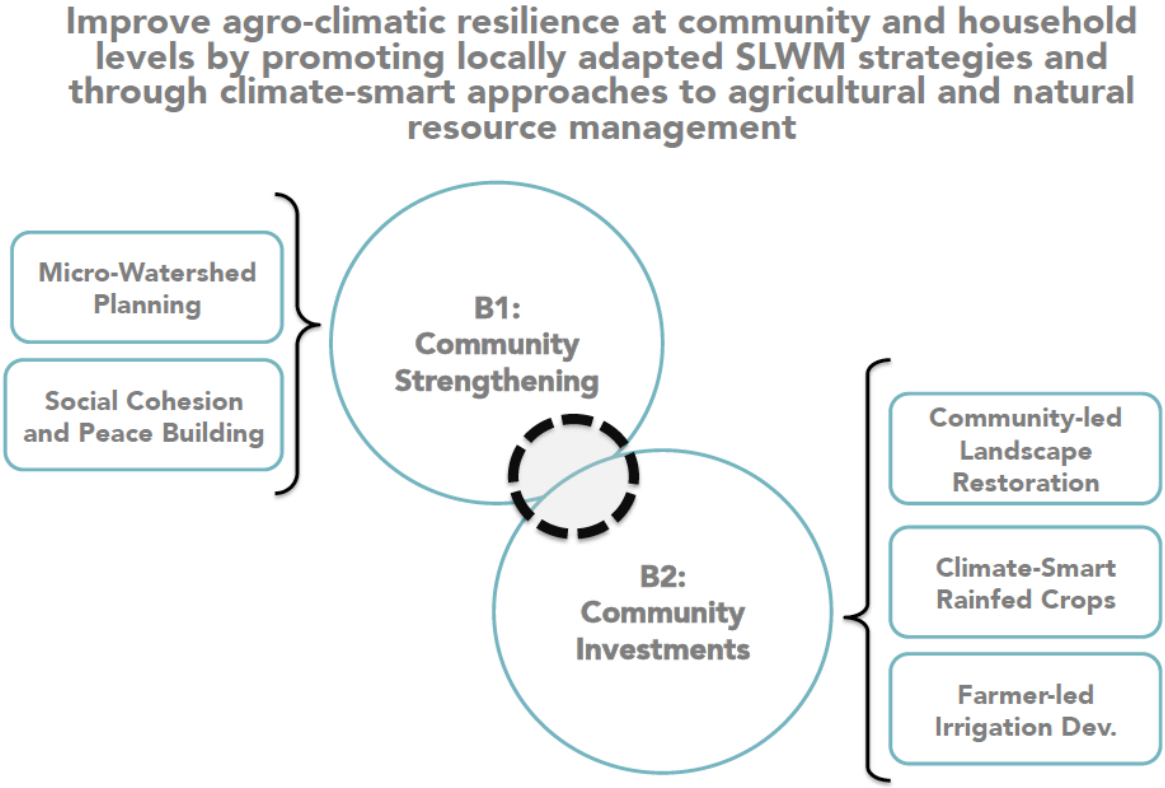
1. Component B: Community Climate Resilience



Component B aims to increase agro-climatic resilience at community and household levels by promoting locally adapted sustainable land and water management (SLWM) strategies and through climate-smart approaches to agriculture and natural resources management. Most of the challenges of dryland management are to be found at the local level, where they constitute the day-to-day reality of communities and farmers. Communities need support to be more resilient and communities and households need targeted investments to put new approaches into effect.

In targeted micro-watersheds, this component will support the following sub-components:

- Community strengthening
- Community investments

Support to community investments

Under Sub-component B2 three types of community investments will be implemented:

a) Landscape restoration;
b) Climate-smart rainfed agriculture/community revolving fund; and
c) Farmer-led irrigation development (FLID).

The community investments involve public-type landscape investments to private investments such as agriculture inputs, based on watershed plans priorities for investment.

The community investments will be supported by LGAs, consultants hired under the project at the LGA level, community facilitators at the community level, and with the help of partnerships with civil society and NGOs.

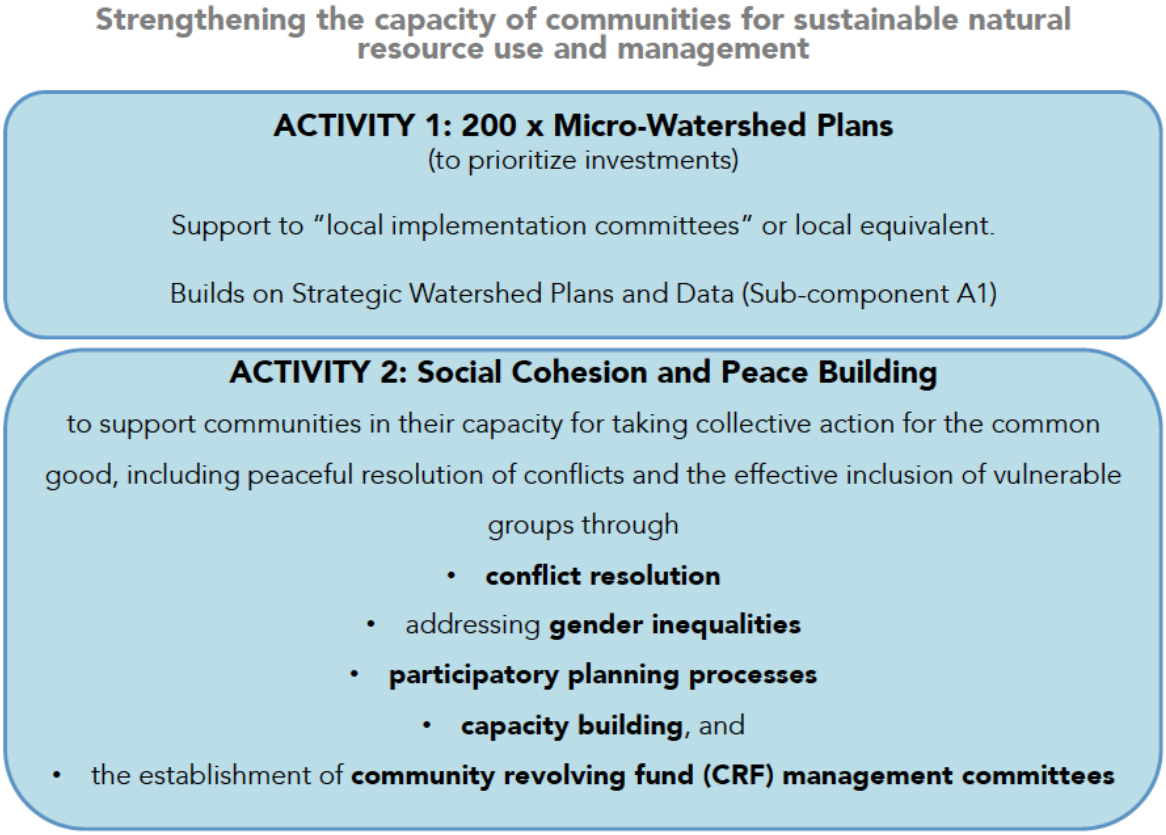
Support to community structures

At the community level, the component will leverage CSDP and FADAMA established community structures, which exist in all the States, to support the community investments.

The community structures include sub-committees for implementation of community investment plans, monitoring, and reporting, operation and maintenance of community assets/investments; and Community Project Management Committees (CPMCs) for identification, preparation, and articulation of community development/investment plans, project implementation, monitoring, and reporting.

The component will reinforce and strengthen the existing community structures to make them more inclusive and functional through continuous capacity building support as well as fostering their involvement and participation in micro-watershed planning and management.

1.1 Sub-component B1: Community Strengthening



This subcomponent aims to strengthen the capacity of communities for sustainable natural resource use and management. Support will be provided to "Local Implementation Committees" (LIC), or their local equivalent.

The interrelated and mutually reinforcing activities under this sub-component include:

- Micro – watershed planning
- Community engagement, social cohesion and capacity building

Building on the outcomes of the higher-level strategic watershed planning (Sub-component A1), micro-watershed planning will be supported to prioritize investments.

The planning processes required for the formulation of micro-watershed plans and priority investments will build on CSDP and FADAMA community engagement processes for community strengthening and community-led investment planning to ensure strong community engagement on the principles of transparency, participation, accountability, and enhanced local capacity.

The community engagement process will involve information campaigns and socialization of watershed plans, provide support for community identification of needs and priorities and

development of community development/investment plans to feed into the watershed planning process. Collaboration with LGAs will be established towards appraising, approving, and financing CDPs developed and implemented by community-based groups and monitor and evaluate the implementation of the CDPs and achievement of set objectives.

In additions, social cohesion and peace building will be strengthened by addressing gender inequalities, the needs of vulnerable and marginalized groups, and by improving conflict resolution capacities at the local level, all through joint planning and implementation across stakeholder groups to foster mutual understanding.

Sub-component B1. ACTIVITY 1: Micro-watershed Planning

The component will support communities in 200 micro-watersheds (out of 3000 plus in target states).

Implementation Activities for Sub-component B1: Micro-watershed Planning

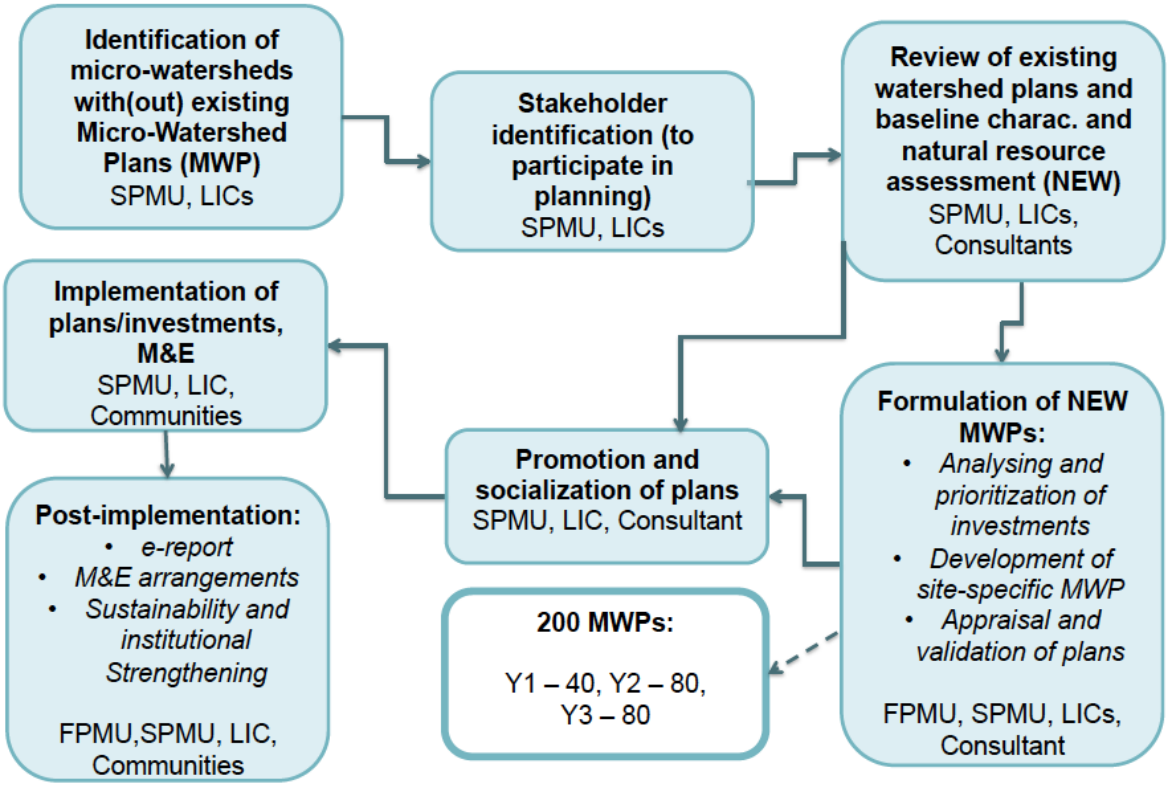


Figure 13. Summary of micro-watershed planning activity flow

Implementation activities for the micro-watershed planning will be implemented at community levels by the SPMU in collaboration with the Local Implementation Committee (LIC). The strategic watershed management plans prepared are expected to detail guidelines and priorities for the micro-watersheds that are included in their respective larger watersheds or basins. Building on the outcomes of the strategic watershed planning (Subcomponent A1), implementing a participatory process of micro-watershed planning will be as follows.

1. Selection of Micro-watersheds and Communities (200 No.)

In some communities, functional equivalents of the micro-watershed plan (MWP) already exist. These existing MWPs will not be replaced but reviewed and updated if necessary. For communities with no existing MWP, **new MWPs** will be developed. **The SPMU in collaboration with the LIC will assess the communities to determine those with functional equivalents of the MWP. The**

SPMU will also carry out the mapping of existing community/farmer groups/producer groups in target communities.

Selection of Micro-watersheds

The criteria for selection of micro-watershed are:

(i) the magnitude of agro-climatic vulnerabilities (desertification and land degradation),

(ii) the size of population affected by desertification (disaggregated by poverty rate),

(iii) frequency of farmer-herder conflicts, presence of animal passage corridors, and

(iv) absence of on-going competing interventions in the communities.

Example of Criteria for the watershed selection[22]:

- Extent (advanced stage) of natural resource degradation, e.g. soil erosion, landslides, destabilized slopes.
- Dynamic and motivated local institutions, community organizations and user groups.
- Interest and commitment of local population to participate.
- Accessibility.
- Development potential and scope for non-farm economic activities.
- Occurrence of natural disasters.
- Reversibility of degradation and potential for rehabilitation.
- Visibility and demonstration potential.
- Attitudinal profile and mix of different land-use categories.
- High poverty indices.
- High population density and number of potential beneficiaries.
- Lack of basis services, e.g. water infrastructure.
- Support from technical line agencies and decision-makers.
- Representatives and potential for replication elsewhere.
- Food insecurity risks.
- Presence of several villages.
- Expected benefits and success.
- Agriculture as main driver of the local economy.
- Potential to use synergies with other projects and initiative.
- Experience form previous projects.
- Presence of well-preserved high-value ecosystems under pressure.
- Importance of the watershed in terms of quality and quantity of water supplied.
- Local government resource allocation for natural resource management.
- Potential to improve social equity.

[22] FAO. 2017. Watershed management in action – lessons learned from FAO field projects. Rome.

- Awareness/concern for ecosystem conservation.
- Lack of service providers.
- Achievable results with the available resources.
- Downstream values to be protected.
- Experience with management of communal resources, e.g. water sharing, rotational grazing.
- Availability of maps and data for planning.

BOX II. DEMONSTRATION WATERSHEDS

- ✓ At initial stages of the ACReSAL project, selected micro-watersheds should be visible, accessible and representative of the project area. These watersheds could be used to raise awareness about environmental problems, to demonstrate innovative practices and to train stakeholders in their practical application.
- ✓ Demonstration and learning interventions should be targeted to watersheds with human-induced degradation of natural resources and potential for physical restoration, sustainable land use practices and livelihoods opportunities.
- ✓ Demonstration watersheds should be diverse in land-use pattern, products and problems to be addressed as representation of complex systems and dynamics
- ✓ Local communities should show openness to develop new capabilities, change and clear interest in participating in the planning and implementation of project activities.
- ✓ Stakeholders such as government agencies and local entities should demonstrate commitment and support.

2. Stakeholder identification (to participate in planning)

Identification and establishment of stakeholders will be carried out by the SPMU at the state level with assistance of the LIC.

These stakeholders are entities that can make water resource and quality management decisions, can effect implementation of decisions, characterize the present watershed conditions, identify and prioritize investments, define management objectives, and develop protection or remediation strategies and practices. Likely key stakeholders for each sub-project area will include community heads, representatives of community groups, Water Users' Association, Farmer groups, NGOs, CSOs and CBOs.

Community engagement methods and mechanisms include:

- ✓ Early engagement of communities in the project/process not only be engaged once key project-related decisions have already been made

- ✓ Clear setting out of, and agreeing to/of objectives at the beginning of the project/process
- ✓ Continuous conversations between all stakeholders throughout the project
- ✓ Acknowledging and using indigenous knowledge
- ✓ The selected methods of engagements must be relevant to the context within which the project is implemented, and the stakeholders
- ✓ The community engagement process must create opportunities for accountability
- ✓ Create community ownership
- ✓ Incorporate the capacity building of the community to ensure that they can participate in the process (and project|) in a meaningful manner
- ✓ The decision-making process must be structured, open and inclusive of key stakeholders representing the community, ideally without political or self-bias.
- ✓ Early identification and representation of key stakeholders

See Section 5 in PART II on Stakeholder Identification Process and Engagement.

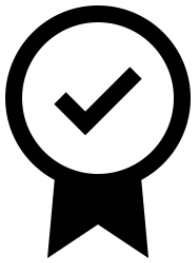
3. Review existing micro-watershed plans and/or establish baseline characterization and assessment of selected micro-watersheds

The aim of this activity is to gather comprehensive database on the key characteristics of the watersheds with regards to bio-physical (including climate scenarios) and socio-economic (including livelihood analysis and demographics) conditions and the institutional set-up:

- The **assessment of the biophysical features** usually comprises an analysis of the climate (including climate scenarios and projected climate change related impacts), geology, topography, watershed resources (land, water, soils, plants and animals), biodiversity and ecosystem services and functions. It has a special focus on hydrological aspects, i.e. water quality and quantity, including infiltration rates and runoff, land cover and land suitability or potential for different purposes. Environmental components such as rainfall, water quality, biodiversity, etc. are to be assessed to determine the effect of anthropogenic activities on the environment.
- The assessment of the **socio-economic conditions and livelihoods analysis** looks at demographics (including different social and/or ethnic groups and population dynamics), existing land-use categories and production systems (and associated problems), major resource user groups, gender relations, livelihood strategies, major economic activities and sources of income, access to land, credit and markets, social infrastructure, knowledge and other assets. It further includes a review of underlying policies, laws and regulations and an analysis of existing tenure regimes on land, water and other natural resources.

- The assessment of **institutional set-up** involves mapping the capacity, interest, influence and level of organization of local stakeholders – formal institutions and service providers as well as informal groups – so that the key players for watershed management can be identified and engaged (see PART II – Stakeholder Identification). It is also important to identify their enabling measurement of performance for implementation of the watershed plan.

Baseline characterization studies will be carried out at the community level and overseen by the SPMU in collaboration with the LIC. The SPMUs will engage consultants for these studies, where relevant. The scope of the consultancy for baseline characterization will include review of existing watershed plans for communities that have.



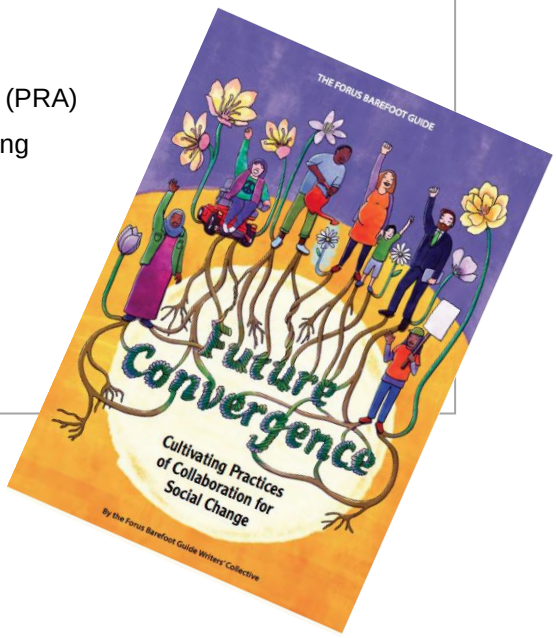
BOX III. WATERSHED BASELINE ASSESSMENT

- ✓ Set a reasonable time frame for the assessment phase within the overall project duration, leaving sufficient time for subsequent planning and implementation.
- ✓ Ensure that the assessment is participatory and inclusive and supported with adequate participatory mapping and analysis tools.
- ✓ Assessment results should be presented to the watershed stakeholders for their validation.
- ✓ Students and researchers from local high education institutions undertaken relevant programs within field projects can contribute to cross-fertilization between science and practice.
- ✓ Multi- and trans-disciplinarily is key to address complex social-ecological issues in the watersheds. This requires a team of professionals from diverse technical disciplines.
- ✓ Involve government agencies in the assessment in order to reinforce ownership in the participatory and collaboration process and thus, build their long-term institutional capacity and sustainability.
- ✓ An in-depth analysis of tenure systems and issues must be a key element to the overall watershed assessment.

Participatory assessment and mapping tools are fundamental for engaging watershed stakeholders, depicting local knowledge and creating ownership.

BOX IV PARTICIPATORAY ASSESSMENT, MAPPING TOOLS and CO-CREATION OF SOLUTIONS

- → Participatory Rural Appraisal (PRA)
- → Participatory resource mapping
- → Transect walks
- → Venn diagrams
- → Seasonal calendars
- → Change Laboratories



4. Development of NEW Micro-watershed Plans

- *Analysing, visioning and prioritization of investments:*

The results of the assessments will be used to analyse the current situation, discuss desirable future land use and management options in the watershed, and prioritize activities for eventual implementation.

A range of watershed stakeholders must be involved in problem analysis, identification of alternative options and delineation of potential areas for interventions.

The results need to be presented to and discussed with all stakeholders to reach an agreement on the findings and to develop a road map for future action. Stakeholders' workshops will be organized with stakeholders at all levels to share and discuss the results of the baseline study as a precursor to setting the goals and objectives of the MWP and develop potential solutions.

After producing a list of potential solutions and options for future action, the next step is to assess the feasibility – technical, environmental, social, institutional and, most importantly, economic – of these options.

At the same time, it is necessary to define the **concrete objectives** of what can realistically be achieved by a watershed management plan. Having defined the objectives and narrowed the list of options to those that are feasible, the next step is to set priorities and select the most appropriate solutions for implementation.

It is important to define **clear and transparent criteria** for determining priorities and selecting specific activities (sub-projects) for implementation. The choice is highly context specific, and it is generally challenging to find the right mix of measures and to balance different needs and expectations. A

from the cost-benefit ratio, other criteria could include:

- the need for urgent action on a pressing or recurring problem;
- a measure's proven effectiveness and good potential for adoption and uptake;
- a preference for collective action to deal with common pool resources and public goods (as opposed to individual benefits on private lands);
- the need for short-term economic returns;
- an intervention's suitability as a simple and early;
- 'shovel-ready' measure that can help build confidence and trust.

→ Watershed investments may include a combination of short-, medium- and long-term interventions as well as a mix of environment- and development-focused interventions.
→ Selected interventions need to be targeted to the needs of specific beneficiary group(s) and should be an integral part of the watershed management plan.
→ A feasibility check to assess the practicality of the prioritized solutions is highly recommended before formulation of the plan and implementation of activities.
→ Each selected activity should be scrutinized for its institutional feasibility to identify the right form of local organization not only for its smooth implementation, but more importantly, for its continuity after the project ends.

The potential environmental and social impact (positive or negative) and risks of each selected intervention must be assessed to prevent and mitigate undue harm to people and the environment at all scales, even in small-scale Investment activities as per project Environmental and Social Framework (ESF) provisions (PART IV of this PIM)

Activities may also be selected to be staggered over time, with immediate priority given to addressing the most urgent problems, and activities that are less important or more elaborate postponed to a later stage in the process.

Refer to PART I AND PART IV for more detailed sub-project identification criteria. Preparation of investments at sub-project/site-specific level will adhere to the investment cycle outlined in PART I of the PIM.

Several tools are available for analysing problems, identifying objectives and solutions and developing scenarios for the future:

1. A **problem tree** or a problem analysis chart can be a useful visual tool for clarifying the causes and effects of a problem and highlighting the links among them. Discussion of the main problems in the watershed and their underlying causes can then be used to identify potential solutions and development opportunities. A problem tree can be reformulated into a solution tree, and the problem analysis chart can easily be expanded to include not only the causes of each problem but also existing coping strategies and possible future opportunities.

2. **Participatory scenario development** can be useful to identify and develop the available options for improving the state of the watershed. It is useful to develop different scenarios of future land-use and land-management options based on the information and data collected during the assessment. Science can help with scenario development and modelling.

In addition, various conceptual frameworks have been developed over the years for analysing complex environmental problems and the interaction between social and ecological systems, such as the driver, pressure, state, impact, response (DPSIR) framework and the sustainable livelihood approach (SLA)[23]

Table 3 presents an example of analysis, establishing solutions and priority setting that can be used to organise and present summarized deliberations on road map for watershed priority interventions for a specific site or area.

[23] See Binder et al., 2013 for a thorough comparison of such frameworks.

Table 3. Example of analysis of priority problems, their causes, proposed solutions and level of intervention priority

Problem area	Causes	Proposed Solutions	Priority
Crops			
e.g. Uncultivated land	Soil erosion Unlevelled land Non-availability of seed Lack of financial resources Lack of irrigation	Field terracing/levelling Retaining walls Introduction of new crops and provision of seed Intercropping Diversion channel	High
Forest			
e.g. Deforestation	Increase in population pressure No alternative for hearing and cooking energy sources Landslides and erosion	Agroforestry systems including hillslope stabilization through (bio)engineering techniques. Introduction of biogas plant	Medium

- *Development of a site-specific MWP:*

The watershed management plan should be considered a highly flexible tool which reveals a territorial vision and promotes a unified reading of the watershed interactions among key stakeholders.

The micro-watershed plans, intended to be living documents, summarizes the most salient points resulting from the assessment and provides links to the detailed studies produced in the project. It includes the community's identified needs and priorities and will help prioritize project investments. The plans will include the strategies agreed on at the stakeholder's workshop, implementation schedule, milestones to track implementation, monitoring components, capacity building plans, institutional and budgetary allocations to execute plan as well as sustainability strategies[24].

They also include mapping of conflicts and conflict resolution mechanisms as an input to peace building and will incorporate information (collected in the MIS under Subcomponent C1) on monitoring of conflict impacts in the project area.

The SPMU shall engage consultants to develop site-specific MWPs working in close collaboration with focal NGOs and LIC.

It is not necessary to present all the details in the plan. However, it should include the maps

[24] FAO developed RuralInvest (FAO, 2017) to assist in the preparation of small-scale rural investment projects and business plans. It is applicable for the development of income-generating activities across all sectors, and also for non-income generating projects aiming to improve living standards and social infrastructure.

prepared in previous phases, both those based on GIS and those drawn by stakeholders, either integrated in the text or attached as an annex.

A watershed management plan should contain the following elements[25]:

- → a brief description and analysis of the initial situation, highlighting existing problems, challenges and potential, as well as trends and drivers;
- → a brief description of the consultative process among technicians, authorities and local populations;
- → clearly defined objectives of the plan, including the vision developed;
- → a clear intervention logic, explaining the spatial interlinkages among the measures selected for implementation and their impact on each other;
- → expected monetary and non-monetary benefits of the interventions, including synergies and consensus on necessary trade-offs;
- → initial and running costs of the interventions as well as a financial plan, including budgets and the contributions of different funding sources, including the beneficiaries;
- → the division of tasks and responsibilities among institutions and individuals;
- → the timetable for implementation;
- → the overall responsibility for plan implementation;
- → the clearly defined geographical area for which the plan is valid, including clear identification of areas where specific interventions will take place;
- → agreements negotiated between or among different resource users, including compensation for restrictions on land use and sanctions if any agreements are not respected;
- → reference to existing village or municipal development plans and/or sector plans that must be respected;
- → the M&E plan and indicators for monitoring the effectiveness of the implementation of the watershed management plan.

The watershed management plan is a unique document, adapted in form, content and language to a specific local context, reflecting its origin from a negotiation process among diverse stakeholders. It is important to ensure that all stakeholders adhere to the plan and identify with its contents.

The project will support information campaigns and socialization of the plans and project funding procedures and monitor and evaluate the implementation of the plans and achievement of their objectives.

[25] Adapted from GIZ. 2012. Land use planning – concepts, tools and applications. Eschborn, Germany.

· *Appraisal and validation of MWPs:*

The appraisal and validation of plans involved further deliberations from part of key stakeholders including relevant technical PMU staff and consultants, partner organisations, LGAs and local institutions and population. This step, through **consultative workshops and meetings**, will ascertain feasibility of the plan, foster stakeholder buy-in and commitment and final approval and official endorsement by all parties involved and their role and function as agreed in previous meetings. This stage of the planning process would also foster internalization of the project experience in national policies, programmes and budgets.

Appraisal and validation of the micro watershed plans will be conducted at State levels by the SPMU. Local institutions (e.g. LIC or equivalent) shall be established to oversee the implementation of the plan.

5. Promotion and socialization of plans

Once validated, a hard copy of the finalized watershed management plan should be distributed to all stakeholders involved in the process. A press release on the occasion of the workshop with an electronic link to the plan could help to ensure its broader dissemination.

Workshops should be organized where the watershed plan's goals and objectives are shared with the community members and local stakeholders thereby allowing them access to make their inputs. **The LIC is critical to the implementation of this activity.**

The previous steps will be followed by the **implementation** of the plan including the development and operationalization of a **project-based M&E system** linked to overall ACReSAL M&E plan. Local capacity should also be strengthening and should lead to a progressive transfer of responsibilities and functions to local entities.

Sub-component B1. ACTIVITY 2: Capacity Building and Cohesion Enhancement

This activity aims to strengthen the capacity of communities for sustainable natural resource use and management building on the outcomes of the higher-level strategic watershed planning (Subcomponent A1) and the participatory process of micro-watershed planning.

The micro-watershed plans, as described under Activity 1, not only will include local community needs, priorities and related investments but also, **conflicts and conflict resolution mechanisims towards peace building outcomes**. Local-level conflicts would have been mapped out as part of the micro-watershed planning exercise and from information collected in the MIS under Sub-component C1 on monitoring of conflict impacts in the project area.

As a result, this activity reinforces the **capacity development processes and mechanisms for the improvement of communities' capacities and capability to address local development needs, peace building activities, and conflict resolution.** These will build on both formal and informal institutions and practices and target interventions such as dialogues, joint planning and implementation across stakeholder groups, training, and capacity building. Community structures will be strengthened for implementation of subprojects, monitoring, and reporting, and operation and maintenance of community assets/investments.

Strong focus will be placed on addressing gender inequalities in access to funding for enterprises through gender-targeted support. In addition, important investments will be supported aimed at reducing **gender-based violence** in beneficiary communities such as:

i. ***gender-based violence (GBV) service provider*** mapping and referral pathways to ensure that survivors within the community know where to go to report incidents and receive medical, legal, shelter, security, and psychosocial support. The project will collect data from GBV service providers, input it into a shared database and analyze the data to see which providers meet basic quality standards. To ensure the community has access to quality services, the hired GBV firm will provide training and technical support to service providers (these often include grassroots women's groups) when there is the need;

ii. ***consultations with women and girls*** to understand where they feel safe reporting to, which will allow for multiple reporting channels within the community where survivors can go to report incidents of GBV including Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH). These reporting channels (youth and women's groups, local

leaders etc.) will be trained on how to receive incidents through a survivor-centered framework.

iii. Specific protocols for handling SEA/SH cases will be developed by the GBV firm in collaboration with the project GBV Specialist;

iv. ***multi-stakeholder dialogues*** to engage local leaders, community-based organizations and GBV advocates on local-level GBV risks, underlying drivers and effective prevention and response mechanisms will take place throughout the duration of the project;

v. ***GBV training for male and female project beneficiaries*** on topics such as risks, consent, reporting and accessing care as a survivor of GBV will be carried out by the hired GBV firm; and

vi. ***social marketing campaigns and community sensitizations*** to promote behaviors that mitigate GBV will be done in coordination with the communications team and through radio, pamphlets, posters and community focal points

Refer to PART IV of this PIM – ESF and GRM Sections.

Implementation Activities for Sub-component B1: Community Engagement, Social Cohesion and Capacity Building

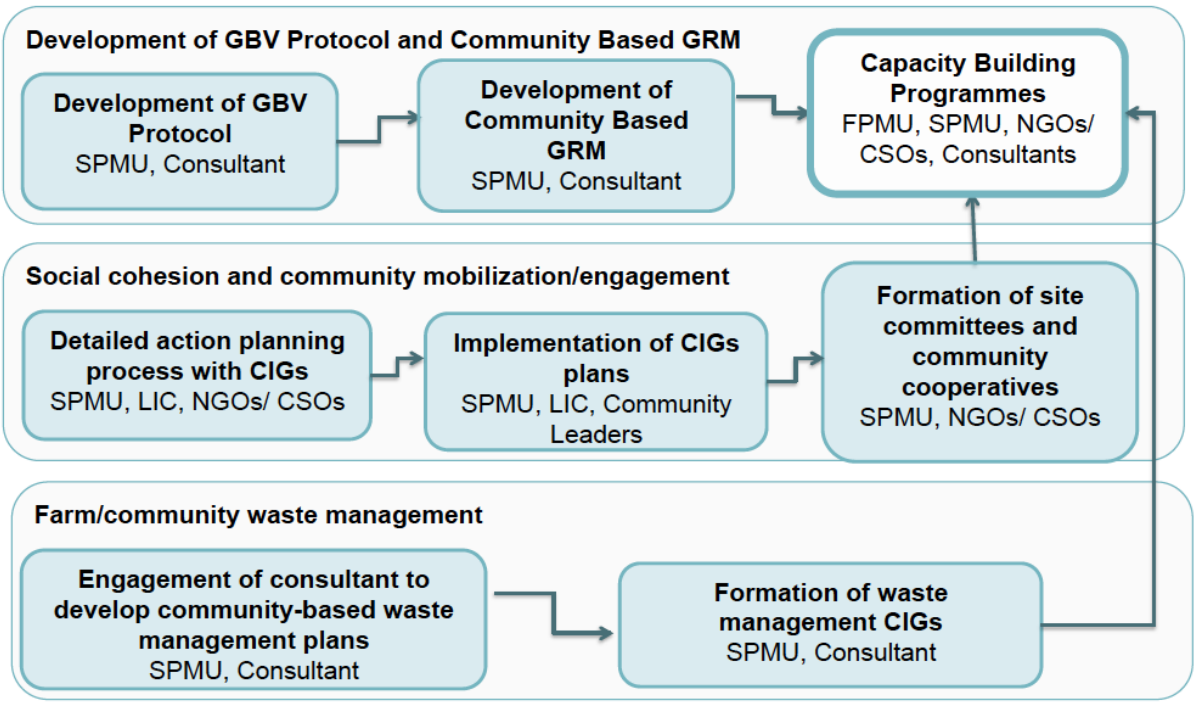


Figure 14. Summary of community engagement, social cohesion and capacity building activity flow

Sub-component B1 also supports investments to improve community capacity for critical local development needs, peace building, and to improve conflict resolution capacities at the local level. This will focus on fostering gender equality and conflict resolution through community engagement and capacity building.

The process to achieving these activities will be as follows:

1. Development of GBV Protocol and Community Based GRM

- *Development of GBV Protocol:*

  Specific protocols for how SEA/SH cases will be handled and will be developed by the GBV Officer according to the GBV Action Plan.

- *Development of Community Based GRM:*

  In order to promote ownership access and use of natural resources in a non-violet manner, a community based GRM will be developed by the SPMU Grievance Officer with support of the Site Committee. The GRM will be built on the GRM developed for the ACReSAL Project.

2. *Strengthening social cohesion and community mobilization/ engagement*

- *Detailed action planning process with* Community Interest Group Planning (*CiGs):*

  This activity will be implemented by first mobilizing the community making sure a larger number of the marginalized groups especially women, are represented. A workshop should be carried out. The workshop will allow identification of different Interest groups and people with similar livelihood. Each group will be given the opportunity to analyze their livelihoods, potentials and problems and identify micro-projects to improve their situations.

- *Review and development of action plans:*

  Some CIGs already have action plans which shall be reviewed to be effectively accommodated by the Project objectives. Groups without action plans shall be guided in development of their action plans. The SPMU is responsible for implementing this activity with support from LIC, NGOs/ CSOs.

- *Implementation of CiGs plans:*

  The main result of the Community Interest Group Planning workshop should be the decision to solve one or more of the community's problems through the preparation of micro-projects. The SPMU, with the help of Community Leaders and LIC shall set up committees for every CIGs to ensure full participation, inputs of the members and sustainable implementation of the action plans.

- *Formation of site committees and community cooperatives:*

  The SPMU will work closely with NGOs and CSOs to form site committees and community cooperatives. These associations will be critical to the implementation and sustainability of the ACRESAL Project activities.

- *Capacity Building programmes:*

  To ensure the community has access to quality services, the GBV consultant will provide training and technical support to selected service providers and identified reporting channels on how to receive incidents through a survivor-centered framework. Multi-stakeholder dialogues to engage local leaders, community-based organizations and GBV advocates on local-level GBV risks, underlying drivers and effective prevention and response mechanisms will take place throughout the duration of the project. This will be overseen by the SPMU with the assistance of the LIC and site committee. GBV training will be organized by the FPMU for the SPMU. The SPMU will step down the GBV training to male and female project beneficiaries on topics such as risks, consent, reporting and accessing care as a survivor. There should also be social marketing campaigns and community sensitizations to promote behaviours that mitigate GBV through radio, pamphlets, posters and community focal points. Social marketing campaigns will be

coordinated by the Communication Officer with the assistance of the GBV Officer of the SPMU and focal NGOs. The SPMU will organize a workshop to create awareness on the importance of maintaining a peaceful co-existence and gender equality for a sustainable project implementation. This activity will need support of State Ministry of Women affairs, the LPIC, Site Committee and Community groups.

3. Farm / Community Waste Management

- *Engagement of consultant to develop community-based waste management plans:*

  SPMUs will engage the consultants to carry out a waste management baseline study and proffer the recommendations for community specific and community-based waste management solutions.

- *Formation of Waste Management CiGs.*

  Waste management CIGs will be formed and sustainable waste management structure designed by the community with coordination from the Livelihood and Climate Change Officers of the SPMU.

1.2 Sub-component B2: Community Investments

Finance physical community level investments prioritized through the micro-watershed planning processes. These may include the following:

ACTIVITY 1: Community-led Landscape Restoration
Hybrid Agroforestry systems on community land
Non-timber Forestry Products (e.g. fodder, nuts, beekeeping, etc.)
Improved pasture and rangeland management
Land restoration
Community infrastructure investments

ACTIVITY 2: Climate-smart Rainfed Agriculture
at household level for crop production
Water and soil conservation
Optimized farm management
Invasive species control
Value Chains
CRF loans to registered groups and also enterprises composed and/or led by women (Sub-component B1)

ACTIVITY 3: Farmer-led Irrigation Development (FILD)
to support farmers at household level to increase irrigation, including small-scale solar powered irrigation

This sub-component aims to finance physical investments as prioritized through the micro-watershed planning process.

Although the menu of potential investments will vary from community to community, the implementation arrangement for three clusters:

1. ***Landscape restoration in community-selected degraded areas*:** using an approach pioneered by FAO in both northern Nigeria and other dryland areas in western Africa, using the Delfino plough which mimics the traditional half-moon water harvesting technique. It is composed of hybrid agroforestry models on communal lands which include plant species chosen by the communities, which produce non-timber forestry products, such as: fodder, acacia (gum Arabic), balanites, beekeeping, nuts, mushrooms, and mixed planting with grains such as millet and sorghum. Improved pasture and rangeland management and restoration could also be included. Prioritized community infrastructure investments can also be supported.

2. ***Climate-smart rainfed agriculture:*** support to farmers at the household level to optimize climate-smart rainfed agriculture practices, particularly relating to crops. Investments could include water and soil conservation, optimizing farm management (improved crop varieties, Integrated Pest Management; soil and water testing technologies), controlling invasive species, and supporting value chains.

3. ***Farmer-led irrigation development*****:** North and central Nigeria are rich in shallow groundwater resources, with about 7 million ha of cropland with groundwater resources within a depth of 25 m. The project will support farmers at the household level to increase irrigation, including small-scale solar-powered irrigation.

Furthermore, as noted in the Country Context in PART I, there are marked gender inequalities with regard to agricultural production and access to natural resources. These gaps will be targeted through preferential gender-focused investments for this sub- component. The intermediate project indicator “Farmers reached with agricultural assets or services” is disaggregated by gender to measure the project impacts.

Sub-component B2. ACTIVITY 1: Community-led Landscape Restoration

In community-selected degraded areas, the project will scale-up a restoration approach pioneered by FAO in over 60,000 ha in both northern Nigeria and other dryland areas in western Africa. The FAO approach uses the Delfino plough for scaling-up soil preparation and supports community empowerment through community-led planning process and allows communities to evaluate and decide on available restoration options and sustained management of restored landscapes.

While community-led landscape restoration has been used by the Great Green Wall Agency to restore about 5,000 ha in Nigeria, the use of Delfino plough is very new to the country. The FAO approach has been demonstrated to combine longer term environmental benefits in terms of biodiversity, carbon sequestration, increased water infiltration, with shorter-term financial benefits that maintain community interests over time. Improved pasture and rangeland management is also necessary for the long-term survival of the restoration. Thus, the FAO experience and expertise in the Sahel, including Nigeria, is essential to the successful implementation of the landscape restoration sub-component of the ACReSAL Project.

The target is to invest in the adoption of the FAO approach for the restoration of 350,000 ha of degraded land in the Project area. In view of the uniqueness of the expertise of FAO in land-scape restoration technology/methodology, the Government and the World Bank team agreed that FAO is uniquely positioned to provide substantive technical assistance for the support to the implementation and evaluation of this activity. In this regard, direct contracting of FAO, including the procurement of Delfino ploughs, may be considered with the FPMU managing the contract, while field activities applying the technology will be managed by individual states with detailed TORs

Figure 15. Demonstration of the Delfino plough technique for landscape restoration

A detailed background paper on these project investments is available in Annex XIV.

Implementation Activities for Sub-component B2: Community-led Landscape Restoration

In community-selected degraded areas, the project will scale-up a restoration approach pioneered by FAO. The investment activities for community-led landscape restoration for the ACRESAL Project are:

- Provision of Delfino ploughs, tractors and other equipment
- Access to agricultural inputs, sowing, planting, maintenances
- Value chain investments (examples: hay, acacia, balanite)
  - → Storage facilities
  - → Support for processing enterprises
- Establishing community nurseries for selected agroforestry species
- Extension services to support community led landscape restoration activities
- Procurement of motorbikes, vehicles and provision of technical assistance (support field activities)

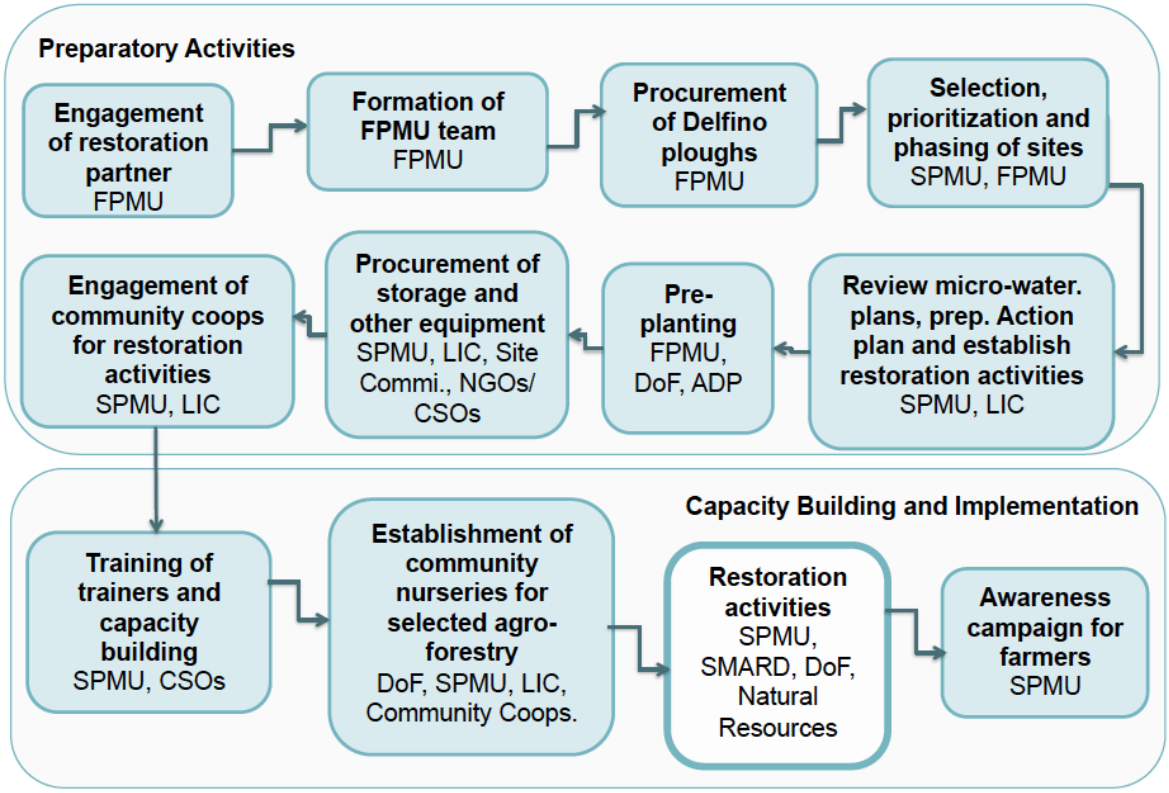


Figure 15. Summary of community-based landscape restoration activity flow

1. Preparatory activities

- *Engagement of a Development Partners[26] with expertise in landscape restoration:*

The Government of Nigeria through the FPMU, would procure the services of a Development Partner with expertise in the FAO landscape restoration approach to provide the technical and methodological systems to implement related activities within ACReSAL. Where feasible, the engaged Development Partner would be supported to procure seeds through its network of institutional and community seeds suppliers for the dozens of native species required, in Nigeria and other Sahelian countries. It would also provide training to local staff in the handling, effective use, maintenance and reparation of the Delfino ploughs.

The Development Partner would be retained during the life of the project to provide the management of this activity, as no other institution might have the skills or national and international experience, including the capacity to procure seeds. This would be achieved through the engagement of FAO working in conjunction with the FPMU and SPMUs. The detailed TORs which define the responsibilities of the Development Partner, which are limited to technical assistance for implementation, monitoring, and evaluation, without covering the whole activity is included in Annex XIV.

- *Formation of FPMU team:*

This activity involves the formation of a FPMU team to support the procured Development Partner for the Technical Assistance for the adoption of FAO approach, methodology and technology

- *Procurement of Delfino Ploughs:*

The procurement of Delfino ploughs, preferably through direct contracting since there is only one supplier of that special equipment. This will be handled by the FPMU;

- *Selection, prioritization and phasing of sites:*

The SPMUs will work together with the FPMU to select sites within the MWPs. Sites will be selected in communities willing to contribute with land, labour and maintenance. Phasing will be done to state hectares of land to be scaled up per year.

- *Review Micro-watershed plans; preparation of action plan and establishment of restoration activities:*

Consultations with communities by the SPMUs with support from the LICs. The strategies captured in the micro-watershed plan will be shared with community members for evaluation and decision on options to implement.

[26] With the Government and World Bank agreement that FAO is uniquely positioned to support these activities, the Development Partner is likely to be FAO, but the process does not preclude other experts from pertaking.

- *Pre-planting operations:*

This activity involves seed collections and propagation and site preparation by the FPMU with the technical support from the DoF and ADP.

- *Procurement of storage and other equipment:*

The SPMU will initiate the procurement process for equipment required for this set of activities. The LIC, site committees and NGOs/CSOs will support in developing a mechanism for distribution of the equipment.

- *Engagement of community cooperatives for restoration activities:*

These activities will be done by the LIC and overseen by the SPMU. There should be no payment for labour.

2. Capacity building and implementation

- *Training of trainers and capacity building:*

This involves Training of selected groups of people on the technical know-how of the agricultural equipment for effective use and maintenance, after which a step-down training will be delivered to users. Representatives from the various community groups will be trained by extension workers, CSOs who shall be engaged by the SPMU. This involves Training of selected groups of people on the technical know-how of the agricultural equipment for effective use and maintenance, after which a step-down training will be delivered to users. Representatives from the various community groups will be trained by extension workers, CSOs who shall be engaged by the SPMU. This activity will also consider establishing platforms to *access finance for agricultural Inputs/extension services for community led landscape activities and value chain investments* (hay, acacia, balanite).

- *Establishment of community nurseries for selected agro-forestry:*

This activity will be implemented by careful selection of plant species suited for agroforestry growth, followed by establishments of nurseries at selected sites in the community. The Department of Forestry will be fully engaged for the seed selection process with services of Community cooperatives who shall be engaged by the LIC supervised by the SPMU.

- *Restoration (sowing, planting, maintenance):*

This activity will involve planting of seedlings and fast growing trees at selected sites with technical assistance from SMARD and Department of Forestry and Natural Resource. Temporary Source of water for irrigation should be provided for proper maintenance and growth of plants.

- *Awareness campaigns for farmers:*

This is implemented by delivering a step-down training to the farmers, giving exposure to the various agricultural inputs and their uses. This will give room for sustainability. The awareness campaign will be spearheaded by the SPMU, with representatives of the different community groups initially trained, as facilitators.

Sub-component B2. ACTIVITY 2: Climate-smart rainfed crops

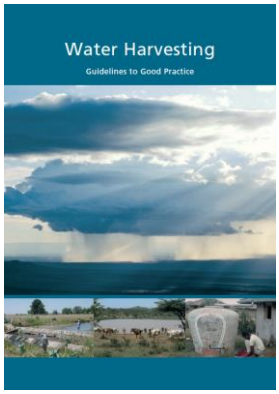
Climate change risks include rainfall variability, droughts, floods and increase of average temperature, making rainfed agriculture more vulnerable. There is significant opportunity to unlock the potential of enhanced rainfed agriculture, thus building climate resilience and moving farmers beyond subsistence farming towards sustainable community level investments specific climate smart rainfed agriculture for farmer/producer groups.

Crops cover much of the landscape in the project area (57%) and provide the main source of food and livelihoods. Yet, crop productivity has been declining due to a series of factors, including underinvestment, overexploitation, a changing climate, and security threats. Agricultural area expansion and imports are the primary means to meeting increasing food demand; yet agricultural expansion is a driver of desertification, which in turns reduces agricultural productivity, generating a vicious circle of overexploitation. To break this cycle, the project will invest in water and soil conservation, optimizing farm management (improved crop varieties, Integrated Pest Management; soil and water testing technologies), value chain development, and small equipment to increase labor efficiency.

Efficient water management is essential for increasing the potential of rainfed agriculture and adapting to climate change in semi-arid landscapes. The project will support investments in **water harvesting technologies and improved crop varieties** to optimize farm efficiency and build resilience against climate-induced droughts in beneficiary communities.

Water harvesting

The World Overview of Conservation Approaches and Technologies (WOCAT) has promoted successful water harvesting approaches and technologies for improved water management for rainfed farming systems in drylands. The project will adapt WOCAT guidelines to implement micro-watershed water harvesting technologies such as planting pits, cross slope barriers, eyebrow terraces, and water harvesting basins. Other useful resources on water harvesting techniques include the Water Harvesting: Guidelines to Good Practice[27]



[27] Mekdaschi Studer, R. and Liniger, H. 2013. Water Harvesting: Guidelines to Good Practice. Centre for Development and Environment (CDE), Bern; Rainwater Harvesting Implementation Network (RAIN), Amsterdam; MetaMeta, Wageningen; The International Fund for Agricultural Development (IFAD), Rome.

BOX V. The WOCAT Water Harvesting Explorer

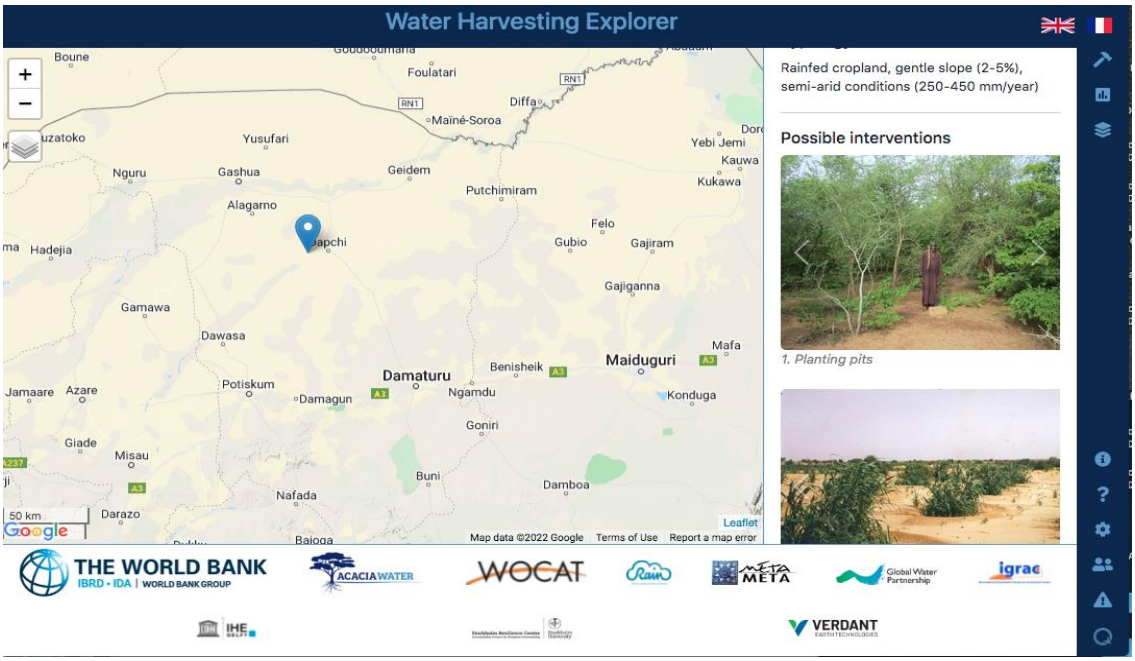
https://sahel.acaciadata.com

This website assists you to explore the opportunities for rainwater harvesting and water storage in the landscapes of the Western Sahel. The site provides basic information to get you started with water management planning and has been developed using publicly available data. Note that on-site visits will be needed to better assess local conditions and to make final decisions on the most efficient water harvesting interventions to be adopted. Depending on the type of interventions, expert advice may be needed for proper implementation in the field to ensure the best outcome.

Navigating in the Water Harvesting Explorer is simple:

- Start by selecting the hammer icon (top right-side bar) and click on the map at your location of interest. The tool will show the water management opportunities for the selected location and provides any notifications that will support good planning and implementation.
- Next, complete the survey for your location of interest. The survey will guide you in choosing the most sustainable methodologies for water harvesting and land management.
- The layer tab and base maps help you navigate to your location of interest. These maps also display variations in the biophysical parameters in the Sahel.

The site is still under development, with new features to be added in the future. The current focus is on potential water harvesting interventions in the landscape and on hillslopes, which include using micro-basins, stone bunds or agroforestry to promote water harvesting and soil conservation. Strategies and designs for drainage systems, which include the construction of sand dams and other measures that could be deployed in-stream, are not yet available in this version. A Qfield project for accessing the information offline in the field will also be available for download; the key in the lower right corner of the screen is not functional yet.



Drought resistant crops

Several new drought resistant crop varieties have been developed that are suitable for the socio-environmental conditions of the project area, yet adoption is still limited. Adoption of such improved varieties, including through partnerships with local private sector suppliers, would increase crop productivity and resilience, thus reducing the pressure for agricultural expansion. The project is expected to support investments in 100,000 ha.

Harvest Plus and ICRISAT developed several crop varieties which are drought resistant and biofortified (such as Iron Cowpea, Iron Pearl Millet, Vit A Maize and Sorghum). The adoption of such new varieties would allow increasing climate resilience while at the same time improving nutrition by addressing key micronutrient deficiencies. Both organizations have field presence in Nigeria and are expected to collaborate with the project to supply such improved varieties together with technical assistance along the value chain to help agro-dealers to become agents of innovation.

Detailed proposals from Harvest Plus and ICRISAT are available in Annex XV.

Community Revolving Fund (CRF)

Matching grants which were adopted by FADAMA and other similar projects are not considered suitable for the proposed project due to their limited sustainability and scaling-up challenges. Community revolving funds (CRFs) present higher potential for sustainability and scaling-up. CRFs been supported in World Bank-supported projects at scale, especially in East Africa, to support investments by community-based groups, including farmer groups in micro-watersheds. The CRF would be a community level fund to support ACReSAL-supported and registered community/farmer groups to undertake investments for climate-smart rainfed crops interventions. The target communities would receive a CRF of USD25,000. The registered community/farmer groups will prepare investment/business plans and apply for loans from the CRF. The investment/business plans will be appraised and approved by the local government. The CRF would support ACReSAL registered community/farmer groups in approximately 2 800 communities in target watersheds. To ensure that the CRF is impactful and meets the needs of women, implementation components of the CRF may be piloted under an impact evaluation before potential scale-up within the project.

A background paper on the use of CRFs in ACReSAL is available Annex XVI for more details.

What is Community Revolving Fund (CRF)?

The CRF is a village level fund to support community/farmer groups to undertake investments specific to the climate-smart rainfed crops intervention. The community/farmer groups will prepare investment/business plans and apply for loans from the CRF. Each target village could be eligible for a CRF of USD25,000. This will allow easy and sustainable financing to ACRESAL supported and registered community/farmer group at the community level. The CRF is not a grant but rather an investment fund for the village that can revolve and grow over time.

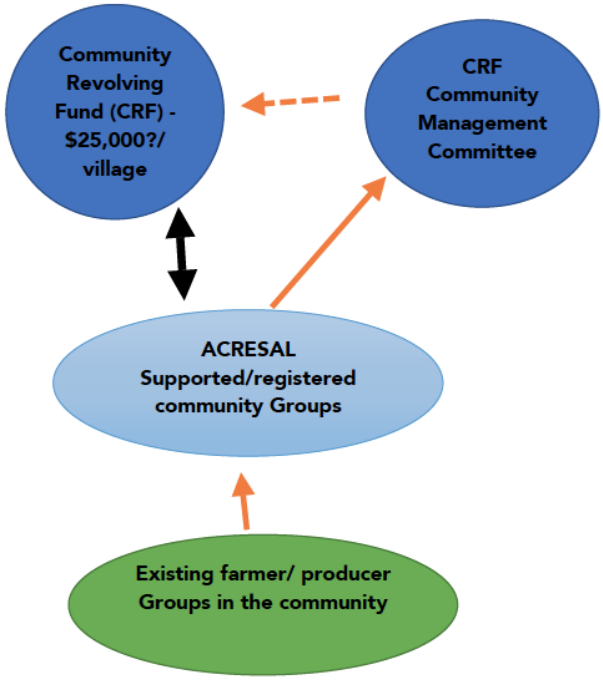


Figure 16. Community Revolving Fund at the Community level

Use of Community Revolving Fund in ACRESAL

The community revolving fund approach would be used especially for supporting farmer/community groups to undertake investments related to the climate-smart rainfed crops.

a) CRF Coverage in ACRESAL (see assumptions[28])

- CRF can cover 2800 communities
- CRF amount would be USD25,000 per community.
- At the community level, CRF will initially support ACRESAL registered 4-5 groups and then gradually expand support to 10-15 ACRESAL supported and registered community groups by the end of the project.

[28] Assumptions: The following assumptions are based on the inputs provided by the FADAMA Government team based on their experience on implementing community investments in Nigeria.

- Existing community groups that community revolving fund can support at the community level: 10-15 groups (by the end of the project)
- Average population of a community: 1,000 people (150-200 families)
- So, the average number of communities in a micro-watershed of 20,000 people is 20.
- Average funding need per community group: USD5000
- Average land per community: 400 ha of arable land (2 ha per family). 170 of rangeland (0.8 ha per family).

- The project will consider randomizing the introduction of CRFs among eligible communities or randomizing the phase in of the CRFs across CRF communities to facilitate an impact evaluation.

b) How will the CRF be managed at the community level?

- The CRF approach will leverage and build on the existing local government and community level implementation structures including those developed under the Bank supported FADAMA and CSDP projects, which cover all the States.
- The CRF will be managed by the CRF Management Committees consisting of 2 members democratically selected from the management of each ACRESAL supported Group. CRFMC executive, i.e., Chair, Sec & Treasurer.
- Each CRFMC shall develop a byelaw to regulate its activities with the ACRESAL community groups, and all ACRESAL community group representatives shall sign this to the CRFMC
- The CRFMCs shall sign an MoU with each ACRESAL community group stipulating roles & responsibilities as well as obligations that do not contradict the by-law
- The CRFMC Executive shall also sign a Financing agreement with the local government represented by the administrative head of the respective local government.
- The CRFMC executive will open a CRF account.
- The project may also pilot different approaches to forming the CRFMC and managing the CRF, including CRFMC gender quotas or CRFMC leadership positions being set aside for women, such as the CRFMC Executive position. Pilots of CRF management components may include digitally-managed CRFs, training to promote gender equitable access to lending, and the introduction of graduation loans to individuals/groups that have demonstrated high repayment rates.

Responsibilities of the CRFMC

- Election of CRFMC management (Chairperson, Vice chairperson, Secretary/Book keeper and assistant, Treasurer and other officials) of whom at least 50% should be females.
- Prepare proposal for the CRF with support of the community Business Agents
- Sign financing agreements with the LGs to access CRF
- Open CRF accounts
- Establish and manage CRF in accordance with the project guidelines.
- Review and approve the investment plans and loan request from the groups with the support from the LGAs/TA partners.
- Sign the financing agreement and disburse loans to the groups whose investment plans have been approved.
- Act as the link between groups/beneficiaries and LGAs/project implementation support team.
- Monitor the loans provided to the groups to ensure that they are being used for the desired purpose in accordance with their investment plans.
- Manage recovery of loans from the groups and payment of agreed interest rates/ service changes.
- Keep records of funds and support groups to maintain records.
- Prepare financial and progress reports and share with LGAs and all the groups on a monthly basis.
- Convene quarterly general meetings with all groups in the community.
- Conduct fortnightly VLIC meetings (every 2 weeks)
- Register all beneficiary groups and their members at village level.
- Link and support beneficiary groups in opening their group accounts in LGA approved banks or any other reliable and properly regulated financial institutions with support from project implementation team.

c) *Utilization of the CRF for investment specific to climate-smart rainfed crops?*

- Once the CRF account is opened and all ACRESAL community groups have accounts in the same bank, the local government can transfer money to the CRF account.
- CRFMC executives shall fill & Sign the CRF acknowledgment form and attach a bank statement, keep a copy in their file, another at the local government for clearance by audit and the CRF will be considered fully accounted for.
- CRFMCs shall start to prepare to receive community investment loan applications
- All ACRESAL community groups shall review their investment plans to ensure the businesses selected to meet the following criteria:
    - Are quick maturing and can generate profit/income to repay the loan
    - Are viable (return on investment/profitability analysis)
    - Can be implemented by the group members
    - The ability of the investment plan to be properly financed with available resources if not the ACRESAL community groups must demonstrate the capability to access additional required funds

- The project may pilot digital management of the CRFs including the financial accounts and gender-blind investment plans.

d) Access to the CRF by ACRESAL Community Groups

- ACRESAL community groups would access the first round of CRF loans by undertaking the following steps:

  → Submit investment plan and Loan application to CRFMC after approved and signed by all community group members.

  → CRFMCs will review all group investment plans and loan applications with the local government and community level implementation support team: they can either:

    a) Approve Loan application – when all requirements are met

    b) Defer Loan application- for correction/improvement

    c) Reject Loan application- Where the investment chosen does not make sense, is non-constructive or non-productive.

In instances where the committee recommends actions b & c, the ACReSAL registered community group would be guided to review the investment plan and re-submit the loan application

e) Determination of interest rates

a) Interest rates for borrowing from the CRF shall be determined through consultative meetings with famer/producer group members.

b) The rates should be fair, affordable, non-prohibitive and beneficial to both the CRF and farmer/producer groups but also not too low for the money to grow.

c) This should be determined for the entire duration of the loan rather than monthly

d) Loan durations should be determined according to duration of maturity of investment.

e) Loan interest should not be more than 5%.

Implementation Activities Sub-component B2: Climate-smart Rainfed Crops

The project will engage a technical assistance provider and community business agents to support the implementation of activities under climate smart rainfed crops:

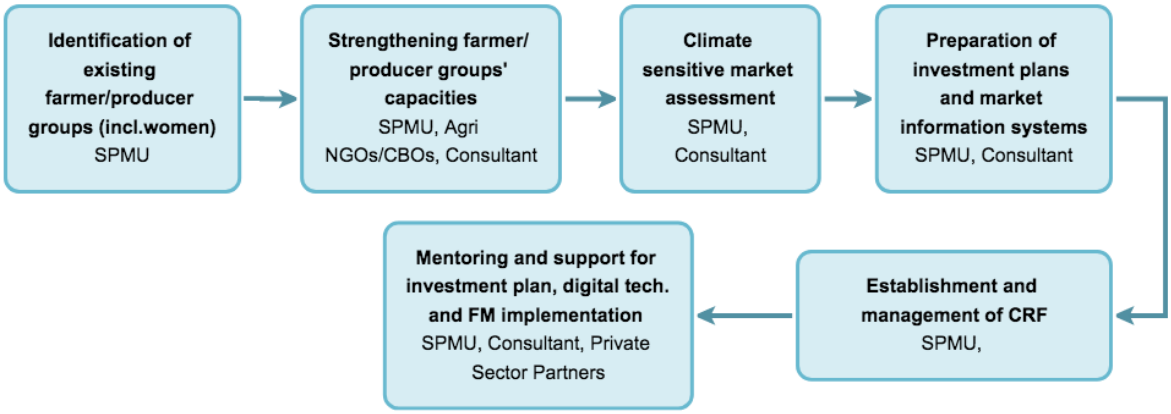


Figure 16. Summary of Climate-smart Rainfed Crops activity flow

1. Identification of existing farmer/community groups to support

Building on the community mobilization, engagement and the mapping of existing community/farmer groups/producer groups carried out under component B1, this sub-component will support existing farmer/groups that are operational and need financing and technical support to implement investments specific to climate smart rainfed agriculture. The project may pilot minimum quotas for the number of women's groups in a community to ensure equitable access to the CRFs.

2. Strengthening group norms and capacities of farmer/community groups

Having identified the various groups, targeted activities will be conducted to strengthen group norms. Working on group norms will entail training participating in a set of five core group principles - regular meetings, regular savings, inter-loaning, timely repayment, and recordkeeping. While following the core principles, the groups will also receive training focusing on key life skills, including business management, financial literacy, bookkeeping, group management, leadership, decision-making, communication, and negotiation. Furthermore, dialogue sessions will be conducted to identify additional challenges facing existing women farmer/producer groups—such as subsistence-focused mindset, restrictive local gender norms, intra-household pressures, or lack of adequate extension services—and additional training sessions or interventions will be piloted to address these constraints.

3. Climate sensitive market assessment and preparation of investment plan by groups

In parallel of the above activities, with group norm work and training of groups, a climate sensitive market assessment will be carried out in the implementing counties to inform a menu of viable farm and non-farm investment options taking into consideration climate risks in the target areas, climate smart rainfed agriculture investment approaches that have been Implemented, and potential opportunities to strengthen farmer/producer groups including women farmers resilience to future climate shocks. The market assessment will also assess water and soil conservation approaches - Crop rotation (particularly with leguminous plants such as cowpeas and groundnuts, soil cover, green manure); and Harvest Plus Drought Resistant biofortified Varieties (Sorghum, Maize, Millet, Cowpea). The development of the menu of activities under this component will include consultations with the farmer/producer groups including with women led of dominant groups.

Once the menus for investments specific to climate smart rainfed crops are consulted and agreed upon with the farmer/producer groups, technical support will be provided for each group to select their business activities and develop a plan for implementation. The preparation of business plans will involve a social, environmental, and climate risk review process.

This market assessment will help in identifying and developing market opportunities through mapping and assessment of potential off-takers and developing a market information system for major climate smart rainfed crops being produced in the communities. This will also help in performing value chain analyses to identify and assess major constraints to be addressed (e.g. quality, affordability, availability of improved inputs, technologies and techniques, standards and grading, packaging, storage, transportation, pricing), and negotiating technical and commercial partnerships with off-takers and suppliers.

4. Setting up and management of CRF

The CRF will support community/farmer groups to undertake climate-smart rainfed crops related investment activities. The CRF would support ACRESAL registered community/farmer groups in approximately 2800 communities in target watersheds.

5. Mentoring and support for investment plan implementation

Support will also be provided to each group to support the implementation of their plans and scale up activities. Such support may include creating linkages with producers or commodity processors and relevant wholesalers and retailers. The business development and mentoring support for the various groups will also focus on promoting digital technologies and innovations to improve community level business activities, access to finance, and drive local entrepreneurship. The mentoring and support will involve providing support in planning production activities, managing logistics and organizing delivery to up-takers. It will also involve setting up and ensuring quality

accounting financial management systems for the farmer groups. The project will also establish partnerships with the private sector to support farmer/producer groups to implement the investment plans as needed. Additionally, mapping of similar programs of other donors will be completed to provide potential opportunities and networks for farmer/producer groups.

Technical assistance and implementation support to the sub-component

The community investments specific to climate smart agriculture /CRF will support engagement of technical assistance partner, community business agents, and a public -private partnership arrangements for collaboration to support community level investment activities. The sub-component will be managed by the national level PMU in conjunction with the LGAs with support from technical assistance partners and community business agents.

The technical assistance/capacity-building partners (TAP) will provide rigorous training and support to CBAs throughout project implementation to provide investment development support to beneficiaries on a sustainable basis. The TAP will support market assessment, investment menu preparation, capacity building, planning, investment plan development, establishing a CRF mechanism, and providing implementation and technical support. The TAP will establish partnerships with commercial banks to provide additional financing to successful groups to expand investment activities. It will also enable collaboration with private sector to develop input and output market linkages and promote value addition and value chain development support.

Community business agents (CBAs), whose capacity will be initially built by the project, will support the social mobilization and participatory processes to identify farmer/producer groups, provide support in the investment selection process, work with the TAP to support the investment plan preparation process, collect data on each of the groups and their investment activity, prepare monthly performance reports, and provide handholding and follow up support to community-level investment activities.

Phased Implementation

This sub-component will be implemented in a phased manner. In phase 1 (first 2 years), this will be piloted in the select micro-watersheds. In phase 2 (the next three-four years), this sub-component will be scaled up in the remaining target micro-watersheds. In the first 6-9 months after project effectiveness, the sub-component will identify pilot micro-watersheds, recruit sub-component specialist in the national PIU to coordinate this activity, engage technical assistance partners an community business agent, organize orientation workshops for local government officials and stakeholders, prepare a phase 1 implementation plan, and conduct a baseline study.

Community-level implementation arrangements experiences

The World Bank and the Government of Nigeria have extensive experience in implementing community-based projects in Nigeria. The below table provides an overview of the two large-scale community-based projects – Community and Social Development Project (CSDP) and National Fadama Development Project (NFDP). These programs focused on the empowerment of communities to develop, implement and monitor micro-social infrastructure projects (public and common pool goods), including natural resource management interventions; and strengthening the skills and capacity of Local Government Agencies (LGAs) and sectoral public agencies to support communities as well as build a partnership between them. FADAMA focused on the provision of productive goods, whereas CSDP concentrated on providing social and natural resource management services, especially in rural areas. The below table provides an overview of these two programs:

Government Interventions	Coverage	Scope	Source of Financing	Year Established
Community and Social Development Project (CSDP)	31 states and FCT Over 9 million individuals, including 45 percent female beneficiaries	• Community infrastructure microprojects for essential services	World Bank	2009
National Fadama Development Project (NFDP)	36 states and FCT 1.2 million direct/7.1 million indirect beneficiaries	• Agricultural infrastructures such as irrigation, roads, soil conservation, and warehouses • Provision of services, inputs, assets, and grants to farmers	World Bank	1990

The CSDP and Fadama have developed community-level implementation structures that ACRESAL can potentially leverage and build on:

a) ***Community and Social Development Agencies.*** CSDAs established by law in 31 States of the Federation and FCT, and the Community-Driven Development Social Project Implementation Units in Delta and Rivers states, are strong and effective platforms to provide pro-poor service in poor communities across Nigeria 2008 when the first World Bank assistance on CSDP became effective. These community structures exist in 5,800 poor communities. The project has supported over 15,000 micro-projects. The project also helped capacity building of over 2,400 officials of LGA and state government sectoral ministries. The CSDAs rely on experienced and highly professional staff in many of the

states. The existing manuals and guidelines of the CSDAs could be strengthened in line with the design of the ACRESAL Component B.

b) FADAMA. The Fadama implementation units at the state and federal levels have successfully implemented a series of World Bank-financed agricultural projects for nearly three decades. This started with the NFDP (P063622) in 1992 to develop small-scale irrigation in 160,000 ha of land and expand over time to cover all 36 states and FCT. The implementation modalities evolved to improve project performance and effectively meet the needs of target communities. For example, while the first project was largely supply-driven to develop small-scale irrigation, the follow-on second (P073686) and third NFDP (P096572) and the AF projects (P130788 and P158535) adopted the CDD approach to achieve various objectives, including increasing incomes of users of land and water resources, developing agricultural value chains and restoring livelihoods of conflict-affected households. The transition to CDD approach enabled better targeting of the poor and most vulnerable farmers using methods that are well understood by the poor. Institutionally, the state and federal implementation units have over time strengthened their capacity for fiduciary oversight, M&E systems, safeguards management, grievance handling mechanisms, and so on.

Potential Community level Implementation and engagement options for ACReSAL

a) Community structures: At the community level, CSDP and FADAMA have established community structures across all the States, which ACRESAL Component B can leverage and build on to support the community investments:

- Sub-communities: for implementation of sub-projects, monitoring, and reporting, operation and maintenance of community assets/investments.

- Community Project Management Committees (CPMCs): identification, preparation, and articulation of community development plans (CDPs), project implementation, monitoring, and reporting.

Community engagement experiences:

a) These projects provided funding to thousands of communities for community development plans developed through intensive community participation in planning, micro-project identification, and prioritization. This involved:
    a. Information campaigns on community development plans and funding procedures

b. Support for community identification of needs and priorities and development of community development plans
c. Collaboration with LGAs, appraising, approving, and financing CDPs developed and implemented by community-based groups
d. Monitor and evaluate the implementation of the CDPs and achievement of set objectives.

b) Through the promotion of participatory decision-making at the local level (the participatory community planning process), the CSDP and FADAMA have empowered communities to allocate scarce resources across sectors and the building capacity and ability of the communities to control valuable resources, thereby ensuring that such resources are applied most efficiently in response to local priorities.

Community engagement options for ACReSAL:

The CSDP and FADAMA have extensive community engagement experience that ACRESAL can learn from and apply in the implementation of Component B for community strengthening and investments. ACRESAL can use the community-led community development planning process developed in CSDP and FADAMA to ensure strong community engagement on the principles of transparency, participation, accountability, and enhanced local capacity.

IMPLEMENTATION TOOLS:
CRF Investment Plan Application Guidelines for farmer/producer groups

1.	**Letter of submission of CRF application by farmer/producer groups**
2.	**CRF Investment Plan Loan Application**
3.	**CRF Investment Plan Loan Application Appraisal Checklist**

1. Letter of submission of CRF Loan application by farmer/producer groups

Name of farmer/producer group:
……..
Name of Investment Activity:
……

To the CRFMC
…… Village/Community
……Ward
……LG
……State

Please find details of CRF application as under.

1. Title:…… …….

2.Objective(s):……..……
……..
.....
.....

3. Total budget: ……
(In words:……)

4. Investment plan implementation period……

6. Loan Repayment Period……

6. Attached/enclosed key documents:

Item/Document	**Tick as appropriate**	
	Yes	**No**
a. Investment Plan Application form		
b. Budget		
c. Implementation/action Plan		

	d. Group contribution (amount of money)		
	e. Minutes of the meeting in which the business plan application was approved by farmer/producer group members.		
	f. Others: Specify……		

7. Submission details:

Particulars	Prepared by:	Submitted by:	Received by:
Name			
Designation			
Signature			
Date			

2. CRF Investment Plan Loan Application

Background Information

1.1 Name of the farmer/producer group:

_____

1.2 Location of the farmer/producer group

State: _____LG_____

Watershed: _____Village/community _____

1.3. Farmer/producer group Contact address:

_____

1.4. Date of submission:

_____

1.5. Group Basic Information:

a	Number of members	
b	Males	
c	Females	
d	Average age of members	

1.6. Detailed Investment Plan

Investment activity overview	Name of the Investment activity	
	What is the objective and expected outputs of the investment activity?	
	Is the proposed investment activity in	

	line with the ACRESAL objectives?	
Management and operations	What are the key activities in your investment?	
	How will you manage your investment activity, who will do what functions in your group?	
	What type of investment support is required and how do you plan get that support?	
Capacity	What type of skill sets, and prior experiences exist in your group that will help you in your investment activity?	
	What type of support (technical, etc.) your group may need (from project staff and others) to manage your investment activity effectively, please specify?	
Market demand	What is the market demand/availability for your investment activity?	
	Describe the primary target market for your investment?	
	What is your plan for market linkages?	
Financial management	What are the start-up costs (inputs/costs) for starting the investment activity?	
	What are the operating costs involved in your investment activity?	
	What is the total cost required to start and manage the investment activity?	
	What is the lifecycle or maturity period of your investment activity (time by which you will start to get returns)?	
	What is the cost-benefit/profitability analysis for your investment activity?	
	How much loan is requested/required for your investment plan?	
	How much is the your groups contribution towards the investment	

	plan?	
Loan Repayment	What is your repayment period? (in months)	
	How will you repay the loan amount (number, amount and timeline of repayment instalments)?	
Gender	How was the participation of group members especially women in the identification, design and preparation of the investment plan?	
	How have the needs of the women members considered in the investment plan?	
Sustainability	What is the plan for sustainability of the investmnt activity at the community level?	
Risks	What are the anticipated risks involved in your investment activity, and how you are planning to mitigate them?	
Environmental and social impact	What potential adverse social effects may occur due to the investment activity (if any)? In case of any social effects, occur, what mitigation measures are in place to overcome these effects?	
	What potential adverse environmental effects may occur due to the investment activity (if any)? In case of any environmental effects, occur, what mitigation measures are in place to overcome these effects?	
Expected results from the investment activity	Expected improvement in climate resilient livelihoods	
	Expected increase in incomes	
	Expected savings	
	Expected reinvestment/diversification plans	

Action/implementation Plan

List the major activities to be undertaken as part of the investment plan

Activities to be carried out	Who will carry out the activity?	When will the activity be carried out?	Implementation support required by the group	Remarks

Procurement related to investment activity

Who will do the procurement?	
What items will be procured?	
What procurement methods will be followed?	

Description of procurement process?	

Budget Template

Activity	Unit	Quantity	Unit Price	Total Cost	Remarks

3. CRF Investment Plan Loan Application Appraisal Checklist

1.1 Name of the farmer/producer group:

_____

1.2 Location of the Group:

State: _____LG _____

Micro-watershed: _____community/village _____

1.3. Group Contact address:

_____

1.4. Date of appraisal

_____

CRITERIA	**SCORE (Tick against the score)**		
(On a scale of 0-2, where: "0" means unsatisfactory and "2" very satisfactory)			
General aspect			
1. Is the proposed business activity in line with the ACRESAL climate smart agriculture investment objectives?	0	1	2
2. Has the group clearly spelled out the objective and expected outputs of their investment activity?	0	1	2
Management and operational aspect			
3. Has the group provided details on who will manage their investment activity, and roles and responsibilities of members?	0	1	2
4. Has the group provided a realistic implementation/action plan?	0	1	2
5. Has the group provided procurement plan for the investment activity?	0	1	2
6. Is the investment plan simple enough to complete in one year?	0	1	2
Capacity aspect			
7. Does group have required skills or prior experience to implement and manage the investment activity?	0	1	2
8. Has the group specified and planned for technical support they may need to implement their investment activity	0	1	2
Market aspect			
9. Has the group given due consideration to the market demand/availability for their business activity?	0	1	2

10. Has the group provided details about their market linkages?	0	1	2
Financial aspect			
11. Are the inputs/costs provided in the budget realistic and sufficient?	0	1	2
12. Has the group provided group contribution to the investment plan up-front?	0	1	2
13. Is the investment plan cost within the funding ceilings (not exceeding USD 1500 or 3 times the group savings whichever is smaller) in the first year?	0	1	2
14. Has group done cost-benefit/profitability analysis for their investment activity?	0	1	2
15. Has the group specified the loan repayment period?	0	1	2
16. Has the group clearly specified the number, amount and timeline of repayment instalments?	0	1	2
Gender aspect			
17. Was there a wider participation of group members especially women in the in the identification, design and preparation of the business plan, and have the needs of women considered in the business plan?	0	1	2
Sustainability aspect			
18. Is there a good plan for community level sustainability?	0	1	2
Risk aspect			
19. Has the group given due consideration to risks involved in implementing the investment activity?	0	1	2
Environmental and social aspects			
20. Has the group considered the potential adverse social and environmental effects that may occur due to the investment activity?	0	1	2
TOTAL SCORE (0 to 40)			

FINAL ASSESSMENT

Assessment	**Decision Guide**	**Tick as appropriate**
Recommended for funding	○ If the group inveent plan does not score “zero” in any of the criteria above ○ If the overall score is 32 + (above 80%)	
Deferred/Returned	○ If the overall score is less than 32 (80%) ○ If the investment requires changes in some areas	

If there are any improvements required in the investment plan, the assessment team may recommend to the group those changes and outline them here below:

APPRAISAL TEAM (LG Implementation Support Team)

NAME	DESIGNATION	SIGNATURE	DATE
1.			
2.			
3.			
4.			
5.			
6.			

Sub-component B2. ACTIVITY 3: Farmer-led Irrigation Development (FLID)

Irrigation farming by individuals or small groups using their own irrigation systems – most often small pumps and pipelines but also other technologies – is well-established in Nigeria. Farmers driving their own irrigation establishment and investment is called farmer-led irrigation development (FLID).

FLID initiatives are *demand-driven*, where farmers are provided with information and practical avenues to access the equipment that they need from private sector suppliers. Interventions include knowledge transfer about technology, affordable finance, and linkages to markets. Farmers are encouraged to take up opportunities based on commercial farming with strong private sector involvement (equipment suppliers, financing institutions and market offtakers).

Individual irrigation has been promoted in many Government programs, the most well-known being the three FADAMA programs that achieved significant successes. Promoting FLID is one focus of the ACReSAL project because there are substantial natural resources that can be accessed, particularly shallow groundwater, and there is real potential to make a good farming profit from irrigated agriculture especially when using renewable energy resources such as solar.

ACReSAL will support farmers to access affordable irrigation technologies such as solar powered pumps while ensuring sustainable use of the water resource.

Massive resource potential but with major limitations for irrigation uptake

Nigeria has extensive areas of rainfed cropland that could be profitably irrigated with shallow groundwater that is less than 25m deep. These areas biophysically suitable and financially viable for FLID are estimated to cover 5.4 million hectares nationally with approximately 2/3 of that area located in the north[29].

Petrol pumps are widely used but have high running costs, high CO_2 emissions and contribute to soil and water pollution. There is high potential for solar energy especially in the northern half of Nigeria. Solar pumps are more costly to purchase but have comparatively lower irrigation costs over a 10-year period.

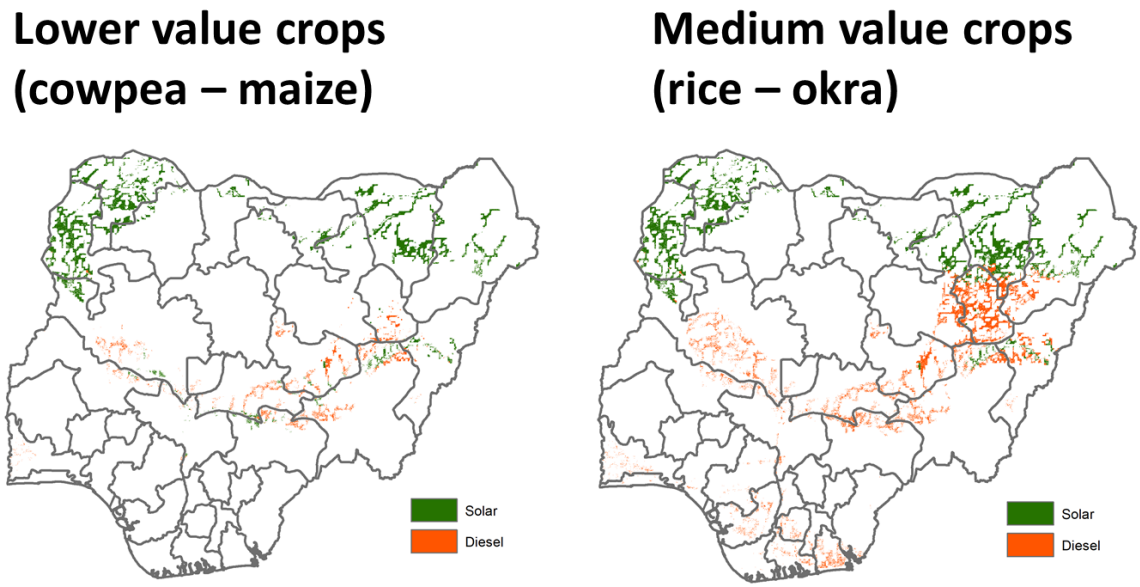


Figure 17. Locations for profitable irrigation with diesel and solar irrigation

While there is significant water, land and solar-energy resource potential, and demonstrated profitability of irrigation farming (solar, diesel and petrol powered), there are **some critical limitations** including:

- **access to affordable financing**,
- **technical and agronomic knowledge**, and
- **accessing markets**.

[29] IFPRI, 2021

State involvement with FLID – selection and readiness

Sub-component 3C-2 (FLID) will **depend on State interest** to achieve Stage 1 readiness for state access to financing. Funds will be made available for Stage 2 and Stage 3 subject to the limits and conditions shown in PIM Section 11 of PART I and with additional FLID criteria in Table 3:

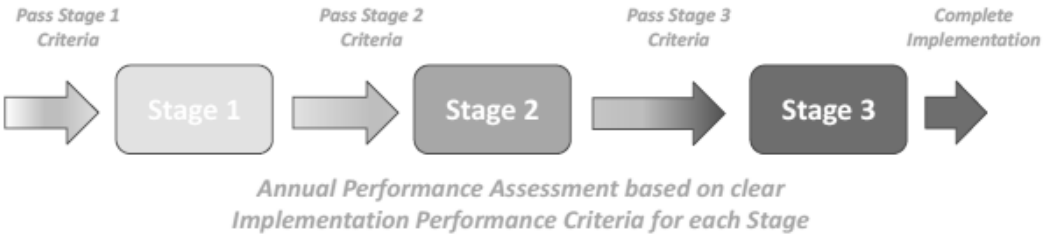


Figure 18. Stages of Progress for State Access to Financing.

Table 3. Readiness Criteria for States to enter each Stage for the FLID sub-component

1 - FLID Selection	2 - Initial FLID Investment	3 - FLID Expansion
· Identification of at **least 2 priority micro-watersheds** for planning and scoping of potential investments in Component B. · **Initiated water resources studies** to assess the potential for FLID at sufficient resolution to be able to target high-potential localities for FLID interventions. · **Written commitment** from the State to assign **a dedicated technical FLID officer** to the SPMU to drive FLID in the State (see Annex XVII-A: TOR for the FLID Technical Officer).	· **Completed water resources studies** to assess the potential for FLID at sufficient resolution to be able to target high-potential localities for FLID interventions. · **Assigned a full-time dedicated FLID technical officer** to the SPMU. · **Contracted** the State Communications and Multi-stakeholder Dialogue TA ***(FLID TA No.1).*** · Have **formally appointed a representative** to serve on the Screening and Evaluation Panel for the RBF Facility. · **Initial Investment packages approved** up to Stage 2 limits (defined in PART I of this PIM).	· **Approved** micro-watershed plans. · Initial investment packages approved up to Stage 3 limits AND with **special provision for larger investments** (defined in PART I of this PIM) as necessary for FLID expansion at scale.

Approach to promoting FLID

To overcome these critical constraints, the ACRESAL FLID approach aims to achieve the three main outcomes shown in Figure 3. This will be achieved through **technology, financing, markets and knowledge activities** which are described in detail in the rest of the section:

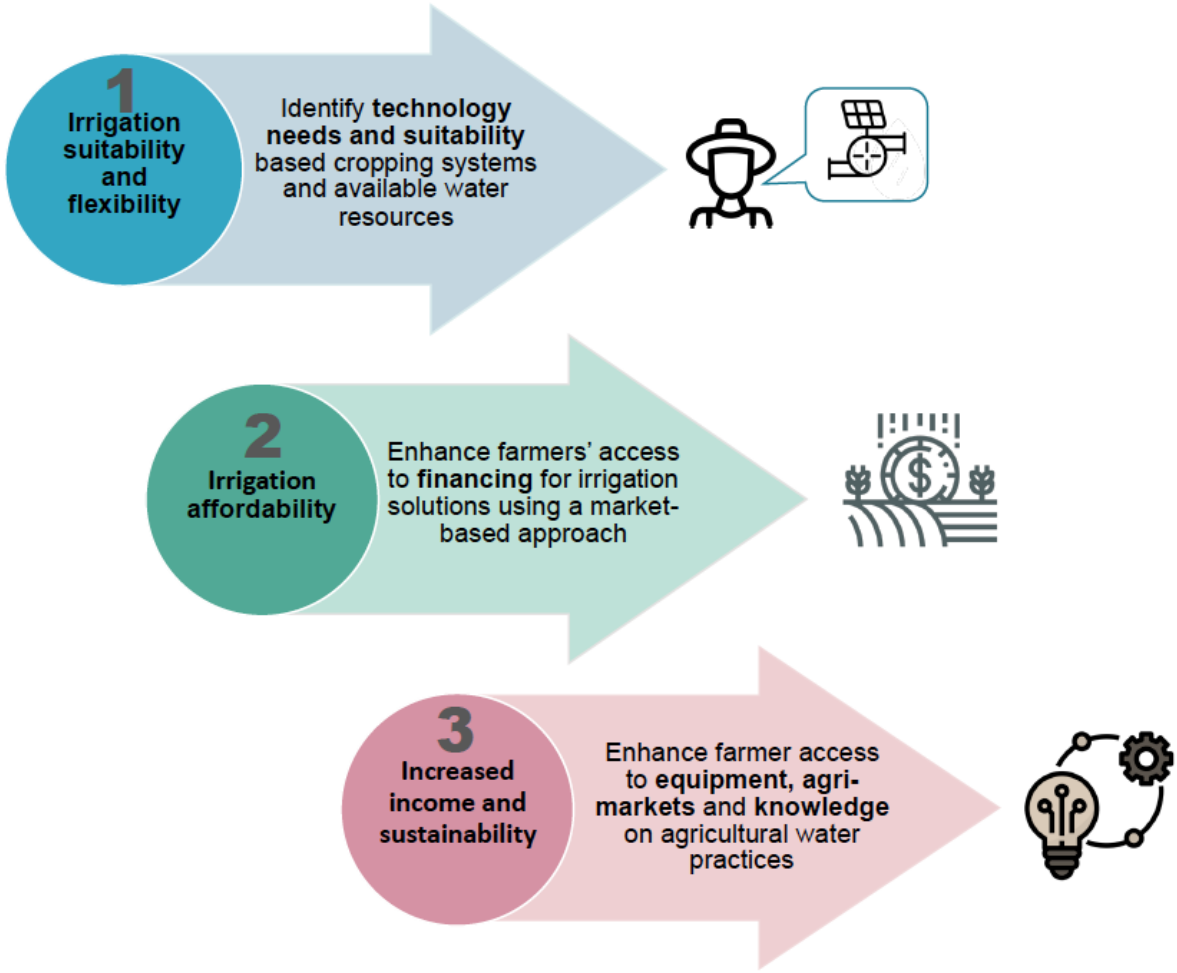


Figure 19. Main outcomes and groups of activities for Sub-Component B2-C (FLID)

Three inter-related groups of activities

There are three main pillars, or groups of activities, in the FLID intervention: establishing demand, affordable financing, and private sector innovation, shown in Figure 19. These are inter-connected and the outputs from one supports the success of others.

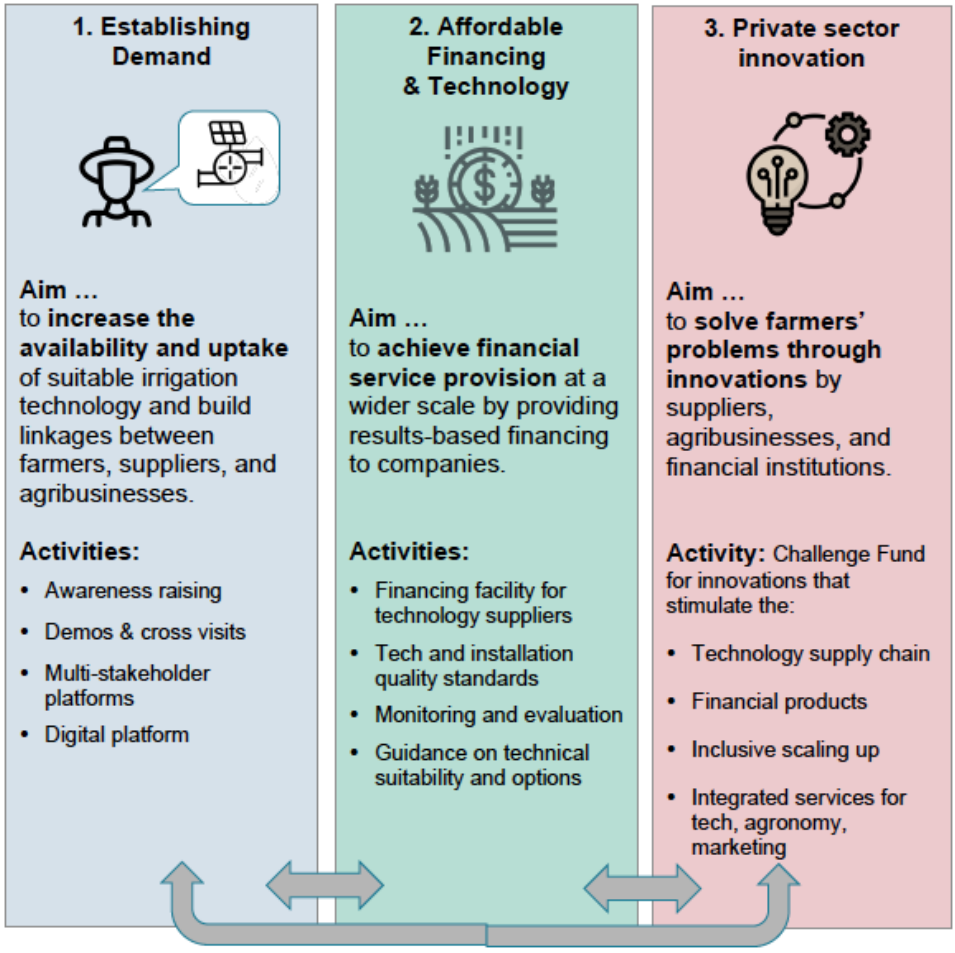


Figure 20. Three groups of FLID activities

Overview of timelines

A detailed explanation for each of the groups of activities is provided in the sections that follow. The linkages between them, and the Federal and State roles in implementation of the activities is explained. A summary of the timelines is shown in Table 1, and a detailed list of activities for each group (GANTT chart) and procurement schedule can be found in **Annex XVII –B**.

Group	Year	1	2	3	4	5	6	USD Mill.
1	Establishing Demand	procure						USD 7M
2	Affordable Financing & Tech	procure	establish					USD 43M
3	Private Sector Innovation	procure	challenge					USD 4.2M

Group 1 of FLID Activities: Increasing demand for irrigation technology solutions

These activities will help increase demand for technology and will overcome the barriers and reduce the costs that private sector companies, like technology suppliers, agribusinesses, and financing institutions, face when trying to reach many thousands of small farmers. It will promote awareness among farmers of innovative water technologies and good irrigated agricultural practices. It will also support market segment identification in underserved markets and facilitate aggregation (of potential customers) to reduce private

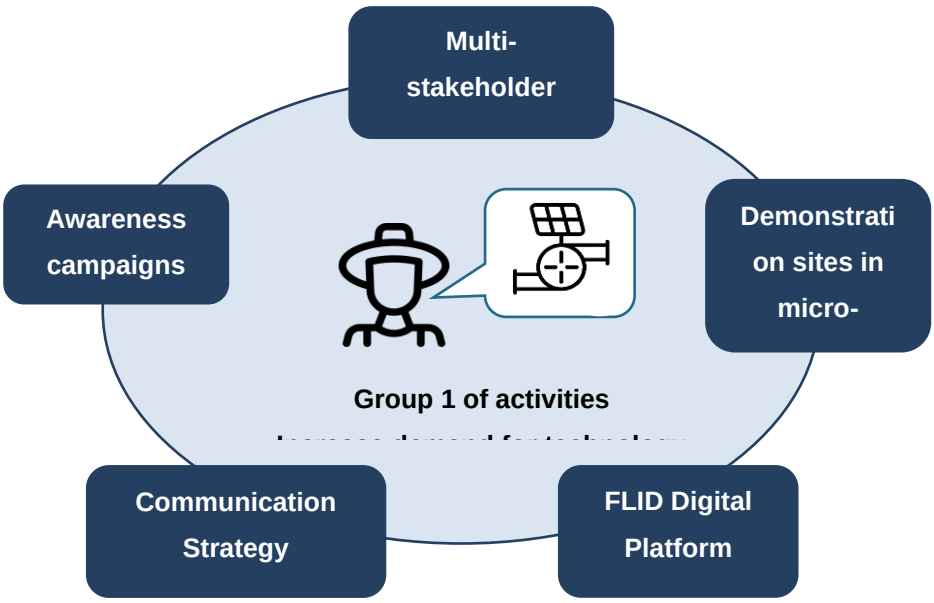


Figure 21. Group 1 of FLID Activities – Increase demand for irrigation technology solutions

GROUP 1 OF FLID ACTIVITIES
A: Awareness campaigns and multi-stakeholder dialogues

Who will do it !

(Year 1 & 2 – March '22 to Feb '24)

Awareness campaigns and Communication Strategies

Campaigns will use traditional and digital media outreach and ICT technologies and will be linked to demonstration sites in collaboration with the private sector. The awareness campaigns will cater for different types of farmers (called "farmer segments") each with different technology interests and needs.

The technical content for communication to farmers will be developed simply – so that farmers have equitable access to information and can understand the main implications and be prompted to search further for more detailed information (from suppliers / internet / other-farmers). When developing the technical information, all of the factors that influence technology preferences and choices must be considered, including:

1. Farm size
2. Crop type
3. Type of water source (shallow-well; surface water)
4. Soils and slopes
5. Farmer capability in managing technologies (experienced or not?)
6. Preferences for low-cost and simple solutions (such as hose-pipes rather than complicated drip-lines with filters etc.)
7. Implications for spares purchases and maintenance
8. Technology implications for women and more vulnerable groups
9. Technology implications on labour (savings or additional labour demands)
10. Farmer's ability to afford different technologies
11. Indicative costs – capital costs AND lifetime operating costs (at least over 10 years)
12. Benefits that can be derived from irrigation for some indicative crops, using different types of irrigation systems (solar vs. petrol).

FMPU Responsibilities

Personnel: The FPMU will ensure that it has *one dedicated technical person* to facilitate the FLID activities across the program. Staff will have main competencies described in **Annex XVII-A** including technical (agricultural water), project management and facilitation capabilities.

The FPMU will *employ a communications consultant* (**FLID TA No.1 – TOR in Annex XVII-C**) to

- develop the communication framework,
- define the technical options and costs and
- facilitate the Federal level MSDs.

SMPU Responsibilities

The SPMU will ensure that it has *one dedicated technical person* to facilitate the FLID activities across the program – competencies are listed in **Annex XVII-A**. The SPMU will coordinate with ongoing programs at the State and LGA level including donors, NGOs, implementing agencies and research institutions to enhance the sensitization and outreach of women and youth in relevant workshops, meetings and events.

The SPMU will *employ state-level consultants* (**FLID TA No.1 – see TOR in Annex XVII-C**) to rollout the communication strategy with private sector companies in

(Year 2 to 4 – March '23 to Feb 26')

Multi-stakeholder dialogues (MSDs).

The role of MSDs is to build linkages between farmers, government and the private sector. Multi-stakeholder dialogues will also cater for adaptive learning of the FLID activities and to inform the challenge fund implementation at state level. There will be one MSD at Federal level and MSDs at State level.

Multi-stakeholder platforms/dialogues will facilitate discussion of barriers and social/collective learning, formation of new partnerships and catalyze knowledge exchange. Dialogues will include presentations from leading companies in the sector, and other stakeholders, on their current activities, relevant innovations, and plans.

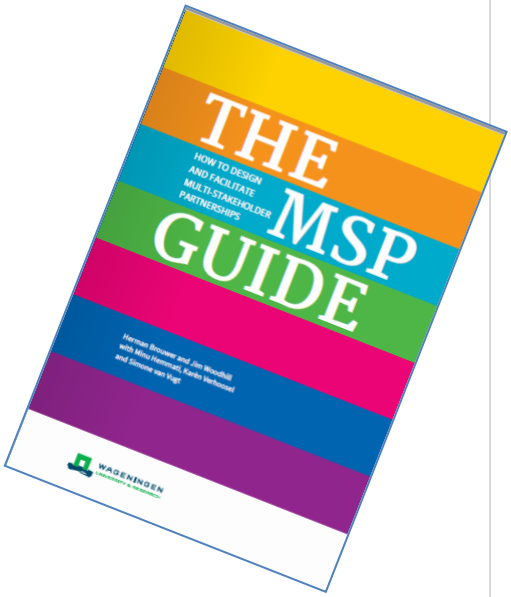
The MSDs will ensure inclusive participation of private and public sector actors across states, research organizations, NGOs and other relevant institutions. It may be advantageous to augment existing platforms rather than start entirely new ones. The consultants responsible for facilitating the MSDs (at Federal level and in each of the participating states) will thus identify existing stakeholder platforms and assess adequacy for the program. They will then work to either augment the scope of existing platforms or establish new platforms if none are found to be suitable.

References that can guide the multi-stakeholder dialogue process include:

- The FLID Multi-stakeholder Dialogue
- The Multi-Stakeholder Partnership Guide

their State, including:

- the translation of communication materials into local languages,
- facilitate community discussions in relation to watershed plans at LGA levels selected from the 200 micro-watershed plans in Component B1.
- manage the practical arrangements and logistics of awareness raising and outreach logistics and events.
- facilitate the multi-stakeholder dialogues at state-level



GROUP 1 OF FLID ACTIVITIES

B: Demonstration sites

Who will do it !

(Year 2 to 6 - March '23 to Feb 28')

Demonstration sites will be identified in selected locations from the set of 200 micro-watershed plans that are developed under Component B1 in collaboration with the private sector companies interested in demonstrating their technologies and/or services (link to pillar 2).

The demonstration sites have a dual purpose in the micro-watersheds. They provide the equipment and service providers and market actors a platform to demonstrate the technologies, suitability and practices and therefore further raise demand through reflexive engagements. They also provide an opportunity to train agricultural extension, households and small farmer groups on the use and repair of irrigation equipment and good agricultural practices.

Technologies and agricultural services to be demonstrated:

1. Type of technology and services: shallow well drilling, manual and motorized pumps including solar pumps, solar panels, application technologies (pipes, sprinklers, drip) and other relevant technologies along the agricultural water management continuum as well as new hybrid seeds and agricultural good practices.
2. Technologies should have passed the quality screening process
3. Technologies should have been specifically requested by the households in the community (verification through the digital platform)
4. Technology meets the water resource availability, agricultural system, other water needs, and provides water at an appropriate rate meeting the water demand and the preferences of the community
5. Are affordable, align with identified market segments and reflect market prices for products of similar quality and capacity.

FMPU Responsibilities

The FPMU will not be directly involved in the establishment of demonstration sites, but will liaise closely with the SPMUs, and ensure that the Federal level MSD's are fully informed of all demonstration activities, and facilitate their involvement therein, via the SPMUs.

SMPU Responsibilities

The SPMUs, either directly, or through consultants assigned the responsibility, will fund and support the organizational and technical activities to establish demonstration sites with the private sector companies within the micro-watersheds in their state that are included in the project.

Selection of demonstration sites: The SPMU will liaise with communities where micro-watershed plans have been completed and select suitable sites based on the guidelines for successful demonstration site selection shown in Box VI.

Company selection and quality control on demonstrated equipment and services: Demonstration of equipment and services will be limited to those companies who have successfully registered with the RBF Facility (Group 2 of FLID activities). The registration process requires detailed submission of both company qualifications and equipment compliance with appropriate standards, all defined under the RBF establishment process. In their submissions to the RBF Facility, the companies will include for demonstration equipment and related milestones and will be assigned funds accordingly to install equipment at the demonstration sites.

	Number of demonstration sites: The number of demonstration sites will be based on community demand and private sector interest. Organize fairs – invite other state level private sector / companies relevant to other value chains (markets/agro-processing/finance/knowledge-apps etc.).

BOX VI. How to select good demonstration sites !

- Communities should have developed their community development plans (ie. location, accessibility and security, roles and responsibilities in relation to, for instance, management and maintenance of demonstration site, collective vision and shared purpose of demo site, etc.) that are based on the micro-watershed development plan.
- The plans should show inclusive and sustainable water governance with adaptive allocation.
- The process of technology, services and practices to be demonstrated and site selection should be inclusive (male and female farmers, youth) and use participatory processes.
- Technologies, services and practices should be affordable and accessible to farmers following successful demonstration and farmer demand.
- Selection of crops that are profitable and justify irrigation investment

GROUP 1 of FLID ACTIVITIES C: FLID Digital platform 	Who will do it !

(Year 2 to 6 - March '23 to Feb 28')

DigiFLID - Digital platform to link farmers to suppliers

The Digital platform will serve the primary purpose of aggregating farmers information and connect financing institutions, private equipment and service providers, and market actors (all of whom are participating in the RBF intervention) to interested farmer households/ communities. Two examples of a digital platform that can inform the activity are:

- The *IrriTrack App* from the Uganda UgIFT Micro-scale Irrigation Program, and
- DigiFarm, Safaricom Kenya

Credit screening: The digital platform includes the development of credit screening criteria in the digital platform for small scale producers and increase approval rates for equipment and service providers and financing institutions during the credit/PAYGO scoring. This step is to provide a first screening prior to the credit scoring. A coordinated approach at Federal level will enhance sustainability post project and roll out to other States. This will increase consistencies across States for companies with distribution centers in the different States.

Credit screening should be gender and social inclusive and should include:

1. **Farm size**
2. **Availability of water** (for those that have not yet developed their water resource point and want credit/services for shallow well digging should be able to provide field survey assessment of appointed LGA staff)
3. **Availability of on-farm and off-farm income** (especially with regards to women, ensure that non-agricultural income is accounted for)
4. **Current cropping system and area**
5. **Experience of irrigated agriculture** (years), current technology used and area planned to irrigated with the new technology.

FMPU Responsibilities

The FPMU will lead the development of the digital platform through the *employment of a specialist Technical Assistance (TA) consultant/institution for this task* **(FLID-TA No.2 – see Annex XVII-C)**.

The digital platform will be co-designed with the selected States, Financial Institutions and private sector (equipment suppliers, service providers, and value chain actors). The FPMU will be responsible for the following tasks:

- **Oversee the work done by the FLID-TA No. 2** across the selected States to inform overall programmatic activities.
- **Collaborate with the FLID-TA No.2 to ensure the effective training of State and LGA level technicians** in farmer-engagements and capturing community demand using the digital platform.

SMPU Responsibilities

The SPMU will actively collaborate with the FPMU and the FLID Digital Platform TA company in the development of the Digital Platform and the training of personnel in data capture and entry. It will also ensure it has sufficient personnel assigned to farmer-engagements and capturing the demand for different technologies by different farmer groupings.

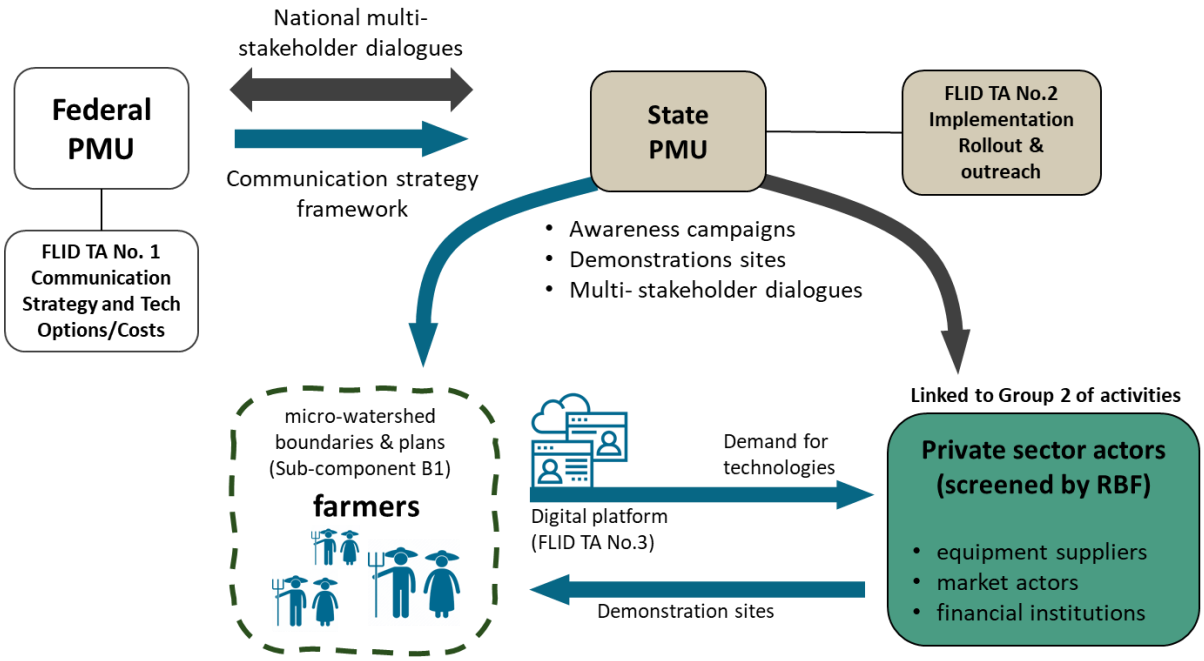


Figure 22. Group 1 of FLID Activities – Arrangements for Establishing Demand

Group 2 of FLID activities: Affordable Financing and the RBF Facility

The Results-Based Financing Facility will **cover the expansion costs and associated risks for private sector** to establish product and services, pre- and after-sales service and maintenance to stimulate market expansion in underserved markets. It will be responsive to the needs of different farmer segments.

This fund will provide fixed incentive grants to the grantees. This support will enable the firms to finance the required investment in people, training, advertising, processes, and logistics inclusive of gender workforce integration and disaggregation as informed by the government gender program. The grant amount will be fixed for each system size/level of service category, and continually reduced over the life of the program.

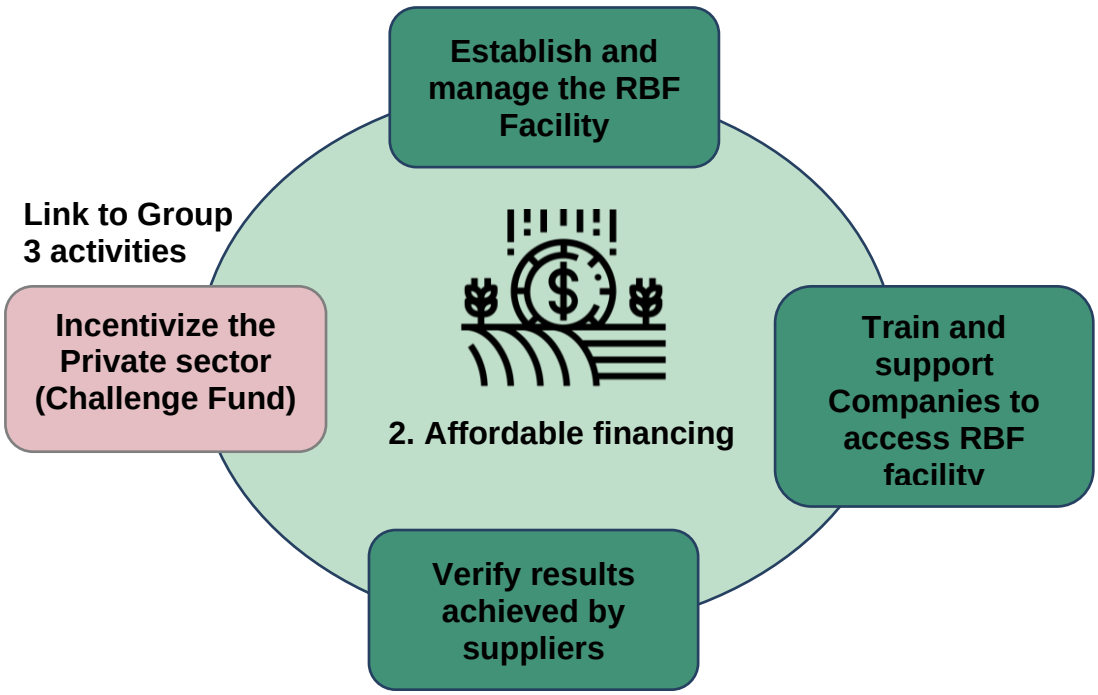


Figure 23. Group 2 of FLID activities to ensure affordable financing for farmers to acquire suitable irrigation technology

GROUP 2 OF FLID ACTIVITIES
Setup and Manage the RBF Facility

Who will do it !

(Year 2 to 6 - March '23 to Feb 28')

The Results Based Financing (RBF) Facility

The Result-Based Financing (RBF) Facility for water technologies will compensate water technology providers, financial service provides, including those providing loans or PAYGO services, and agribusinesses for taking a higher risk in providing technology and support services to farmers. Higher risks can be from expanding their operations to more remote areas, or working with farmers who have difficulty providing collateral, or have inadequate financial or business track records.

The financing facility will provide additional incentives for companies to ensure services are equitable and farmer uptake translates in additional environmental services in the micro-watersheds (e.g. rainwater harvesting, tree plantations, soil and water conversation).

The facility aims to mobilize private capital for sustainable development results and strengthening local markets. It therefore will allow for organizations with different goals and in different size (early stage domestic, start up, SME, Fintech) to invest alongside each other to create financial returns and positive development outcomes. By reducing investment barriers, the facility aligns private capital flows with development needs by creating investable opportunities in Northern Nigeria. The facility will make use of an innovative web-based platform for key interfacing aspects and program management. The web-based RBF platform will be used for managing the request for proposal (RFP) stage for the RBF as well as the Challenge Fund (Group 3 of FLID activities). An example of a web-based platform used by the Nigerian Electrification Program is Odyssey: https://www.odysseyenergysolutions.com/2019/12/18/nigeria-electrification-project/

NOTE: The RBF platform is a different platform from the Digital Platform described in Group 1 of FLID Activities which is for farmer registration and aggregation, for easy supplier access.

FMPU Responsibilities

The FPMU will recruit two specialist Technical Assistance companies for this Group of activities as detailed in **Annex XVII-C**:

- **FLID TA No.3** for the establishment and management of the facility, AND market assessment)
- **FLID TA No. 4** for the establishment of the web-based platform for grant management
- **FLID TA No. 5** - verification of suppliers results in achieving irrigation and agricultural equipment supply and services.
- **FLID TA No. 6** - Knowledge partner to support technical assistance to RBF/Challenge grants (also supporting Group 3 activities)

SMPU Responsibilities

The SPMU will collaborate with the FPMU and the RBF TAs in the development of the facility. The SPMU will allocate suitably qualified personnel to sit in the selection panel and participate in the processes of company selection and unit price for technologies/ services set.

GROUP 2 OF FLID ACTIVITIES – RBF DETAILS

A: Company Eligibility and Selection

(Year 2 to 6 - March '23 to Feb 28')

A1. Types of companies to be supported

The Facility will target both experienced and emerging irrigation technology, solar-products, and agricultural businesses that can provide equipment and services to irrigation farmers. The RBF Facility is, however, not intended to help aspirant, startups or SMEs < 2 years companies that might hold ambitions *but* do not yet possess the capacity to deliver in a comprehensive way. Throughout the project duration, companies which have not yet applied for RBF funding can submit requests.

The target companies would therefore include:

- **Experienced Companies (minimum of 5 years establishment):** Companies registered in Nigeria that already possess –- to the strongest level –- all of the capabilities required to rapidly up-scale the market. These will tend to be experienced firms that have succeeded at scale providing equipment or services to smallholder farmers in irrigation, agricultural or solar relevant markets internationally. These companies would be widely recognized as accomplished companies.

- **Small and Medium Enterprises (minimum of 2 years establishment)**: Selected companies that can demonstrate convincingly that they possess the full range of capabilities (products, organizational staff and systems) but need to build further capacity (size and volume) required to achieve massive scale and are well positioned to do so quickly. These will tend to be the few best local Nigerian SMEs. These companies, would generally be recognized as potential future 'experienced' companies of the agricultural and irrigation sector.

Companies will not be supported if they are involved in production or activities involving forced labor[30] or child labor[31].

A2. Pre-qualification of companies for the RBF Facility

Pre-qualification criteria will emphasize a robust business plan of international standards. To become eligible, they must pass a robust pre-qualification. The aim of the pre-qualification for RBF is that the **applicant has all the capabilities needed to deliver quality equipment, service and pre/after sales service to customers** and has the **internal integrity and rigor to cope with the reporting and audit requirements attached to the grant**.

The pre-qualification will focus on technical standards of the irrigation products, business integrity, competence in financial administration, legal compliance, technical delivery, warranty and will include details on:

[30] Forced labor means all work or service, not voluntarily performed, that is extracted from an individual under threat of force or penalty.

[31] Employees may only be taken if they are at least 15 years old, as defined in the ILO Minimum Age Convention (C138, Art. 2), and ratified by Nigeria in 2002. Children under the age of 18 will not be employed in hazardous work. Children will not be employed in any manner that is economically exploitive, or is likely to be hazardous to, or to interfere with, the child's education, or to be harmful to the child's health, or physical, mental, spiritual, moral, or social development.

1. A senior management team that is capable across all key disciplines, including consumer marketing, consumer finance, IT, logistics, financial management, business process management; commitment to high sales targets or rapid growth in monthly sales; and
2. Have a good Environmental and Social (E&S) track record, meaning no E&S related fines, violation record, litigation, or pending litigations in the past three years
3. Have an institutional Environmental and Social Management System that meets ACRESAL requirements consisting of:
   - Human Resources Policy
   - Occupational Safety & Health Policy/ Guideline
   - Battery Collection/Recycling Policy (if applicable)
   - Have the organizational capacity to implement such ESMS
   - Be willing to participate in E&S capacity building activates hosted by ACRESAL as considered necessary by the project.

A3. RBF selection criteria for eligible companies – an overview

The RBF Facility will develop guidelines which include criteria to select companies and a set of indicators:

- Indicators reflecting the amount of private financing expected to be mobilized
- Indicators from the quality assurance framework and
- Service standards
- Indicators reflecting the company's approach to gender and social inclusion, in particular increasing women and youth in the client base
- Indicators reflecting the approach to natural resource management, GHG reduction, water resource management
- Description of TA support to be provided to the company

A4. Pre-qualification of eligible products

Only pre-qualified companies will be eligible to attract RBF funds. To be eligible, each company must have either:

(i) a current Certificate of compliance from Verasol Database for solar powered irrigation and for other electronic equipment against the International Electro-technical Commission (IEC); or

(ii) pass a separate evaluation for quality assurance of the technology. The latter would rely upon viewing a complete set of certifications of components against international standards and of manufacturers against the standards of the International Organization for Standardization (ISO).

GROUP 2 OF FLID ACTIVITIES – RBF DETAILS

B: Funds and Payments

B1. RBF funds–- AMOUNTS

RBF funds are paid as a fixed amount of Naira per system based on an USD-equivalent, based on the Level to which the system was allocated during pre-qualification. The grant amounts will be updated each year for inflation. The initial grant amounts for different type of technologies and services will need to be developed as part of the RBF guideline as follows listed in[32]. Depending on identified gaps in technologies, markets and finance, grant amounts and type of grants can be modified throughout the duration of the project:

Table 3: Example initial Grant Amounts for the RBF funds

Diesel/petrol pumps

System Type	Min. HP	USD equivalent per system[33]	Percent of system cost
Level 1	x	xx	xx%
Level 2	xx	xx	xx%
Level 3	xx	xx	xx%

Solar pumps

System Type	Min. Wp	USD equivalent per system[34]	Percent of system cost
Level 1	x	xx	xx%
Level 2	xx	xx	xx%
Level 3	xx	xx	xx%

Irrigation application equipment:

System Type	Unit	USD equivalent per system[35]	Percent of system cost
Emitters/emitting pipe line - Level 1	x	xx	xx%
Emitters/emitting pipe line - Level 2	xx	xx	xx%
Emitters/emitting pipe line - Level 3	xx	xx	xx%
Sprinkler – Level 1			
Sprinkler – Level 2			
Sprinkler – Level 3			

32 Grant amounts may be revised in due course as part of the design and threshold support review process.
33 Grant amount will be converted to Naira at the time of the award corresponding to the USD equivalent amount.
34 Grant amount will be converted to Naira at the time of the award corresponding to the USD equivalent amount.
35 Grant amount will be converted to Naira at the time of the award corresponding to the USD equivalent amount.

Agricultural and irrigation services:

System Type	Unit	Range	USD equivalent per system[36]	Percent of syste cost
Manual well drilling - Level 1	Meters (depth)	< 7 m	xx	xx
Manual well drilling - Level 2	Meters (depth)	7-15 m	xx	xx
Motorized well drilling - Level 1	Meters (depth)	Up to 25 m	xx	xx
Agricultural inputs for high value crops (seeds, fertilizer) – Level 1	Kg/ha	xxx	xxx	Xx
Agricultural inputs for high value crops (seeds, fertilizer) – Level 2	Kg/ha	xxx	xx	Xx
Agriculture connecting farmers to markets	Household	-	Xxxx	xx
Consumer finance – Level 1	Naira	xxx	xxx	xx
Consumer finance – Level 2	Naira	xxx	xxx	xx

System Size: The smallest system that would attract an RBF fund shall have

i) For diesel/petrol pumps - a minimum generation capacity of xxxHP per unit.
ii) For solar pumps - a minimum generation capacity of xxxW per unit.
iii) For agricultural equipment – a minimum of Naira XXX per household
iv) For agricultural and irrigation services - Naira XXX per household
v) For financial services – Naira xxx per household

B2. Eligibility to claim RBF funds

An eligible equipment or service provider may request payment of RBF funds amount after an eligible product is installed or service provided with a customer.

B3. RBF funds – payment details

Unit Rate: The RBF payments will be paid as a pre-defined amount per system (Unit Rate) for each system installed. Irrigation and related equipment will be categorized into several Tiers based on capacity and service. Within each Tier of equipment, a single unit rate of RBF funds will be set to be paid against all systems. The grant amount per system (Unit Rate) will vary across several categories of products.

36 Grant amount will be converted to Naira at the time of the award corresponding to the USD equivalent amount.

Value of the Unit Rate RBF payments: Averaged across the portfolio of the equipment, the RBF funds amount would initially be designed as a percentage of the nominal retail price of the equipment/service. In practice, with a variety of equipment in a common Tier, the portion of the retail price represented by the Unit Rate will vary. This will be adapted as needed throughout the project duration in discussion with the FPMU/SPMUs.

Reduction of Unit Rate per system over time: The Unit Rate paid per system will reduce over the life of the program, to a nominal level during the final period of the program. The Unit Rates will be reviewed from time to time.

Business model neutral: All business models are eligible. The RBF payment amount is the same whether the equipment is provided to the customer as a cash sale, loan from a bank or micro-bank, integrated PAYG, pure PPA or operating lease, or some other variant of these basic models.

Flexibility in use of grant: Equipment providers would decide how best to use the grant funds received. The RBF funds will form only a small portion of the revenue and expenditure: customers will pay commercial prices and tech/service providers will invest much more of their own funds than they receive in grants. It is anticipated that in early stages it would be taken as a gross margin and spent on business growth (accelerate the expansion of their sales, logistics and after sales capability, increase advertising, etc.). If there is significant application of grants to reduce price (and that ability is limited anyway by the small grant amounts) then Unit Rates may be reviewed down. The performance of the grantees can be tracked via the Independent Verification Agency efforts carried out by a firm contracted solely for this purpose.

Importantly, the RBF fund is not a subsidy on the end-user price. The Independent Verification Agency will verify whether the grants are being used to directly subsidize the cost to the consumer.

Phasing: An initial public invitation for applications will be conducted. Companies may apply during the initial window or at any time after that on a rolling basis.

GROUP 2 OF FLID ACTIVITIES – RBF DETAILS

C: RBF Application Process Description

- ### Step 1: Company Submits Application

Applicants shall submit applications to the RBF Manager **(FLID TA No. 3)** on a rolling basis for RBF but before the closing date Feb '27. ACRESAL is developing the web-based RBF platform with software management in order for applications to be submitted electronically (**FLID TA No. 4**). As long as the web-based RBF platform is not operational, the RBF facility will set up a temporary system for companies to submit applications.

- ### Step 2: Register and Log Application

All applications will be logged and registered automatically as they are received. The online system for submission of applications will be Software management. Log in credentials and step-by-step instructions on how to apply will be sent to each firm that responds to the Expression of Interest with basic documentation.

- **Step 3: Compliance Check**

A preliminary check will be conducted to confirm that all mandatory requirements of the application have been met. If all requirements have been met, then the full evaluation can proceed. If not, the application is rejected.

- **Step 4: EQUIPMENT Quality Assurance -** This step will need to be refined as part the RBF facility set up **(FLID TA No.3)**

1. SOLAR EQUIPMENT with current Verasol database are eligible. If a current certificate is presented, then the next step can be skipped. If solar pumps and panels are not verified by Verasol a technical review is needed
2. Diesel/Petrol and other irrigation EQUIPMENT will require a quality Verification Technical Review: The expert will check that all components have relevant international certifications and the manufacturers have relevant ISO and IEC certifications. For systems requiring technical installation, the technical capability of the solar provider/ installer will also be evaluated. The required documents will be detailed in the technical review document checklist for quality verification.
3. The physical inspection will eventually be conducted by a third-party expert with international experience in the design, installation and operation of large numbers of systems in private sector settings, sub-contracted by the ACReSAL, subject to a No Objection from the World Bank.

- **Step 5: Score Applications**

Each member of the Evaluation Panel **(TOR in Annex XVII-D)** shall evaluate and score each application individually. Members shall record their scores and comments in the evaluation template. For each application, each evaluator will then use the detailed template to develop scores for each section (as per the weighted scoring matrix above). For each application, each evaluator will then produce a single score.

- **Step 6: Consolidate Evaluations**

The evaluations from each team member will be consolidated.

1. If all evaluators rate an applicant as non-compliant, then they shall not be processed further. A rejection letter should be sent to the company to notify them that their application was unsuccessful [reference to the rejection letter]
2. If all evaluators rate an applicant above 70%, and they also pass all the other pass/fail criteria, then the evaluation can proceed to the background check
3. If the evaluations are mixed, then the differences will be discussed, and a final decision should be made.

- **Step 7: Background Checks**

If the company is successful in the application and selection process, background checks should be conducted on the company, the contact person, and other key people in the company. Background checks are to be conducted by the RBF facility (**FLID TA No.3 – RBF**) with access to international and Nigerian databases, including criminal and civil legal actions.

- **Step 8: EQUIPMENT Tier**

A market survey and benchmarking study will be conducted by the RBF Manager **(included in FLID TA No.3)** to ascertain the prices at which manufacturers and service providers sell the different categories of irrigation equipment to distributors. This will take into account differences in pricing within and across States.

EQUIPMENT and SERVICE companies that pass Quality Assurance shall be allocated to one of the following Tiers, to determine the level of the RBF funds that would be applicable. The proposed grant amounts per system may be revised in due course upon evaluation of the design and support thresholds.

- **Step 9: Recommendation**

Upon screening, review and evaluation of the firms, The RBF Facility Funds Manager (**FLID TA No.3**) shall provide a list of the firms to the Selection Panel in a summarized and collated form, with recommendations for each one.
The recommendation for each applicant and for each of their EQUIPMENT shall be one of the following:

1. Pre-qualified
2. Not Pre-qualified
3. Guidance Required

- **Step 10: Approval**

The Selection Panel will review the recommendations, amend or clarify as needed, and create a final list of approved applications to be pre-qualified for OBF.

- **Step 11: No Objection**

The Investment Committee within the ACRESAL and the IDA will receive the recommended selection of the pre-qualified applicants, to provide a No Objection.

GROUP 2 OF FLID ACTIVITIES – RBF DETAILS

D: RBF Payment Process

- **Step 1: Submit Grant Claim**

Claims for payment of RBF funds may be submitted by Grantees once each month. Claims submitted between the 1st and the 15th of that month will be processed the same month otherwise the claim will be processed the following month.
The Claims log will include a standard report format showing a summary of the number of systems by type, and a detailed database for every system / customer with full details for audit and verification to be carried out including the system model, serial number, and full customer details. The Claims log will be completed and submitted online.

- **Step 2: Compliance**

The Grants Administrator firm will be able to access the claims logged by the providers in the Software management portal and check that the claim is compliant. Non-compliant claims will be returned to the Grantee to rectify and resubmit. To be compliant, each Claim must meet the following requirements:

- Only systems sold prior to the last day of the previous month are claimed
- Only systems sold in the previous 3 months are claimed
- Only systems that are pre-qualified are claimed
- The correct amount of grant is claimed for each system
- The total claim amount is calculated correctly

The claim meets the minimum claim size threshold (currently at least 150 units per month).

- **Step 3: Verification Process**

Rules for determining the type and timing of audit required are described in the Verification and Monitoring of Grantee Performance section.
If an audit step is needed before making the payment, then an audit from the Independent Verification Agency should be requested (**FLID TA No.4**). Once audit has been prepared and received by the RBF Facility Funds Manager (**FLID TA No.3**), proceed to Step 4: Recommend Payment.

- **Step 4: Recommend Payment**

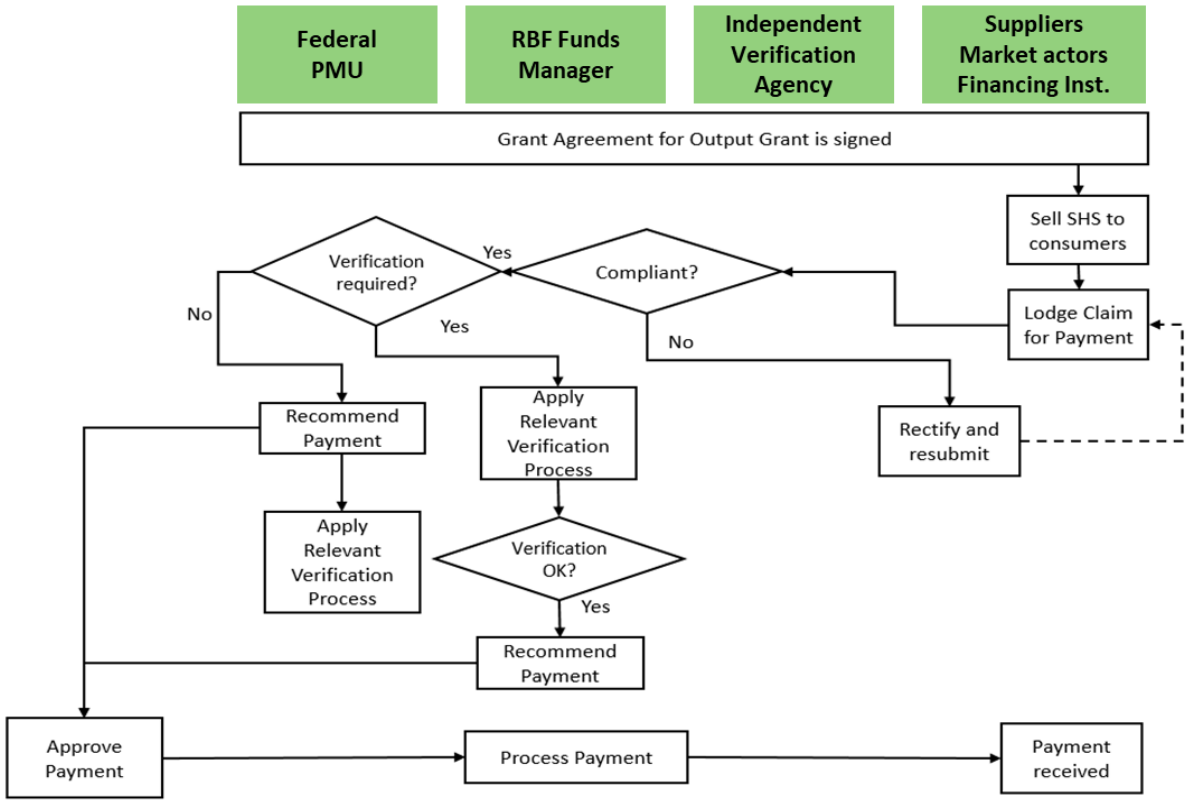
The RBF Facility Funds Manager (FLID TA No.3) will prepare payment advice notes every week based on the review of verified claims submitted by the IVA. All grant claims that are ready to be paid (i.e. not still in an audit process) will be provided to the FPMU.

- **Step 5: Process Payment**

The FPMU will review the claims and the related audit evidence and trigger the payment within 72 hours of receipt. Consistent failure to disburse the grant amount to firms in less than 72 hours of receipt will affect the project outcomes and will be subject to a revision of the disbursement arrangements.

A simplified summary of the payment process for RBF funds is below.

Summary of Payment Process



- **Step 6: Provide disbursement information to SPMU**

On a monthly basis the RBF fund manager will inform the respective States on re-imbursement status and progress.

GROUP 2 OF FLID ACTIVITIES – RBF DETAILS

E: RBF Verification

An Independent Verification Agency (IVA) will be engaged by FPMU to carry out the verifications of claims submitted by the participating solar companies. The IVA will determine the precise methodology of verifications but below are some suggested audit levels that the IVA could operate.

Example of audit levels

Audit Level	Name	When to apply
Audit Level 1	Telephone sample	All grantees on their first claim. Any time the grant amount per unit is being changed, then apply to all grantees in the final claim period before the rate change
Audit Level 2	Field sample	Apply if, during a Level 1 audit, more than 10% of the customer telephone numbers called cannot be contacted
Audit Level 3	Grantee process / systems audit	Apply if a Level 2 audit fails
Audit Level 4	Full customer audit	If there is evidence of, or concern about, a significant lack of integrity in the claims data of a grantee

- ### Level 1: Telephone Sample

From the list of customers provided by the Grantee in the claim, the Independent Verification Agency will select a random sample to audit.
The size of the sample may vary. The initial sample should consist of a minimum of 10% of the customers or 100 customers – whichever is the largest.

Timing of the audit: Once a grantee has been audited once, the process will vary in the subsequent round(s) depending upon the results of the audit.

First Claim: First complete a satisfactory audit, then approve the payment of the grant claim.

Second Claim: If the most recent Level 1 and/or Level 2 audit was confirmed with 98% or better responses validated, then for subsequent claims from that grantee, the claim can be paid first, and the audit can be done AFTER the claim.
If a grantee fails a Level 1 and/or 2 audit (less than 98%) then for their next claim, the audit will be done BEFORE payment of the claim.

- ### Level 2: Field Sample

Some customers may provide a telephone number for a phone that is often beyond service range or phone numbers might change throughout the project duration. Some may use the phone only when on occasion moving away from the home to a more populated area. This means that some grantees fail a Level 1 Audit. A Level 2 Audit would then be applied. This cost is higher as it requires people to go into the field.

The random sample of customers in Level 1 may be widely scattered. To reduce the cost of the Level 2 Audit, a second selection of customers would be taken, all within a smaller geographic area. It is

therefore recommended to first repeat the Level 1 audit on that sample, and, if needed, then conduct the Level 2 audit. The Auditor will visit the village, using the address/GPS co-ordinates and verify that the customer has the solar system as reported.

- ## Level 3: Grantee Process / Systems Audit

The full process audit would involve the following steps:

1. Interview with grantee management, seeking to identify underlying reasons for the failed Level 2 audit. There may be a simple explanation or error

2. A more detailed review of the grantee's process or systems might be warranted, to either confirm the assumed cause of the problem, or to identify it. This might involve following the paper trail for the failed customers back to source or checking processing steps.

Depending upon the cause of the problem, a varied audit plan might be developed or imposed for that grantee. Alternatively, once identified, the problem may be resolved.

- ## Level 4: Full Customer Audit

A full audit of customer claims might be imposed if the integrity of the claims provided has been poor. This would be done in contemplation of either validating the claims or potentially seeking repayment of past claims.

Remote Verification
Alternatively, the IVA could conduct remote verification of claims utilizing the ACRESAL's web-based DIGITAL PLATFORM. This will be achieved by linking the web-based platform to the grantee's payment gateway. In conducting remote verification using the web-based platform, the IVA will ensure that for each claim made, a connection was made to an actual customer from whom payment has been received. The IVA will confirm that: (i) the customer exists; (ii) a payment has been made; (iii) the payment was made prior to the claim date; (iv) the unit exists**;** and (v) that the grant amount has reduced the product prices to the end users.

Monitoring the development impact of the RBF
The facility will use a combination of measuring the amount of commercial financing mobilized by development capital and development impact.
Development impact is defined as:

1. ***Number of farmers served from which number of women*** and other marginalized group having access to irrigation technologies, agricultural value chains
2. ***Area under irrigation or improved agricultural practices***
3. ***Amount of private financing unlocked***
4. ***Increased income generated*** from providing goods and services in underserved markets
5. ***One or more of the following ssustainability indicators: amount of water use reduced*** and/or **soil fertility increased** on irrigated land, **GHG** reduced

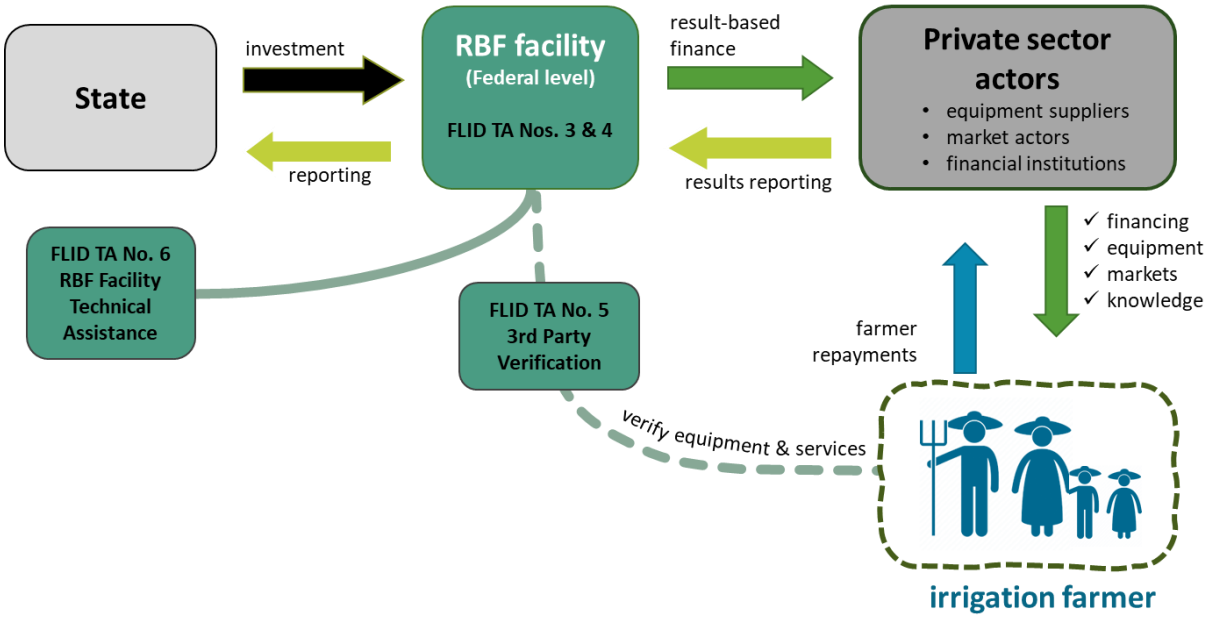


Figure 24. FLID RBF Facility Arrangements

Group 3 of FLID Activities: The Challenge Fund

The purpose of the challenge grants is to reduce the risks to investors to test new consumer financing solutions, reach resource poor farmer segments and/or expand to remote areas. **The Challenge Fund will stimulate private sector innovations** to address identified barriers to farmer participation in FLID such as equitable consumer financing, access to markets and farmers' knowledge in irrigation.

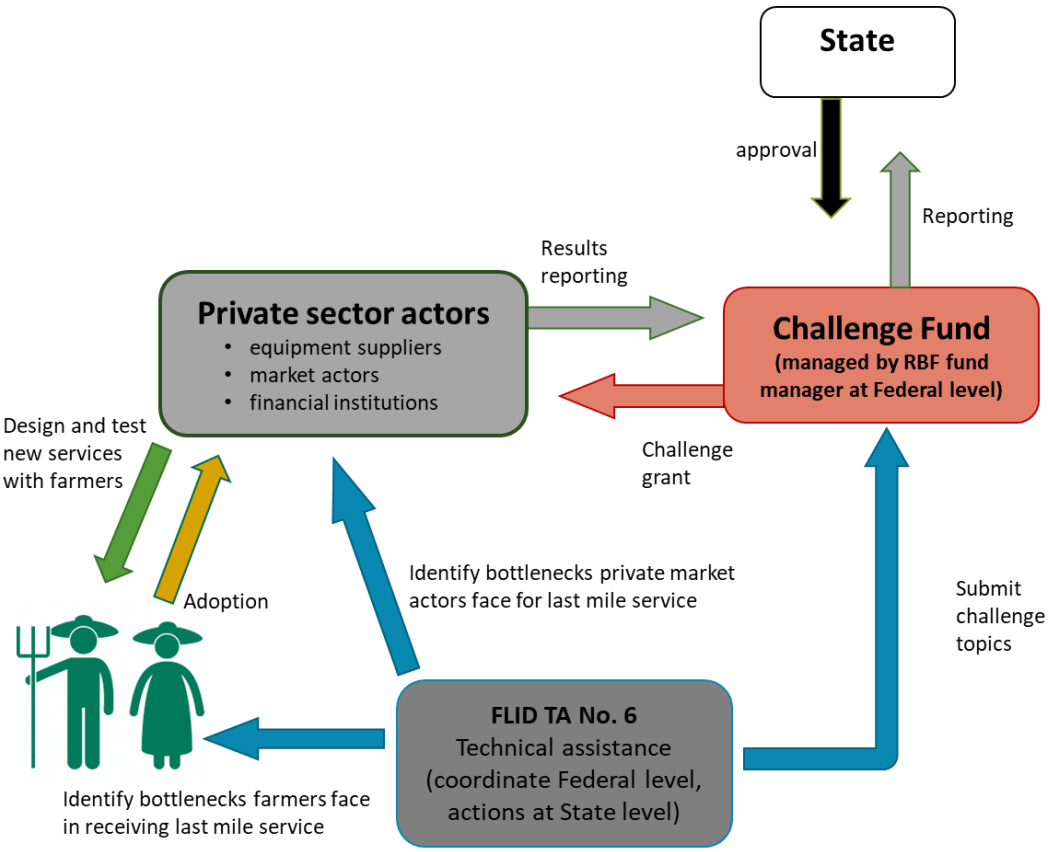


Figure 25. Challenge Fund Arrangements

GROUP 3 OF FLID ACTIVITIES The Challenge Fund 	Who will do it !
(Year 2 to 4 - March '23 to Feb 26') The Challenge Fund is allocated USD 4.2 million and will have a ticket size between 50,000 -150,000 USD. Companies will be competitively selected to develop and test innovative solutions to overcome financial, knowledge or market barriers for farmers which have potential but are not yet ready to be deployed at large scale or are perceived too high risk. Invitations will be announced via suitable web-based platform in country. It will offer up-front lump sum grants and other investor co-funding to the most capable providers with strong business plans to accelerate their sales to Nigerian smallholder farmers in ACRESAL. A rigorous evaluation process and a tranche-based pay-out will be used to manage any risk of non-performance. The same web-based platform will be used for the challenge grants as for the RBF applications to ensure consistency and ability of companies to apply for both financing mechanisms. Companies that are pre-qualified to access the Results Based Financing Facility may then be invited to apply for the Market Scale-up Challenge Fund (MSCF) if they have noted this in the application to the program and meet the minimum criteria. The funds will be managed by the RBF Fund manager.	**FMPU Responsibilities** The FPMU will recruit a specialist Technical Assistance company (**FLID TA No. 6)** for the establishment and management of the Challenge Fund). The TOR are included in **Annex XVII-D**. **SMPU Responsibilities** The SPMU will collaborate with the FPMU and provide funds for the challenge grant. The SPMU will allocate suitably qualified personnel to participate in the processes, and thereby ensure full understanding of the facility, and it's linkages with private sector actors.

GROUP 3 OF FLID ACTIVITIES – THE CHALLENGE FUND

A: Types of companies to be supported

The Challenge Fund will be target both experienced and emerging irrigation technology, solar-products, and agricultural businesses that can provide equipment or services to irrigation farmers. The target a few highly innovative companies and would therefore include:

- **Experienced Companies**: Companies that already possess–- to the strongest level–- all of the capabilities required to rapidly up-scale the market. These will tend to be experienced firms that have succeeded at scale providing equipment or services to smallholder farmers in irrigation, agricultural or solar relevant markets internationally. These companies would be widely recognized as accomplished companies.

- **Emerging Companies**: The selected companies that can demonstrate convincingly that

they possess most of the capabilities required to achieve massive scale and are well positioned to possess all of the capabilities quickly. These will tend to be the few best local Nigerian start-ups and new entrants to the irrigation market or companies at early stage of proving a business model or innovation that might significantly overcome market barriers not already being resolved. These companies, which are currently at an emerging stage, would generally be recognized as potential future 'experienced' companies of the agricultural and irrigation sector.

Companies will not be supported if they are involved in production or activities involving forced labor[37] or child labor[38].

GROUP 3 OF FLID ACTIVITIES – THE CHALLENGE FUND

B: Challenge Topics

Topics which will be refined based on the TA from the RBF (**FLID No. TA 6**):

- **Technology Supply Chain:** Market supply of irrigation technology (equipment, tools, scheduling/moisture measurement) and directly related services (e.g. installation, training, maintenance and repair) that prioritize the broad AWM continuum and/or 'green technology',e.g. solar pumps. Irrigation systems proposed should be financially sustainable and meet women's preferences for productive and non-productive water use.
- **Finance Products:** Appropriate financial products and services provided directly to producers, to farmer-based organizations or cooperatives, or to entrepreneurs and service providers in irrigation systems, services or irrigated value chains. Special emphasis will be paid to sustainability post program and equitable access for women and youth.
- **Irrigated Value Chain:** Value chain and market development to introduce or improve irrigation for crops with high potential for profit in domestic, regional or international markets, and/or high nutritional value. The program will encourage consideration of value chains and horticulture crops that are new to supplemental and/or dry season irrigation, neglected or highly nutritious, undersupplied (e.g. seeds), and/or suitable for export or regional trade or that have additional benefits such as enhanced soil fertility. This may, but not necessarily must, include neglected highly nutritious crops, crops preferred by women farmers, or seed production. This extends to value-added SSI products through processing and manufacture to increase value and enhance output market access.
- **Inclusive SSI scaling:** Business and learning partnership that enhances the feasibility and therefore expansion of irrigation to more farmers, including but not limited to capacity of farmer organizations, including women, youth, and startup groups to become a business partner in market-based SSI scaling.
- **Water resource base and natural resource management:** Businesses and learning partnerships which enhance expansion of irrigation in a sustainable manner, this includes

[37] Forced labor means all work or service, not voluntarily performed that is extracted from an individual under threat of force or penalty.
[38] Employees may only be taken if they are at least 15 years old, as defined in the ILO Minimum Age Convention (C138, Art. 2), and ratified by Nigeria in 2002. Children under the age of 18 will not be employed in hazardous work. Children will not be employed in any manner that is economically exploitive, or is likely to be hazardous to, or to interfere with, the child's education, or to be harmful to the child's health, or physical, mental, spiritual, moral, or social development.

financial, technical or social interventions to enhance water and soil resource management and/or monitoring, soil fertility, regenerative irrigated agriculture.

The set up of the challenge grant program will include the development of a grant guideline which should clearly articulate the process through which the challenges will be announced, the application guidelines and the eligibility criteria as well as the award process (including due diligence prior to award) and the establishment of a technical committee.

GROUP 3 OF FLID ACTIVITIES – THE CHALLENGE FUND

C: Application and Selection Process

Access to the Challenge Grants will require strong evidence that the applicant possesses all the capabilities necessary to either venture into more remote areas, address different market segments, and scale or address a key barrier to FLID. This enables new entrants and Nigerian start-ups to begin in a smaller way with little risk for the program. Some of these participants may then become large, capable and eligible for RBF funding down the line. The application and evaluation process is shown in Figure 9.

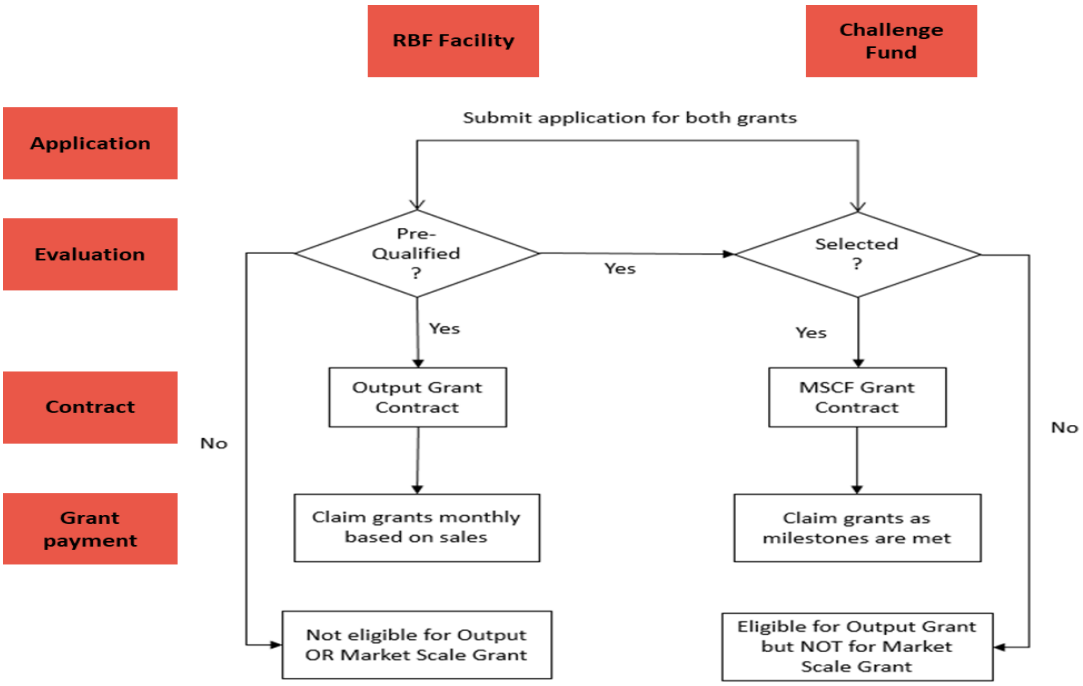


Figure 26. Output Based (RBF Facility) and Challenge Grant Application and Evaluation Process

Additional criteria will emphasize a robust business plan of international standards; a senior management team that is capable across all key disciplines, including consumer marketing, consumer finance, IT, logistics, financial management, business process management; commitment to high sales targets or rapid growth in monthly sales; and a credible pathway to mobilizing the substantial capital required to grow. Only companies that demonstrate this higher level of capacity will be eligible for a full evaluation under the Challenge Grants.

Criteria to be included during Challenge Grant evaluation are:

- Innovation of business case
- Commercial viability and sustainability (economic and environmental)
- Smallholder and marginalized population impact
- Organizational, management and technical capacity (including gender)
- Budget and leverage ratio
- Registration and operation in country > 1 year (Start ups) or 5 years (SMEs)
- One or more of the following sustainability indicators: amount of water use reduced and/or soil fertility increased on irrigated land, GHG reduced

The steps for selecting which companies will be awarded a Challenge Grant are shown in Figure 10 below.

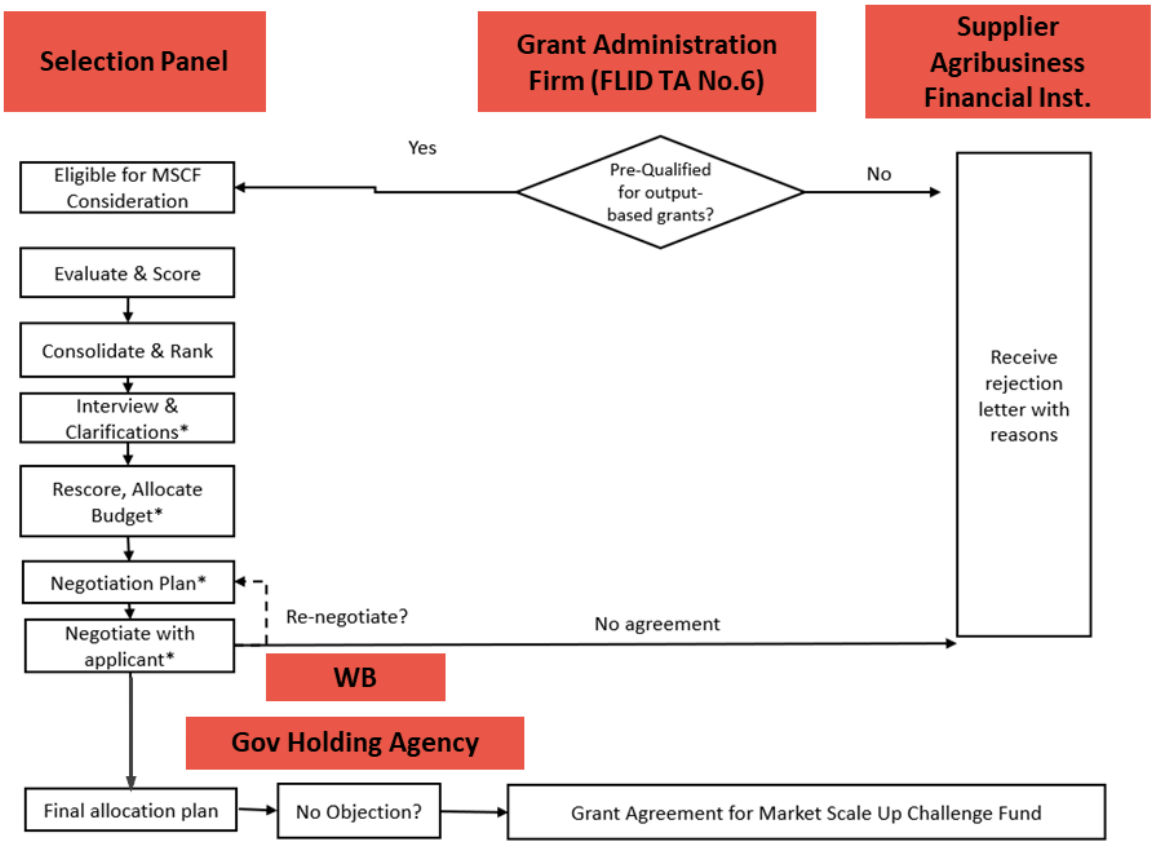


Figure 27. Steps for company selection and award for the Challenge Grant

GROUP 3 OF FLID ACTIVITIES – THE CHALLENGE FUND

D: Benefits of the Challenge Fund

Phased disbursement against milestones

Challenge Grant amounts awarded will be paid in disbursement typically phased over several quarters. Each portion of the grant will be disbursed to the grantee only after the grantee has met the Milestones agreed to in the Grant Agreement. Milestones will include actions to be taken by the grantee to implement the plan, and may include:

- Staff recruitment activities (from which 30 % women)
- Staff training/capacity building (from which 30 % women)
- Marketing campaigns
- Number of farmers reached/equipment installed/services provided (from which 30% women)
- Acquisition of inventory
- Regional expansion activities
- Product research and testing / Piloting of new products
- Building new internal teams (call center, M&E, product research)
- Partnership development (telecoms, MFIs, banks).

Benefits to smallholders, including gender and youth:

- Increase access to irrigation, especially for women, youth and resource poor farmers
- Improve income for farmers and households along value chains
- Enhance household nutritional security through various pathways
- Catalyze business opportunities for farmer organization and young entrepreneurs
- Generate local and broader agricultural-led economic growth

Benefits to private sector entities:

- Innovate ways to approach inclusive business for market growth, and social responsibility and sustainability
- Expand markets and opportunities toward increased profit and cost-effectiveness
- Catalyze investments in frontier markets
- Disrupt technology and ‘business as usual’ through innovation in new partnerships
- Enhance ‘first movers’ in green investment through sustainable & resilient agriculture
- Benefits to research community for sustainable agricultural water management:
- Lessons on effective partnerships with the private sector that generate research-based evidence to achieve higher impact
- Increase understanding of the knowledge needs of investors and ‘first movers

Benefits to governments, development agencies, financial institutions, and non-governmental organizations:

- Access evidence on suitable, relevant technologies for economically and environmentally sustainable irrigation to mainstream small or micro-level irrigation into agricultural policy and investment plans, country and continent-wide, that contribute to national food security and economic growth
- Increase knowledge on business cases, models and finance modalities for interventions and

activities that will encourage commercialized scaling of irrigated production without stifling entrepreneurial innovation of farmers and enterprises

- Strengthen capacity to improve planning, monitoring and evaluation as small scale irrigation expands

PART II: COMPONENT C – INSTITUTIONAL AND POLICY STRENGTHENING

PART I	**Introduction to the project**
PART II	**Project Components:**
	• **Component A: Dryland Management**
	• **Component B: Community Climate Resilience**
	• **Component C: Institutional and Policy Strengthening**
	• **Component D: CERC**
PART III	**Institutional and Implementation Arrangements** · Institutional Arrangements · Project Staffing · Roles of Implementing Agencies · Stakeholder Identification and Engagement Processes
PART IV	**Compliance and Safeguards**

PART II: COMPONENT C

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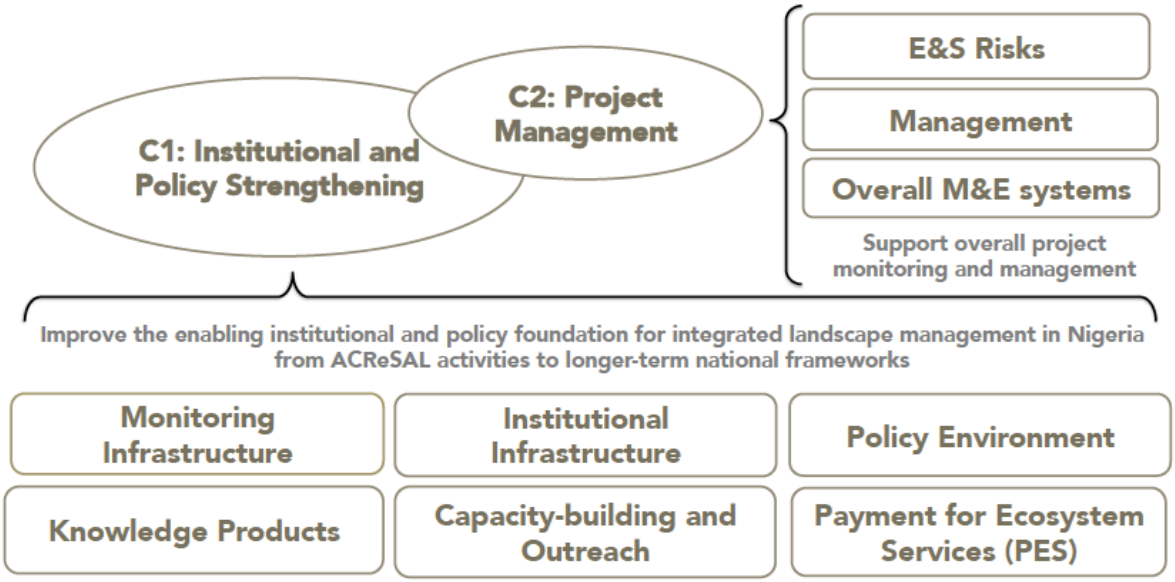
1. Component C: Institutional Strengthening and Project Management



Component C seeks to support the longer-term institutional and policy framework for integrated landscape management in Nigeria and support project management. It includes investments to improve the enabling institutional and policy foundation for multi-sectoral integrated landscape management and climate resilience, as well as support project management through the improvement and support of capacity building, communication and monitoring and evaluation systems and activities. Component C is comprised of two sub-components.

- Institutional and Policy Strengthening
- Project Management

1.1 Sub-component C1: Institutional and Policy Strengthening

Subcomponent C1 aims to improve the enabling institutional and policy foundation for integrated landscape management in Nigeria – with an initial focus on ACReSAL activities but setting the foundation for longer-term national frameworks. It is important to develop a shared appreciation of the challenges and opportunities in dryland watersheds across sectors and administrative levels and facilitate institutional convergence in a situation with many institutions working on these issues with overlapping mandates.

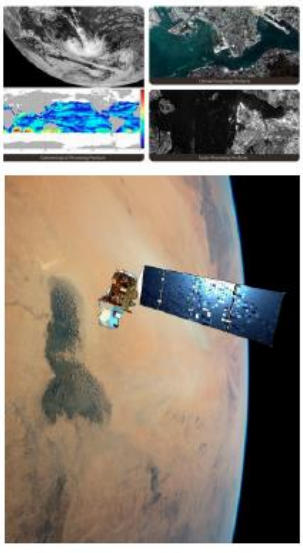
This subcomponent will build institutional capacity at the Federal, State, Local Government and Community levels to plan, implement, manage and monitor sub-projects. Specifically, this subcomponent will finance:

1. Monitoring infrastructure for building climate resilience and remote project supervision
2. Institutional infrastructural support for key agencies at federal and state levels
3. Knowledge products to allow customized access to watershed management related information
4. Policy environment improved for longer-term integrated landscape management, including the piloting of Payment for Ecosystem Services (PES)
5. Support and strengthening the Green Bond Programme
6. Capacity-building and outreach to improve youth participation and links with academia, and facilitating interactions with private sector

Although not all states will be initially eligible for physical investments (Stage 1 to Stage 3), all states in northern Nigeria are eligible for technical assistance under subcomponent C1.

Monitoring infrastructure

- Hydrometeorology, climate and weather information systems to enhance in situ monitoring
- Field equipment and laboratories
- Surveys and integration of global and regional data
- Modern earth observations (e.g. remote sensing and satellite imagery, drones, 360° cameras)
- Support remote project supervision
- Resourcing and supporting NIHSA, NIMET, NCRS and NASRDA
- Proposed Centre of Excellence for Space-based Environmental Monitoring and Assessment for Sustainable Development



This will include investments in hydrometeorology, climate and weather information systems and will enhance *in situ* monitoring (e.g. weather, surface and groundwater levels and quality, flows, soil moisture, sediment, etc.) for building climate resilience as well as sampling field equipment, surveys, laboratories, integration of global and regional data, and rescue of legacy data as well as modern earth observation (from satellites, plane/heli-borne surveys, drones, 360° cameras, etc.). These technologies will also support remote project supervision, important not only due to the current pandemic but to modernize operations spread over large areas and involving several institutions at different levels. Agencies that will be supported include NIHSA, NIMET, NCRS, and

NASRDA. An emphasis will be placed on leveraging modern technologies, such as remote sensing and satellite imagery through NCRS and NASRDA, to help institutions tackling desertification in Nigeria to benefit from rapidly evolving national, regional, and global good practices. A Centre of Excellence for Space-based Environmental Monitoring and Assessment for Sustainable Development (CoE-SEMASD) has been proposed, which could be supported.

Refer to Section 4, "Disruptive Technology", for more information on Monitoring Technology and Infrastructure.

Institutional infrastructure

- Aimed to support key agencies at federal and state level
- IT, connectivity, could services, videoconferencing and office improvements
- To set up analytics and decision-support frameworks for collaborative and multi-sectoral strategic watershed planning
- Public-domain data services, knowledge products and learning platforms

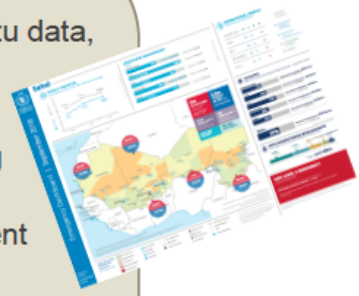


The project will support key agencies at federal and state levels with institutional infrastructure such as IT, connectivity, cloud services, videoconferencing, and office improvements. Such investments will help in setting up the analytics and decision-support frameworks (including in-situ and earth observation, online services, cloud analytics, and interactive customizable dashboards) to allow key institutions to collaborate on shared vision multi-sectoral strategic watershed planning as well as improve the provision of public-domain data services, knowledge products (with appropriate e-packaging), and learning/virtual learning platforms leveraging modern technology.

Refer to Section 4, "Disruptive Technology", for more information on Institutional Infrastructure.

Knowledge products

- Integrated multisectoral knowledge base drawing on in situ data, surveys, earth observations and other inputs
- Organised using GIS system and cloud services
- Providing key inputs to the ACReSAL watershed planning processes
- Development of analytical tools for historical trends, current status, forecasts, and future scenarios in the watersheds
- E-packaged (e.g. dashboards, portals, Apps, etc.) accessible on various devises from computers to smartphones
- Involves MDAs at federal and state level and academia



The project will finance a modern integrated multisectoral knowledge base (with key information related to climate, surface, and groundwater resources, rainfed and irrigated agriculture, topography, soils, land cover, land degradation, desertification, population, watershed infrastructure, and other social, economic, and environmental aspects of watersheds) to be created that will draw upon existing in-situ data, surveys, earth observation products, and other inputs. This will be organized using modern GIS systems and cloud services. These knowledge products will be key inputs to the project-supported watershed planning processes.

Analytical tools (including modern cloud based systems) will be developed leveraging existing tools to use these data services to generate insights on a range of aspects (water balance including rainfall, evapotranspiration, soil moisture, streamflow, groundwater, vegetation health with indices such as NDVI, agricultural productivity, erosion, and other biophysical indicators) to provide insights into the historical trends, current status, forecasts, and future scenarios (related to climate, population, investments, strategic development paradigms) for these watersheds. These will then be e-packaged in different ways (interactive dashboards to access data and knowledge resources, interactive documentation, portals, Apps, decision support systems to support planning and operations, VR/AR systems, etc.) to allow different types of stakeholder customized access (including public-domain versions) on computers, touchscreens, mobile tablets and smartphones, operational control rooms, etc.). This activity will not only involve the MDAs in Nigeria working on watershed-related activities at federal and state levels but also institutions such as the Nigeria Space Research and Development Agency and academia.

Refer to Section 4, "Disruptive Technology", for more information on knowledge products.

Policy environment

- Facilitate technical assistance and collaboration to improve the policy environment for longer-term integrated landscape management
- For example, regulations to protection and management of special ecosystems, and strategic water planning collaborations and actions

The project will facilitate technical assistance and collaboration to improve the policy environment for longer-term integrated landscape management. Policies could cover public-domain data access, regulations to protect and manage forests, wetlands and oases, biodiversity conservation, collaboration across agencies in strategic watershed planning with adequate analytical and meaningful stakeholder participation aspects, addressing specific drivers of desertification, conflict, biodiversity conservation, actions plans for species at risk, etc.

Support to the Nigerian Green Bond Programme

Since a good percentage of the activities of ACReSAL will qualify as climate change actions, the project will be expected to support the Federal Government Green Bond Program in the issuance of 'Sovereign Green Bonds' to finance green Projects in the annual appropriation act.

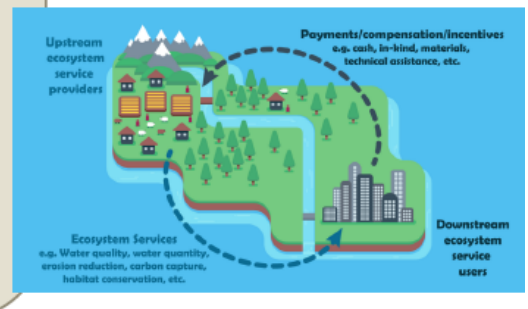
The policy directive of the Federal Government as contained in *National Development Plan 2021-25* and specifically the *FGN 2022 Budget Call Circular* signed by the Minister of Finance, Budget and National Planning, is that "**all MDAs with green projects based on their mandate and priorities are eligible to benefit from the Nigeria Sovereign Green Bond, as well as other sources of project financing as long as the project falls within the broad categories of eligibility for Green Projects and the objectives of the projects are consistent with the use of proceeds"** this will enable capital-raising and investment for new and existing projects with environmentally sustainable benefits that will have the capacity to support the meeting of Nigeria's Nationally Determined Contribution (NDC) targets of 20% emission reduction by 2030.

The Green Bond program which is currently managed by the Green Bond Secretariat under the Department of Climate Change of the Federal Ministry of Environment is a collaborative flagship

program of Federal Ministry of Finance, Budget & National Planning (FMFBNP) and the Federal Ministry of Environment (FMEnv) and was started in year 2017 with the sole funding and continued support of the NEWMAP. A measure of the success of the NEWMAP support of the Green Bond program was the eventual mainstreaming of Green Bond Financing in the National Budgeting process[39]. It should be noted that the support from the NEWMAP was and is critical to the successful and continuous operation of the Sovereign Green Bond Programme.

Payments for ecosystem services (PES)

- Pilot the use of PES mechanisms from experiences in Northern Ghana and other countries
- Tree planting activities at households with provision of planting materials and payment compensation for surviving trees
- Knowledge exchanges



For activities on private lands that are likely to bring direct benefits to local landholders in addition to their external benefits, the project will pilot the use of PES, building on the experience of similar efforts implemented under similar conditions in Northern Ghana by the Ghana Sustainable Water and Land Management Project. ACReSAL will pilot PES to encourage farm households to plant trees in a sustainable manner. Participating farmers will receive planting materials and then receive payments based on the number of surviving trees. The pilot will be designed in the first year of the project. The World Bank will prepare an initial draft plan based on the experience of similar programs in other countries, and particularly that of the PES mechanism to encourage tree planting in semi-arid areas of northern Ghana. The project could also finance a knowledge exchange with Costa Rica.

[39] Pages 17 & 18 of FGN 2022 Budget Call Circular.

Capacity Building and Outreach

- In-person and virtual training, learning events, internships, and competitions
- Foster and improve youth participation
- Involvement of academia and private sector
- Sharing lessons learned from Nigeria experiences and global good practices through events such as an annual “Watershed Moments”

The project will have a strong focus for both in-person and virtual training, learning events, internships and competitions (including hackathons, appathons, interactive blogathons) to improve youth participation and links with academia, and facilitating interactions with private sector (including tech start-ups). The stakeholder engagement platforms for data, analytics, knowledge, and learning will leverage national-level platforms for use at national, northern Nigeria, state, and local levels. This will include events such as annual “Watershed Moments” to facilitate sharing of lessons from Nigeria experience and global good practices.

Refer to ACReSAL’s Capacity Building and Outreach plans in the Project Manuals Folder.

Implementation Activities Sub-component C1: Institutional and Policy Strengthening

The ACRESAL project will implement these set of interventions through the following:

Activity/Sub-activities	Responsibility
Subcomponent C1 **Institutional and Policy Strengthening**	
1. Capacity Building Assessment/Plan · Capacity building assessment · Capacity building plan	FPMU, SPMUs and Consultant
2. Strengthening institutional infrastructure · Procurement and distribution of Early Warning Systems and ground water monitoring systems · Strengthening geo spatial information management across government sectors	NIHSA, NIWRMC, FMARD, NASRDA, FPMU,SPMU, FPMU, NMET, FMEnv, SMEnv
3. Policy improvement · Assessment of policies · Development of policies	FPMU, SPMU, Consultant, All relevant MDAs
4. Development of Knowledge Products · Procurement of Early Warning Systems and Ground water monitoring systems · Strengthening geo-spatial information management across government sectors · Production of communication / knowledge dissemination materials	FPMU, NIHSA, NASRDA
5. Strengthening and Supporting the Green Bond Programme · Support to the Green Bond Secretariat and process · Strengthening and making the Green Bond a full-fledged programme	FPMU, DCC, Green Bond Secretariat
6. Capacity Building and Outreach · Partnership arrangements with CSOs, academic institutions, private sectors, etc. · Outreach initiatives	FPMU, SPMU, CSOs, Academia
7. Support implementation of International Conventions and Protocols	FPMU, DCC

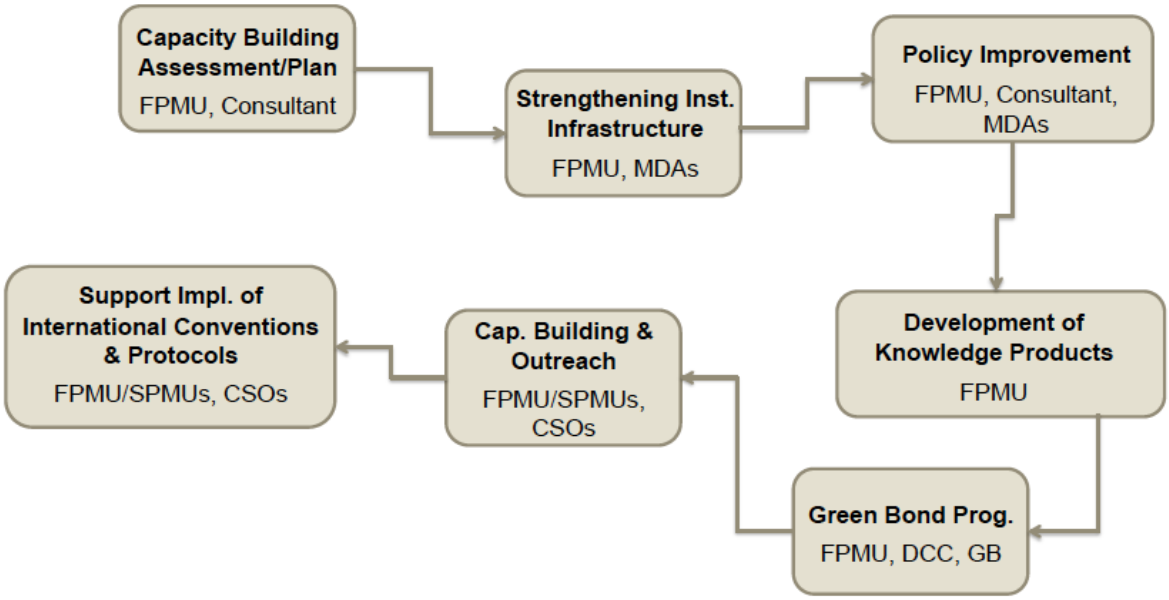


Figure 1. Sub-component C1 activity flow

1. Capacity Building Assessment / Plan

A Capacity Building Assessment (CBA) will be undertaken, and a Capacity Building Plan (CBP) for the Project will be developed through a competitively recruited consultancy by the FPMU. A CBA will assess partner MDAs[40] to identify gaps that can inhibit implementing and sustaining a national framework for landscape management. Findings from the assessment will inform the development of a Capacity Building Plan. The CBP will be used as a guide for subsequent activities in this sub-component.

2. Strengthening Institutional Infrastructure

Procurement Units of the PMUs in consultations with MDAs will procure and install goods required to strengthen their capacities. These goods and services range from ICT equipment (hardware and software) for the PMUs for advanced statistical and data mining/machine learning algorithms, an integrated multi-sectoral knowledge base with modern GIS systems and cloud services and monitoring equipment. Data management units will be constituted in FMARD, SMARD, FMWR, SMWR, FMEnv and SMEnv which will be sustained after project completion. This activity would also support relevant MDAs with emphasis placed on leveraging modern technologies, such as remote sensing and satellite imagery through NASRDA, to help institutions tackling desertification in Nigeria to benefit from infrastructural investment.

3. Policy Improvement

The consultant engaged for the CBA/CBP will also implement this activity. Policy improvement aims to assess and/or develop regulations, policy and laws on enabling environment for

[40] E.g. NiMET, NIWRMC, NASDRA, NIHSA, NCRS, FMARD, SMARD, FMWR, SMWR

sustainable watershed management and agricultural productivity. All assessments will be conducted by the consultant during the PY1 and updated during subsequent years through public dialogue and lessons learned during implementation. All relevant MDAs (F/SMEnv, F/SMARD, F/SMWR, FAO, NIHSA, NIWRMC, NAGGW, NPS, NASRDA, etc.) will be involved in this process. This activity will be implemented through PYs1-6.

4. Development of Knowledge Products

The design and development of knowledge products will draw on the communication strategy to be developed under Sub-component C2 (project management). A Management Information System (MIS) which is an important tool for effective project management and planning can also serve the information needs of the public thus supporting transparency and accountability. Therefore, this sub activity set will allow to establish and maintain a long-term MIS for Watershed monitoring, regulatory and policy decision.

The MIS will involve the integration of a Geographical Information System (GIS) and investment database, through the collection and compilation of existing watershed-related data (from NIHSA and NASDRA) to assess the availability and quality of watershed related data, and to identify data gaps.

The MIS will be maintained throughout PY 1-6 by the FPMU. Effective venues to channel the information to end users in easy, user-friendly formats include Web sites, paper maps, posters, or CDs.

Refer to Communication Strategy under Component C in Part II of the PIM and Project Manuals Folder.

5. Support to the Green Bond Programme

The Project will continue to support the Green Bond Secretariat to ensure that the administrative and institutional arrangement needed for regular issuance of the Sovereign Green Bonds are carried out on professional manner.

The Project will support the Green Bond Process through issuance of bond. In addition to the usual cost associated with preparation of bonds, Green Bonds require upfront and ongoing resources that are not recoverable through the proceeds of the Green Bond.

The Project will support the Green Bond team capacity building as may be required from time to time. Green Bond is still an emerging process expanding day in day out with addition like the Blue Bond, Social Bond etc. all with the sustainable finance sphere. Continuous capacity building is necessary to continue to ensure best practises in coordinating the Nigeria Green Bond program and process.

6. Capacity Building and Outreach

The SPMU will work with CSOs and academic institutions to improve youth participation and links with academia and facilitating interactions with private sector (including tech start-ups). The CSOs will assist the project with organizing and setting up outreach initiatives for both in-person and virtual training, learning events, internships, and competitions (including “hackathons”, “appathons”, and interactive “blogathons”).

Refer to Capacity Building summary in Section 5 and Project Manuals Folder.

7. Support implementation of International Conventions and Protocols

Support to the focal MDAs in the Ministries of Environment, Agriculture and Water Resources in implementing the mandates of international conventions and protocols including those for desertification and land degradation, bio-diversity and climate change.

- Provision of TAs to attend conventions
- Support for effective representation and participation at conventions

1.2 Sub-component C2: Project Management

This subcomponent intends to support overall project monitoring and management. It will provide support for key consultancies (e.g. to support project monitoring and management, watershed implementation support, and capacity building), as well as incremental operating costs (for specialized expertise, project-related travel, meetings, documentation, etc.) as well as systems for improving remote preparation and supervision of investments (e.g. through use of satellite imagery, drones, cameras, videoconferencing, etc.). It will also support the development of monitoring systems and dashboards and improving workflow processes to facilitate coordination across agencies at the central and state levels and public versions to improve transparency and outreach. The monitoring systems and documentation of lessons learned on an ongoing basis will be used to support adaptive project management, especially to identify activities that can be scaled up depending on implementation performance and community feedback.

The project would explore the possibility of working with partners such as the 50x2030 initiative[41] to carry out annual data gathering for decision making.

The FPMU can step in and take over the execution of any particular project in the event that there is serious interference by the State Government that could lead to projects being stalled for more than two to three months without any resolution. The intervention of the Federal PMU will ultimately be beneficial to the State on the long run as the borrowed funds with interest would be judiciously utilized thereby reducing the financial burden of the concerned states. *This approach is based on lessons learnt from the lacuna the NEWMAP project witnessed in one of the NEWMAP states.*

- Operations
- Development of strong technology-based M&E System to support adaptive project management and scaling up of activities
- Attention to fiduciary issues (procurement, FM, contract management)
- Including the implementation of ESF and citizen engagement aspects

[41] 50x2030 is a trust fund and the project is exploring to leverage on the TF for data collection.

Project Management Organisational Overview

Good project management will include requisite attention to fiduciary issues (procurement, financial management, contract management), implementing the Environmental and Social Framework (ESF), citizen engagement, and other aspects. The PIM supports detailed planning of project rollout. The Project Management Units (PMUs) will be responsible for the day-to-day management and coordination of the project. The PMUs will be a fully-integrated team led by the Project Coordinator (PC) and will include experienced professionals with diverse technical and administrative skills. The composition requirements of the FPMU and SPMUs are detailed in Part III of the PIM. The organizational overview of the PMUs are replicated at both the Federal and the State level. Figure 2 presents an example of the PMU structure at State level.

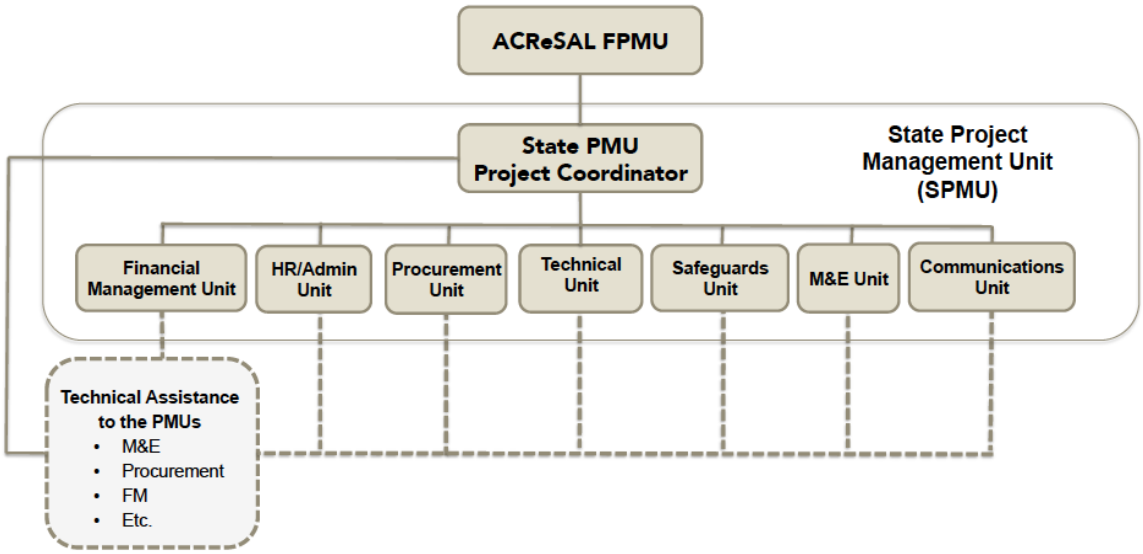


Figure 2. Organisational overview of the State Project Management Units

Internal Communication Protocols, Quality and Document Control

Protocols for letters and e-mails

I. All written communications (letters, e-mails and faxes) that are sent to parties outside the Project Management Team are to be signed by the Project Coordinator, unless written delegations have been issued by the Project Coordinator.

II. Public relations interactions or communications must be cleared by the Project Coordinator.

III. Internal communications by component leaders must be copied (cc'd) to the Project Coordinator. To avoid e-mail overload, minor operational e-mails do not need to be circulated.

IV. Component leaders must copy minutes of all meetings to the Project Coordinator.

V. Component leaders should use their discretion and communicate with other government agencies or departments on operational issues only. This will avoid a bottleneck of day-to-day operational communications going through the Project Coordinator.

Quality control

The intention of internal review is to generate fully-functional documents that are fit-for-purpose (as opposed to creating "perfect" documents), and to maximize the efficiency of processing documents through the PC's office.

- The internal review process should be quick and easy.
- The reviewer should be a colleague (a specialist is not necessary), who reads the document as a competent peer, with an eye for:
    - obvious inconsistencies
    - problematic numbering and grammar
    - obvious layout errors
    - omissions
- A simple Quality Assurance form should be included at the back of each document (e.g. progress reports and technical instructions) with the following information (Figure 3):

Name of Document:	**Date:** **Version:**
Prepared by (name):	Initial:
Reviewed by (name):	Initial:
Authorized by (name): Position:	Signature:

Figure 3. Quality assurance form

Information and Knowledge Management

An information- and knowledge-management system must be established to ensure that a full, official set of documents is housed under the control of the Project Coordinator and permanently accessible.

The system must be developed by a member of the PMU with appropriate administrative experience and project-management software capability (such as MSProject) in collaboration with all necessary PMU members.

The system:

- must include both hardcopy and digital filing systems

- ensure that digital filing system has a backup facility which is instituted and maintained by an officially delegated officer
- digital backup must be done at least once a week
- must be in a structured library with logical document-retrieval system.

Table 1. Report and document filing by category

Document Categories	Filing
Project progress reports	· Filed in chronological order · Compiled from component/activity project reports
Contract documents	· Filed by component/activity
Contract-related and contractually binding correspondence	· Filed by component/activity
Technical and routine correspondence	· Filed in chronological order · Filed by component/activity
Technical report	· Filed by component/activity
Submissions from contracted parties	· Filed by component/activity
Component progress reports	· Filed by component/activity

Table 2. Example of the timing and formats of project reports

Monthly reports	· Prepared monthly by the Component/Activity Leader · Set out the work situation of the component in brief · Expand sufficiently on matters of importance to inform discussion and subsequent decisions by the PMU
Reporting formats (for standard technical meetings)	· Prepared and updated as needed by the appropriate Liaison Officer · Include (but not limited to) the following headings: → Component/Activity Name → Progress notes comparing actual progress against planned progress as set out in the current GANTT activity charts → Progress photos to complement the report and add to the database for wider project use → Issues and challenges faced executing the previous month's work → Solutions or options to challenges and the resources needed to implement solutions (i.e. people, costs, time extensions) → Key activities to be carried out in the next 4 weeks

GANTT Chart	→ An updated GANTT chart to be submitted at least quarterly to the component/activity leader or liaison officer, or more frequently as required by the Project Coordinator

Details on project progress reports can be found under the M&E section.

Annual Work Plans and Budget (AWPB)

Operational planning is a systematic activity that enables the project team to reflect and review its progress, to re-establish clarity on its goals and put in place specific actions and revised budgets to achieve them. It describes milestones, conditions for success of activities, and defines what will be put into operation during the next fiscal year. The operational plan is the basis for the annual work plan and operating budget and is closely linked to the procurement plan and to revision of the PIM, particularly the activity sequencing and the GANTT program chart. The annual work plan should establish the activities and budgets for each part of the project for the next year in detail, but extended at least to a 3 year timeline at a lower level of detail.

Substantial detail will be provided to the operational review process from ongoing consultancy contracts, including: evaluation and monitoring, land tenure interventions, technical engineering, organizational and agricultural development, communications, environmental. RAP and GRM activities among other. The process of developing the operational plan would aim to addresses four questions:

- Where are we now compared with the previous year's targets?
- Where do we want to be at the end of next year, and in 3 years' time?
- What do we need to do to get there? (activity planning, estimation of human/financial resources)
- How do we measure our progress and what additional indicators or milestones are needed in addition to the ACReSAL project indicators?

Project Management Units at the Federal and State level will conduct their activities based on approved plans (Annual Work Plans), Procurement Plans and reports. On an annual basis, Annual Work Plans and Budgets (AWPBs) and reports will be submitted for review and approval to the World Bank not later than November 30 of the year; except for the annual work plan and budget for the Project for the first year of Project implementation, which shall be furnished no later than one month after the Effective Date. Each SPMUs will submit their pre-approved plans (Annual Work Plans), Procurement Plans and reports to the FPMU and then submits to the World Bank.

Implementation Activities Subcomponent C2: Project Management

The ACRESAL project will implement these set of interventions through the following:

Activity/Sub-activities	Responsibility
Subcomponent C2 **Project Management**	
1. Project Start-up Activities · Project Launch · Baseline Studies · GIS Mapping · NDVI Survey · Livelihood Needs Assessment · Development of Communication Strategy	FPMU, SPMU, Consultants
2. Engagement of Support Services · Engagement of consultancy firms (procurement, livelihood, M&E, Engineering, etc.) · Engagement of pool of expert advisors	FPMU, SPMU, Consultants
3. Provision and Capacity Building for PMUs Federal and State Levels · Procurement of vehicles (Federal and States) · Office equipment, ICT and other equipment (Federal and State) · Development of MIS · Design and hosting of interactive website	FPMU, SPMU, NIHSA, NASRDA
4. Development of ACReSAL Project M&E System · M&E manual including detailed implementation arrangements and templates · Detailed six-year work-plan for project implementation · Technology-based, dashboard-style MIS with off and online data entry capacity	FPMU, SPMU
5. Training Programmes · Orientation/induction training · Continuous Capacity Development	FPMU, SPMU, FTC, STC.
6. Monitoring and Evaluation Missions · Project Stakeholder review meetings · Data verification missions · Capacity strengthening missions · Baseline studies · Implementation Support Mission · Annual Supervision Mission (twice in a year for each year) · Independent stock-taking leading up to the MTR · Mid-Term Review (MTR) · Impact Assessment Study · Implementation Completion Report (ICR)	FPMU, SPMU, World Bank Team

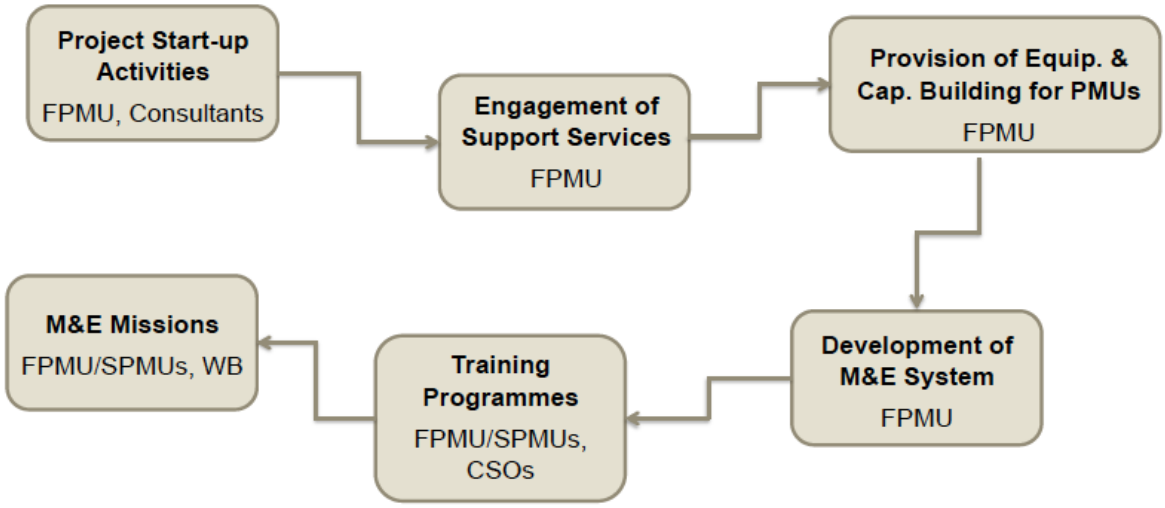


Figure 4. Sub-component C2 activity flow

1. Project Start-up Activities

These activities will be spearheaded by the FPMU and will include project launch, baseline studies [42], GIS mapping, NDVI survey, livelihood needs assessment and development of communication strategy with support from appointed consultants. At the time of development of this PIM, the ESMF, RPF, SRA, IPMF, GBV Action Plan, ESCP, SEP had been developed.

2. Engagement of Support Services

The FPMU will engage consultancy firms for procurement, livelihood, M&E, engineering, etc. as well as pool of expert advisors. A third-party M&E consultancy firm will be selected to manage the data collection for impact evaluation activities. This may be the same consultancy firm hired to assist in the setting up and implementation of the broader M&E system, and the consultancy firm will need to partner with national/local institutions. The selection process will ensure that the consultancy firm will have the requisites to collect both data at the site level (for result framework and related indicators) and at the household and individual levels (for the impact evaluation).

3. Provision of equipment and capacity building for PMUs (Federal and States levels)

The FPMU is responsible for overall coordination of project activities. Project coordination will focus on strengthening the technical and institutional capacity of the PMUs through recruitment of staff, financing operating costs and procurement of goods, travel and workshops and will be overseen by the FPMU. During PY1, the FPMU will prepare annual work plan, operationalize procurement plan, and finalize recruitment of additional staff.

[42] Baseline studies will consider lessons and best practices from similar national and best practice global projects.

A **Capacity Building Plan** should be developed with considerations to retreats, training, study tours, etc. The capacity building activities under the project are designed for implementing agencies and stakeholders. Note that for all capacity building activities, an accompanying entry must be added to the project capacity building plan, in which it is necessary to specify:

- who will attend (name, institution, profile);
- number of attendees;
- rationale for training, given project objectives; and
- cost breakdown.

4. Development of the ACRESAL Project M&E system

This activity aims to establish and operationalize an M&E system which will involve specifying baseline information, developing project indicators, establishing the Management Information System (MIS), strengthening capacity on M&E and financing the associated operating costs. The main outputs of this activity include:

1. M&E manual, which includes detailed implementation arrangements and templates (and used as a basis for the training);
2. Detailed six-year work plan for project implementation;
3. Technology-based, dashboard-style MIS with off and online data entry capacity.

During PYs 1-2, the M&E system will be established and become fully functional while all baseline studies will be finalized within the first year of effectiveness.

The FPMU will be responsible for establishment and operationalization of the M&E System. FPMU will hire an M&E consultant to work alongside the FPMU M&E specialist to undertake this activity. Planned information flows (data feeding in from state, local government and community levels) will be operationalized, and detailed training will be conducted to ensure systematic implementation.

In participating states, a field coordinator will be contracted to supervise the field activities for data collection, and for providing technical assistance for Impact Evaluation (IE) to the SPMUs. **Refer to Section 3 for more information on the ACReSAL M&E System.**

5. Training Programmes

In order to ensure effective and efficient project management as well as lay the foundation for longer-term institutional coordination and modernization in addressing integrated landscape issues and making coordinated data-driven decisions, capacity building of relevant actors across all levels is expedient.

This activity will focus mainly on training and capacity-development of the staff of PMUs, partner MDAs and communities. Institutional capacity and training needs will be assessed. Training needs assessment will be undertaken to identify the capacity needs in regard to areas such as:

understanding watershed planning concepts; planning and providing agricultural extension and business advisory service; identifying gender/social concerns, gender mainstreaming initiatives; grievance redress mechanism, etc.

Trainings will be developed and conducted for each sector and level after needs assessments are carried out. Technical skill and capacity development will be demand-driven support to implementing agencies on climate change resilience, landscape management, conflict management, financial management, administrative support, etc. Capacity-building will also involve study tours, specific studies and workshops. **Refer to Capacity Building Plan in Section 5.**

6. Monitoring and Evaluation Missions

Monitoring and evaluation missions will take place throughout the project's life-span and will occur at various levels of project management. At local and state levels, M&E missions will verify and validate data collected in the field, and provide capacity strengthening activities where necessary. At a project-wide level, M&E missions will include the following:

- Project Stakeholder review meetings;
- Implementation Support Missions;
- Annual Supervision Mission (twice in a year for each year);

M&E missions will also include specific data-collection gathering and evaluation activities including:

- Appropriate baseline studies;
- Independent stock-taking leading up to the Mid-Term Review;
- Mid-Term Review;
- Impact Evaluation;
- Implementation Completion Report (ICR).

Refer to Section 3 for more information on the ACReSAL M&E System.

2. Communication and Community Mobilization

2.1 Overview

To complement the comprehensive stakeholder engagement approach, the project will have a communications strategy that will rely on existing NEWMAP structures to lead on external stakeholders' engagement. The project-specific Communication Strategy will be developed by a consultant in collaboration with the FPMU communications specialist and enclosed in the *Project Manuals Folder.* This section of the PIM aims to provide a conceptual framework for the communication strategic approach to be adopted.

It will utilize communications approaches to raise awareness of the project, allow for participation and ensure buy-in from key stakeholders identified as well as fostering good relationships and trust with the project stakeholders (see Stakeholder Analysis and Engagement in PART III for this PIM). Key stakeholders identified for targeting through the communication strategy include farmers, community members (rural and urban), community/opinion leaders, government officials, legislators, the media, construction firms, and contractors.

Communication specialists, with support from a digital communications assistant, at both the FPMU and SPMUs will lead the public outreach and will utilize communication tools which will include multi-media products, digital and social media engagement, outreach and knowledge sharing sessions and partnerships with CSO's, the media, and think tanks to facilitate awareness and knowledge creation.

External Communication Strategy

The component will support the design of national, state, local, and community-based external communication strategies, action plans, and timelines. The strategies will be refined based on M&E and impact evaluation results (as they become available), research findings, communication audits and/or needs assessments, and participatory rural communication appraisals. Communication strategies will be updated regularly.

In addition, targeted campaigns (e.g. climate impacts) will be established as platforms for engagement. Outputs from these activities will include multi-media content such as message briefs, videos, technical briefs, beneficiary testimonials, blogs, and public events. These efforts will complement established community level engagement and the Grievance Redress Mechanism (GRM) which will contribute to mitigating negative perceptions and reputational risk by providing a two-way feedback mechanism which will further enhance transparency and accountability.

Internal and Corporate Communications

To enhance the image and credibility of the Project, increase buy-in by all stakeholders, and cultivate third party champions for the project, an internal and corporate communication strategy will be designed and implemented. This will be used to build effective communication among the project staff.

Corporate communication tools will be used to publicize ACReSAL activities and recruitment processes to institutionalize transparency and accountability and enhance the positive image of the Project. This will be achieved firstly through an ACReSAL website with links for Federal, State, local government and community activities, and secondly; through other communication tools using a variety of media, materials, and channels. **Refer to Section 1 for more details on Internal Communication Protocols, Quality and Document Control.**

2.2 What is Communication?

Communication is an instrument for partnership and participation where people interact on an equal footing leading to improved understanding by all. Yet, if ten people sit down in a room they will likely all agree on the need to communicate, but will have different ideas of what that means.

The ability to communicate is seen by some as the ability to convince other people more quickly, so that they fall in with one's own plans as quickly as possible. More commonly, people share the view that communication is a two-way process which involves **listening** and **talking**. The most powerful communicators know that developing strong listening skills leads to better, more attuned responses, engaged rich discussions, reflections and deliberations and sometimes even wholesale change to their thinking and practices.

Essentials of Communication and Mobilization

Effective communication strategies must be cognizant of the policy and legislative environment, and be linked to specific implications that are relevant to the target audiences. While many communication initiatives have succeeded in enhancing public awareness, they have failed in going beyond awareness to stimulate positive changes in attitudes and practices that lead to lasting social change.

To impact on sustainable behaviour-change among individuals and groups on a large scale, communication needs to be strategic, participatory, encourage reflection and critical thinking, be based on research evidence, results-oriented and well-funded.

2.3 Communication Objectives

An objective is a specific target that will help achieve an aim. For a communication strategy, objectives should be **SMART.**

Specific	· Define the focus of the effort (who and/or what) and what type of change is needed
Measurable	· Include a verifiable amount or proportional change that can be expected
Appropriate	· Is sensitive to audience needs and preferences and societal norms and expectations
Realistic	· Include a degree of change that can be reasonably achieved
Time-bound	· State the time-period for achieving these changes clearly

Objectives should have a single, key result. If more than one result is desired, there should be more than one objective. Each result should contribute to achieving the aim.

When establishing communication objectives, consider the following:

- What do you want your communications to accomplish?
- How can communication activities help you contribute to the project objectives?
- Is the desired outcome achievable?
- Does the desired outcome match the commitments and activities of your target audience?
- Are there barriers to change that may make the aim of the objective unrealistic?
- Are there conditions under which the objective occurs that may affect the result, such as social, economic or political factors?

2.4 Stakeholders and Target Audiences

A detailed approach to identifying stakeholders is described in the PIM Part III. Stakeholders are the groups or individuals with interest in the project. Stakeholders are defined and grouped according to their involvement in, and influence on, the project.

A target audience comprises groups of stakeholders with common characteristics. The stakeholder groups of the target audience will vary at different times, either in relation to a specific issue, or by virtue of their level of participation in ongoing planned processes.

For targeted upstream/downstream communication, understanding the target audience is important in deciding the content of the message, and how it will be communicated. When completing the target audience template (Table 3), consider the following factors:

- Can the audience be reached as a group (i.e. receive the same set of messages through the same set of communication channels), or do they need to be segmented? In most cases, the audiences will benefit from being grouped into logical interest groups (ie. ' segmented') , and your communication activities will be more effective.
- If the audience requires different types of information or motivation to promote behavior or social change, split the audience and categorize it according to information or motivation needs. If audiences are likely to identify with different spokespersons, split by effective sources of information.
- Rank audiences according to their likelihood of moving to the next behavior change; reachability; or receptiveness to hearing messages.
- When ranking audiences, note that a target audience that already practices a behavior in line with the communications objective can be encouraged to advocate the same/similar behavior to others.
- When the target audiences are identified, the next step is to define audience attitudes and perceptions, and the measures to influence behavior through strategic messaging.

Table 3. Target audience template

Rank	Audience	Description	Objective
1			
2			
3			
4			
5			
6			

2.5 Key Messages

To produce defined messages tailored to the needs of the target audiences, ask the following:

→ What do we want the target audience to know?

→ What perception do we want to create?

→ What and how do we want to critically reflect on, think about and change?

→ What do we want them to do / what actions do we want them to take?

The message development template (Table 4) provides a structured format to establish messages by ranked audiences for a communications objective. To complete this, follow the steps below:

1. List the **communications objective** for the messaging exercise.
2. Identify the **audiences** relevant to achieving the objective (by order of influence and priority) and categorize as Primary, Secondary, and Partner/Allies. If necessary, segment the target audiences further. Gather this information from the Target Audience Template.
3. List the current, **existing attitudes** and perceptions of the audience.
4. Identify the **behavior or change of practice objective** – what must the perception/opinion of the audience be, in relation to the aim of the communications objective?
5. **Messages** – What messages will achieve the identified behavioral objective?
6. **Tactics and Tools** – What tools, resources and approaches (ie. provoke critical thinking and reflection) are available now, and what is needed to initiate the messaging?

A key goal will be to create an ACReSAL "brand" which is readily recognised and understood by stakeholders. At the community level, the Project will work with the community-based ACReSAL liaisons to address community-specific information needs. This will enable the flow of information from the community to the local, State, and Federal levels, and vice-versa.

Table 4. Message development template

Objective:				
Audiences	**Existing Attitude/ Behavior**	**Change Objective**	**Message**	**Tactics and Tools**
Primary:				
Secondary:				
Partners and Allies:				

When completing the template in Table 4 above, consider the following questions for each audience:

Content

→ What are the key messages to be shared with this audience?

→ How much information needs to be provided to this audience?

→ What level of detail do they need?

→ What level of detail do they want?

→ What are they actually able to use?

→ What reading level and degree of complexity should be aimed for?

Format

→ Would they be more receptive to a printed or an electronic guide?

→ Will both types of guides be needed?

→ Will different formats be required for different audiences?

→ Will other alternative formats be needed?

Distribution and Support

→ When will the audience need the information?

→ When are they most likely to use it to help guide their decisions?

→ How will the information be disseminated?

→ What media is most likely to attract the audience's attention?

→ Where is the audience most likely to look at this kind of information?

Promotion

→ What will most effectively make the audience aware of specific issues of importance?

→ What will motivate the audience to look at the information and use it?

2.6 Communication Tools

Having derived a prioritized list of audiences, it is important to consider the most appropriate channels to reach them. This will help the frame the main communications activities defined in the strategy. The Communication Tools Template, in Table 5, provides the structure to detail this.

For each target audience, it is necessary to consider the communication channels available and the mix of these, which may include:

- internal documents;
- publicity material;
- mass media (reach a large audience in a short space of time);
- events;
- telecommunications;
- electronic/digital;
- interpersonal communication (one-to-one communication); and
- community-based communication (reach a community/village/neighborhood with common

interests and characteristics).

The focus of the communication channel mix will depend on whether the target audience needs to be reached quickly, frequently, or both.

Communication channels: To reach a target audience quickly where individuals are spread over a large area, the best communication channels are those which reach large numbers of people in a short time-period, such as radio, television, social media and community events.

Local languages: Whichever communication tools are used, it is important to consider local and any alternative languages which should be included for translation.

An effective communication channel mix balances factors, such as the **size of the audience** reached with the **cost** of reaching this audience. It is important to choose channels that fit the message brief, have the greatest impact, and reach the largest portion of the target audience.

Table 5. Communication tools template

COMMUNICATION TOOL TEMPLATE		
Audience	**Communication Channel**	**Communications Tools**
Audience A	Internal Documents	*List as appropriate*
	Publicity Material	*List as appropriate*
	Media Relations	*List as appropriate*
	Events	*List as appropriate*
	Electronic/Digital	*List as appropriate*
Audience B	Internal Documents	*List as appropriate*
	Publicity Material	*List as appropriate*
	Media Relations	*List as appropriate*
	Events	*List as appropriate*
	Electronic/Digital	*List as appropriate*

For each channel selected, communication tools can be defined. Tools are the tactics used to send messages through the channels to achieve the objectives. It is important to consider and evaluate the following:

- How do the tools work?
- What tools work best to achieve the objective?
- When should the tools be used?
- Are there sufficient resources to finance these tools?
- Can the stakeholders (target audience, partners, etc.) to use and manage these tools?

The evaluation process should be used to strengthen and broaden the tools, so that they are continually improved.

When developing performance indicators to assess the communication strategy's ongoing performance, consider the following:

- Have the objectives been achieved? (e.g. Was awareness create/increased?)
- Was the correct audience reached?
- Were the right tools used?
- Did the audience understand the message?
- Were decisions taken as a result?
- Were the communication costs on budget? If not, why not?

Communication Template

The communications template shown in Table 6 is developed as the final output from the approaches outlined in this section, and covers all elements necessary for pulling together the strategy. Full details of communications activities are developed into a working project plan, including specific deadlines and responsibilities. The communications plan is a living document and needs regular review and update.

Table 6. Communications Template

Communication Template			
1. Objective Summary/statement of objective – concise, clear, engaging and user-friendly			
2. Key Messages A clear detailed statement of the key messages, aligned with the objective			
3. Key Audiences Detailed description of key audience			
4. Target audience ranked by importance		**Channel of communication**	
5. Achieving objectives – working project plan			
Activity	Budget/resources	Deadline/timeframe	Success criteria
Internal documents			
	Subtotal		
Publicity material			
	Subtotal		
Media relations			
	Subtotal		
Events			
	Subtotal		
Telecommunications			
	Subtotal		
Electronic/Digital			
	Subtotal		
6. Evaluating Success			
Performance Indicator		**Outcome**	**Next Steps**

2.7 Success Criteria

Performance indicators are measures of the strategy's inputs, outputs, impacts and outcomes that are monitored during strategy implementation to assess progress toward strategy objectives. Performance indicators are applied as a logical means to review and refine the strategy and keep it a living, flexible document that supports the overall communication objectives. The PMUs and support consultants must establish and review indicators as shown in Figure 5.

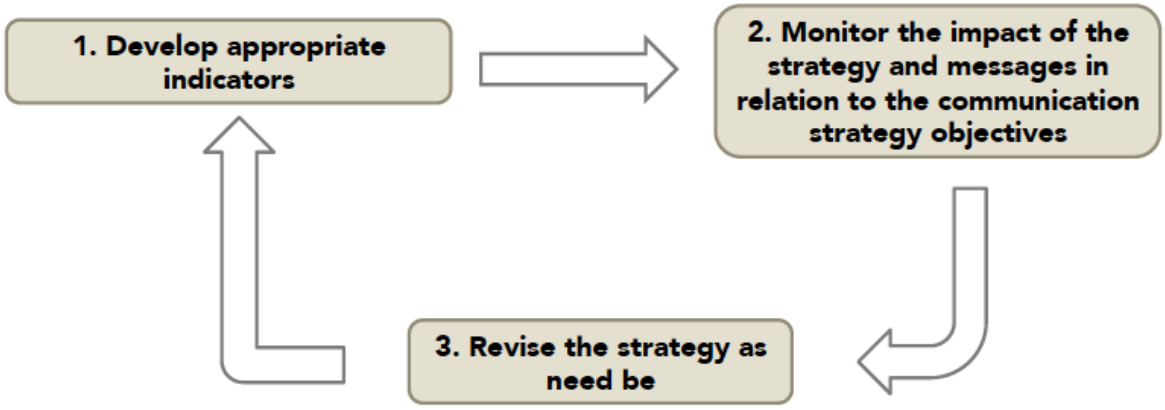


Figure 5. Cycle of indicator establishment, monitor and revision

Indicators are also used later to evaluate the success of the communication strategy. Indicators organize information in a way that clarifies the relationship between the expected inputs, outputs, impacts and outcomes, and help to identify problems along the way that can be resolved to increase the chance of project success.

2.8 Implementation Arrangements

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To achieve the communication objectives, a National ACReSAL Communication Specialist and a Digital Communication Assistant will be appointed as part of the FPMU, and this person will head the FPMU's Communication Unit. This arrangement will be mirrored at the State level.

The National Communication Specialist will also work at local levels in key sites, working closely with State and Local Government Areas. A sustained community mobilization and participation approach is supported under Component C which includes communication work as well as integrated into Component B activities namely, decision-making and microwatershed planning

processes and livelihoods, to name a few. An NGO or other community liaison and support professional(s) will be secured to interact with participating communities.

Digital Communication

- Involves online communication and social media platforms for strengthening internal staff and team functioning as well as outreach and awareness raising purposes.
- Uses online channels from websites to mobile chat groups to blogs adhering to user and information management protocols and controls
- Digital specialists are responsible for creating online brand assets to building an engaged social media audience

Roles and Responsibilities

All Communication and Mobilization activity or sensitization plans and designs should be forwarded to the Communication Specialist (FPMU) for necessary inputs and assessment prior to implementation. The responsibilities of the Communication and Mobilization Specialist (FPMU) and the Communication and Mobilization Officer (at the State PMUs) shall include but not be limited to those presented in Table 7.

Table 7. Example of Communication Roles and Responsibilities

ROLES and RESPONSIBILITIES	PERFORMED BY	REMARKS
Day-to-day communication activities (viz.: advertorials, press coverage, media relations and public/community relations) of the Project Management Unit.	**Communication Specialist (FPMU)** & **Communication Officer (SPMU**)	Communication Specialist (FPMU) to provide a general framework and capacity building programme for ACReSAL Communication Team.
Identify and engage an umbrella NGO on community mobilization Grassroots social mobilization to complement National Communication and Mobilization Strategy	**FPMU Communication Specialist** **SPMU's Communication Officers**	A ToR for this category must be designed by the Communication Specialist (FPMU) and adopted by relevant states, which are to key into the communication and Social mobilization /sensitisation work plan. The SPMU's will recommend for engagement relevant local CBO's (NGOs) that will engage the locals in the catchment areas when need arises.
Design and implement a communications strategy to influence social change and for the ACReSAL project using available	**Communication Specialist/** **Communication**	Communication Specialist/ Communication Officers to collaborate with Umbrella NGO with inputs in this specific task.

ROLES and RESPONSIBILITIES	PERFORMED BY	REMARKS
baseline studies on public perceptions and the communication-based assessment to achieve management objective(s).	**Officers**	
Help provide communication mechanisms for linking the participating government agencies at the various levels and ensuring fluid, proactive and sustainable interaction among the various stakeholders.	**Communication Specialist (FPMU**) **Communication Officers (SPMU**)	
Prepare the communications plans, timelines and budgets.	**Communication Specialist/ FPMU** **Communication Officer/SPMU**	States to prepare with input by Federal.
Generate themes and core take-away messages, and determine which communication channels would be suitable to reach each segment of the audience towards achieving social change.	**Communication Specialist** **Communication Officers**	
Explore and develop a functional partnership between ACReSAL and key media organizations as well as some select State broadcast stations, to strengthen message delivery processes.	**Communication Specialist/ Communication Officers**	State to generate a database of such media organizations taking cognizance of the local environment.
Create and manage the ACReSAL Project's website, operate and engage good "Digital-Media" channels of communication such as Face book, Twitter, Flicker, Blogs, YouTube, etc.	**Communication Specialist FPMU and Digital Assistant**	There will be only one website to which all news and events from the states are expected to feed-in. It should be such that states can regularly send in their inputs for uploading.
Organize and coordinate periodic workshops/trainings for community and social mobilization officers and other such stakeholders on ACReSAL.	**Communication Specialist/ FPMU/ SPMU**	Federal and States should collaborate on the training modules and resource persons for periodic workshops/trainings.
In collaboration with M&E officers, develop a monitoring and feedback mechanism to ensure the success of communication programs.	**Communication Specialist/ Communication Officers**	

ROLES and RESPONSIBILITIES	PERFORMED BY	REMARKS
Establish partnerships and liaisons with organizations (Community Based Organizations, Civil Society Organizations and Non-Governmental Organizations).	**Communication Officers**	Communication Officers at the states are expected to forge greater alliance with these groups. States to liaise with Federal on this.
Coordinate protocol activities of the PMU.	**Communication Specialist/ Communication Officers**	
Disseminate information on social mobilization and sensitization activities.	**Communication Specialist FPMU/ Communication officers of Respective State PMU's and Digital Assistant**	SPMU's/ Communication officers to liaise regularly with the local NGO's ensuring that the local NGO's/CBO's work in accordance with ACReSAL Objectives.
Monitor the media for mentions and comments on ACReSAL and compile reports for the attention of Project Management.	**Communication Specialist/ Communication Officers**	FPMU/SPMU

Communication Officers have a critical role to play in documenting, reporting and disseminating information within the project and to the larger public. They should therefore work hand in hand with other Officers to ensure that adequate information is attained, and is effectively communicated.

Mobilizing Partnerships

The Federal PMU and State PMUs will establish and strengthen partnerships with MDAs including the Ministry of Information and Communications, National Orientation Agency (NOA), Civil Society Organizations (CSOs), Non-Governmental Organizations (NGOs), Community Based Organizations (CBOs), State Ministries of Agriculture, River Basin Development Authorities, Agricultural Development Projects (ADPs), and National Emergency Management Agency Communication Offices in the implementation of the communication program.

The communication specialist will work hand-in-hand with the community sensitisation and mobilization actors as part of a single coherent effort. Each State will develop and implement an action plan.

The project-specific Communications Plan will be developed by a consultant in collaboration with the FPMU and enclosed in the *Project Manuals Folder.*

3. Monitoring and Evaluation System

3.1 Overview

Monitoring and Evaluation (M&E) represents a core component of project implementation, entailing the tracking of project activities and results, which are needed to ensure effective achievement and sustainability of the Project Development Objective (PDO). The project-specific M&E system and manual will be developed by a consultant in collaboration with the FPMU M&E specialist and enclosed in the Project Manuals Folder. This section of the PIM aims to provide a conceptual framework for the M&E approach to be adopted.

The M&E system will support results-based and adaptive management to guide project implementation and compare and verify results, serve as a mechanism for periodic assessment of project performance, provide a learning platform and feedback loop for project stakeholders to strengthen their contributions, and engage the public in supporting and contributing to the goals of the project. The approach, therefore, will also reinforce multi-sector and multi-scale implementation.

The project will employ a strong technology-based M&E system, leveraging virtual interconnections and virtual field visits, regular and customized e-reports, and possibly even the development of a project mobile app to facilitate monitoring, adaptive management, and communications.

BOX I. Monitoring, Evaluation and Learning (MEL)

An effective M&E system encompasses both monitoring and evaluation, and channels results into learning, thus facilitating adaptive management responses to project implementation.

- ***Monitoring*:** Ongoing systematic and continuous assessment of project and identification of shortcomings, which facilitate corrective measures and adaptive project management more broadly.
- ***Evaluation:*** Determines the net contribution of the project towards targets and broader goals within the project area by using a set of indicators, baseline values, and a counterfactual group.
- ***Learning:*** The learning insights that emerge are documented as part of a project knowledge base that is then fed back into investment design and implementation, including future/similar investments. It requires a culture of reflectivity, collaboration, and adaptive planning and management within the project.

Information Management Systems

M&E data should be open-access to the greatest extent possible to support greater transparency and improved project governance. The M&E system will employ a range of technologies and approaches to ensure accurate and timely data collection. Examples of such technologies and approaches include in-situ sampling, surveys, and measurements, locally appropriate, and participatory data collection methods, and remote sensing technologies including Geographic Information System (GIS) technologies.

The reporting of data from various sources will be supported by a web-enabled, computerized management information system (MIS) and, wherever necessary and possible, it will be integrated into the overall MIS of the implementing agencies. The MIS will:

1. make provisions for simple and user-friendly data entry opportunities accessible both on and off-line and through the use of desktop and mobile devices to track activities and sites at field level, by component, sub-component and by state, which can then be consolidated at state and national levels for reporting, including dashboards;
2. track project implementation such as clearance of designs, status of physical works, status of Safeguard instruments, and monitoring of Results Framework indicators;
3. assist to keep detailed records of activities, outputs, and expenditures against the agreed joint annual work programs, and following standard formats including robust financial monitoring;
4. have a simplified flow of data entry, enabling users to easily enter data, filter and analyze information for dashboard reporting.

In sum, the Project will support an analysis of software options relative to management information requirements and potential for ICT automation, procurement, customization to ACReSAL, field testing and system roll-out, and ongoing technical support for maintenance, including further adaptation and refinement.

Implementation Arrangements for M&E

The M&E system will function as a combination of M&E units at the federal level including the FPMU in the Federal Ministry of Environment (FMEnv), the Federal Ministry of Water Resources (FMWR), and the Federal Ministry of Agriculture and Rural Development (FMARD), together with various M&E units in SPMUs, community-level M&E structures, and an external third-party M&E consultant.

Table 8. M&E Implementation Arrangements

FPMU M&E Unit
The FPMU M&E Unit will track all aspects of Project implementation. The Unit will have operational responsibility for planning and coordinating all M&E activities including: · defining, monitoring, and verifying the implementation arrangements across the project including operational guidelines, workflows, and processes; · conducting the aggregation, harmonization, and analysis to monitor key results indicators across the project, extending from progress to outcome indicators; · providing inputs to inform adjustments in operational design; · providing capacity building to relevant actors alongside, · in-field monitoring to track implementation and outputs of selected project activities; · documenting through formal technical notes, including case studies and lessons drawn from the program, to further inform the operationalization and implementation of the project; · publishing implementation progress reports for review by officials alongside development partners to monitor and report on the project's physical progress and financial disbursements alongside KPIs compared to baseline targets and overall project objectives. The FPMU will employ an M&E Specialist to coordinate with other MDAs and SPMUs including for gathering, collation, analysis, dissemination, and reporting of evidence-based information/data. The M&E Specialist responsibilities are described in the TOR outlined for this position in Appendix XVIII.
SPMU M&E Unit
The SPMU M&E Unit will be responsible for overall tracking of Project activities in respective states. The SPMU M&E Unit will be responsible for: · coordinating all M&E activities in the state; · overall coordination with the FPMU M&E Unit; · ensuring the timely and accurate collection and reporting of relevant data; · collaborating with state level-stakeholders; and · building capacity of community-based organizations. To achieve effective tracking and reporting, effective synergy and collaboration of all Units within the SPMU is critical. Each SPMU will be resourced with an M&E Officer and supported by a MIS and GIS Officer.
COMMUNITY-BASED MONITORING
Community-based Monitoring, through ICT-enabled platforms, will provide specific and accurate information from communities on the ground. In turn, such platforms will allow government to

provide citizens with real time information and updates, and enable citizens to give feedback or raise concerns about different issues. The adoption of mobile networks and technologies for monitoring purposes, even in rural areas, is widespread.

- The project will support the development of an ICT enabled, SMS based, community mapping, monitoring, reporting and complaints system.
- The system will be tailored to serve the information needs of communities, project teams and the government.
- Community generated data will be fed into the project MIS and broader Spatial Knowledge MIS and will serve as a continued cross check on activities supported under the project.

INDEPENDENT THIRD PARTY M&E SERVICE PROVIDER

A qualified third party entity will be engaged to lead the development and operation of the overall M&E system, working in collaboration with and raising the capacities of:

- project M&E units of the federal and state PMUs,
- participatory local community M&E actors,
- FMEnv, FMWR, and FMARD,
- MDAs responsible for front-line data collection,
- existing academic entities, and
- existing platforms such as Nigeria's National Technical SLM Committee involving FME, FMWR, NIMET and others, and currently chaired by FMARD.

Progress Reports

The M&E Specialist at the FPMU is responsible for generating:

i. implementation progress reports in the form of quarterly reports, semi-annual implementation progress reports, annual performance reports, and other updates/briefs as deemed necessary by the FPMU.

ii. All reports should highlight the progress toward achieving the PDO by reporting on all PDO-level and Intermediate Results Indicators and other relevant indicators.

iii. Additionally, progress reports should include information on physical and financial progress, documentation of activities, implementation bottlenecks being experienced, lessons drawn from both achievements and challenges encountered, and proposals for addressing implementation challenges.

iv. All progress reports should be published on the project's website. Copies will be sent to the WB and other development partners upon request.

M&E Progress Report Format

1. Introduction
2. Summary of achievements
3. Implementation progress by component;
4. Implementation challenges and recommendations; and,
5. Updated matrices on the work plan, the Results Framework, training, and financial information.

Implementation support and supervision missions

Project level supervision missions:

- The World Bank, with the support of the FPMU, will take a lead role in planning and organizing project implementation support and supervision missions. Supervision missions of ACReSAL should be authorized by the Project Coordinator before they take effect. The basis for monitoring, evaluation and supervisory mission should at all times be an approved annual work plan.
- Supervision missions will take place twice in each year of implementation, and will entail a qualitative and quantitative review of the progress made to date, with the objective of identifying issues that may arise and impede the progress of implementation with respect to each of the components.
- Missions will make recommendations to tackle issues encountered, which will be included in an after-activity report entitled *Aide Memoire* to be submitted to all component managers. The *Aide Memoire* will be prepared by the mission lead (i.e. World Bank) and will be used as a follow-up tool on all issues affecting project progress.

Federal and State-level supervision missions:

- At the Federal level, supervision and implementation support missions to States should be institutionalized and conducted quarterly so as to handhold, verify, and validate information.
- At the State level, supervision to sites and communities should also be institutionalized and should be conducted at least once a month in close collaboration with key officers of the SPMU. This will entail quantitative and qualitative monitoring, providing pictorial and geospatial evidences within sites and communities.

Communication Officers have a critical role to play in documenting, reporting and disseminating information within the project and to the larger public. They should therefore work hand in hand with other Officers to ensure that adequate information is attained and is effectively communicated.

Results Framework (see also PIM Part A)

The Results Framework (RF) for the Project has long-term higher-level indicators, as well as intermediate outcome indicators. The Results Framework includes indicators and sub-indicators relating to, for instance, land area under sustainable landscape management practices, social inclusion, citizen engagement, climate co-benefits, and the grievance redress mechanism performance.

3.2 Monitoring and Evaluation Approach

ACReSAL will extensively build from and strengthen the M&E system developed for NEWMAP, which is based on two main components: i) **concurrent progress monitoring** (ongoing tracking and assessment of inputs, outputs, results, and key processes); and, ii) **discrete monitoring** (e.g. impact evaluations) at periodic points throughout the project. The M&E system will also include: participatory monitoring; baseline studies, thematic studies, and case studies; and, action learning, all designed to assess performance against key indicators.

Concurrent progress monitoring

Concurrent progress monitoring (results monitoring, and process monitoring and pathway analysis) will to a large extent, track and assess implementation progress against *timescales* and *targets*, and resource use against *budgets* on both quarterly and annual bases.

Results monitoring

- Input-output monitoring (updated in real time where possible or alternatively – monthly – and reported quarterly and annually) will track the efficiency and effectiveness of project interventions.
- Inputs (investment costs and quantities of specified inputs) will be compared with outputs actually achieved against annual targets.
- Shortcomings in target achievement will then guide further analyses to determine how performance can be improved.
- Findings of internal input-output monitoring will be validated where necessary on a semi-annual basis.
- For some indicators and activities (especially physical works), remote sensing will complement field surveys.

Process monitoring and pathway analysis

Process monitoring will address critical processes directly related to the project's objectives.

Monitoring of these types of processes will be combined with 'pathway analyses' to more systematically study and analyse the factors leading to achievement or non-achievement of project intermediate outcomes. The performance of the implementing agencies and key partners will also be measured through regular surveys and participatory methods to assess activities according to agreed standards.

Additional information on the Results Framework indicator "Women-led/owned enterprises, cooperatives, and farmer groups receiving financial and technical support" should be collected with regards to the type of investments are made with the funds, and the efficacy of investments in increasing income. **All indicators should be disaggregated by sex where possible.**

Impact evaluation (discrete monitoring)

Impact evaluation *determines the net contribution of a project component or intervention towards targets and broader goals* within the project area by using a set of indicators, baseline values, and counterfactuals.

The project will scope the potential to include a rigorous impact evaluation, preferably randomized control trial, to assess the extent to which specific project interventions directly caused anticipated outcomes. Working with the World Bank's Africa Gender Innovation Lab, the team will focus on studying the impact of innovative gender-focused programming under the Project's Community Revolving Fund activities.

Examples of possible impact evaluation studies include estimating the impact of (i) the community revolving funds on access to finance, investment, and agricultural production of farmer/community groups; (ii) the inclusion of women in CRF Management Committee leadership positions on CRF lending to women's groups; and (iii) digital CRF management on equitable access to finance, loan recovery, and fund sustainability. The specific research questions will be jointly determined together with key project stakeholders.

Impact Evaluation Implementation Arrangements

The team will work closely with the project management unit and other project stakeholders, through an initial impact evaluation workshop and regular consultations, in order to identify the potentially innovative interventions to pilot and evaluate. These workshops will also help to develop

study designs that will outline the research methodologies and, in particular, detail the selection of appropriate counterfactuals. The precise final selection of innovations to be tested and the design of the impact evaluation studies will be determined during the initial phase of project implementation. During this process, the interest of the project management unit and other stakeholders as well as feasibility concerns will guide the work of the impact evaluation team. The final IE design will be reflected in key impact evaluation documents such as the IE concept note which will be subject to peer review.

Impact Evaluation Data Collection

Key impact indicators will be defined in conjunction with multi-sector management units, the FPMU, SPMUs, and relevant Federal and State Ministries in each state participating in the impact evaluation. Whenever possible, data on these indicators will be collected through the project's M&E system. It will, however, likely be necessary to collect complementary data through impact evaluation-specific surveys. This is due to the need to collect detailed information on household and individual-level indicators, which typically cannot be done through the standard M&E system. Furthermore, all data will be collected in both treatment areas that receives the intervention as well as control areas that do not.

While the empirical analysis will be carried out by impact evaluation experts from the World Bank, the data collection will necessarily be contracted out to an organization/firm with extensive experience and local capacity in the administration of large-scale surveys. The impact evaluation is subject to funding and the identification of policy relevant research questions as well as the feasibility of a suitable rigorous research design. A field coordinator will be contracted to supervise the field activities for data collection and implementation, and provide IE technical assistance to the SPMUs.

Participatory M&E

Participatory M&E tools will be developed and used for gathering local information on institutional performance, community-oriented interventions, and major physical works such as gully rehabilitation. Proposed methods of participatory monitoring for institutional performance in ACReSAL include:

Citizen report cards

These will be used to assess the performance of key implementing agencies at field level. In specific terms, report cards can be used to:

- generate citizen feedback on the degree of satisfaction with the project-related services provided by various public service agencies;
- establish credible benchmarks to track project implementation progress over time;

- catalyze citizens to adopt pro-active stances to request better accountability, accessibility and responsiveness from project service providers, contractors, and implementing agencies;
- serve as a diagnostic tool for service providers, external consultants and analysts/researchers, to facilitate effective prognosis and therapy; and
- encourage public agencies in the project to adopt and promote citizen friendly practices, design performance standards and facilitate transparency in operations.

Care needs to be taken to ensure that citizen report cards are themselves produced with a degree of transparency that concurrently protects citizens' privacy to avoid potential retaliation against low scores.

Self-assessment processes

Civil Society Organizations (CSO) and Community Based Organizations (CBOs) self-assessment processes can be used to:

- evaluate how effectively they are performing relative to project-related functions;
- gauge of institutional maturity;
- gauge inclusiveness;
- enhance transparency;
- enhance accountability to project implementation, etc.

Results will be used to develop capacity building strategies.

Community-based monitoring

For major physical works such as shelterbelt construction, it is envisioned that participating communities will be assisted to adopt simple ICT approaches to monitor levels of completeness relative to disbursements, and overall quality of the work.

These techniques could also be applied to major physical works in surrounding watershed areas, such as soil and water management structures (check dams, bunding, water storage, etc.). Monitoring equipment for community groups may include GPS-enabled digital cameras used to upload regular photos to the project's on-line MIS, as well as low-cost weather balloons outfitted with GPS-enabled digital cameras to provide geo-located images at a wider scale.

Such work can also have an ancillary benefit in serving as a valuable environmental education experience for the community members, and in particular, students.

Thematic studies and case studies

Thematic studies will supplement and complement other monitoring components by

- validating of information on indicators of the results framework; and
- providing analytical inputs which go beyond routine monitoring functions.

The need for thematic studies will emerge as the project progresses results of process monitoring and external quality monitoring indicate a need for specific studies. Specialized organizations with expertise in areas to be studied will be invited for planning and conduct of these studies, to be supervised by the implementing agency at the national level. Possible thematic and case studies may include:

- Socioeconomic baseline study;
- GIS Study;
- NDVI baseline study;
- Policy and legal framework assessment;
- Institutional capacity assessment, etc.

Action learning, documentation and reflection

The proactive documentation of processes, case-studies, best practices, and lessons learnt from project experience will be undertaken. These will be shared with stakeholders and political institutions to raise awareness and build support for project activities. Documentation will be a continuous process throughout the project duration and will support internal learning and help project authorities to be responsive to ongoing monitoring.

The effectiveness of internal learning will depend upon the degree of institutionalization of learning among the various levels of project organizations and communities. A considerable part of learning will take place through structured participatory workshops associated with semi-annual and annual reviews and planning sessions at various levels.

The project will also participate in regional, continental, and global mutual learning events.

- → ACReSAL's participation is expected in support of the Great Green Wall, and TerrAfrica's continental learning events on sustainable land management.
- → South-south exchanges may be set up with the "Making Every Voice Count for Adaptive Management" (MEV-CAM) initiative to promote a learning-by-doing approach for monitoring and disseminating knowledge, lessons learnt and experience.
- → A newly established Women Community of Practice called WeCaN may also present opportunities for empowering women. This Community of Practice will

make use of existing national and regional networks and integrate these networks into a well-organized cluster with the specific objective of extracting and disseminating knowledge, lessons learned and experiences among the South-South Cooperation countries.

- → Other opportunities may be found in India and China, which have had success in large scale landscape and watershed rehabilitation through Bank-financed operations.
- → Globally, the Food and Agriculture Organization of the United Nations (FAO) Committee on Forestry has established a working group on dryland forests and agrosilvopastoral systems, which has specific goals to advance monitoring and assessment in dryland forests and agrosilvopastoral systems.

ACReSAL will strengthen the capacity of the country to collect, store, share and manage data related to management of desertification, erosion, climate change, watersheds, and water-resources, and agricultural, and transform this data into usable information across stakeholders to underpin and plan their actions. It is proposed to work with the Dryland Restoration Initiative Platform (DRIP) and FERM to collect, manage, and analyze global restoration efforts. Creating these data partnerships can instil a culture of open information and mutual learning, and a shift toward more evidence-based decision making on investments and policies.

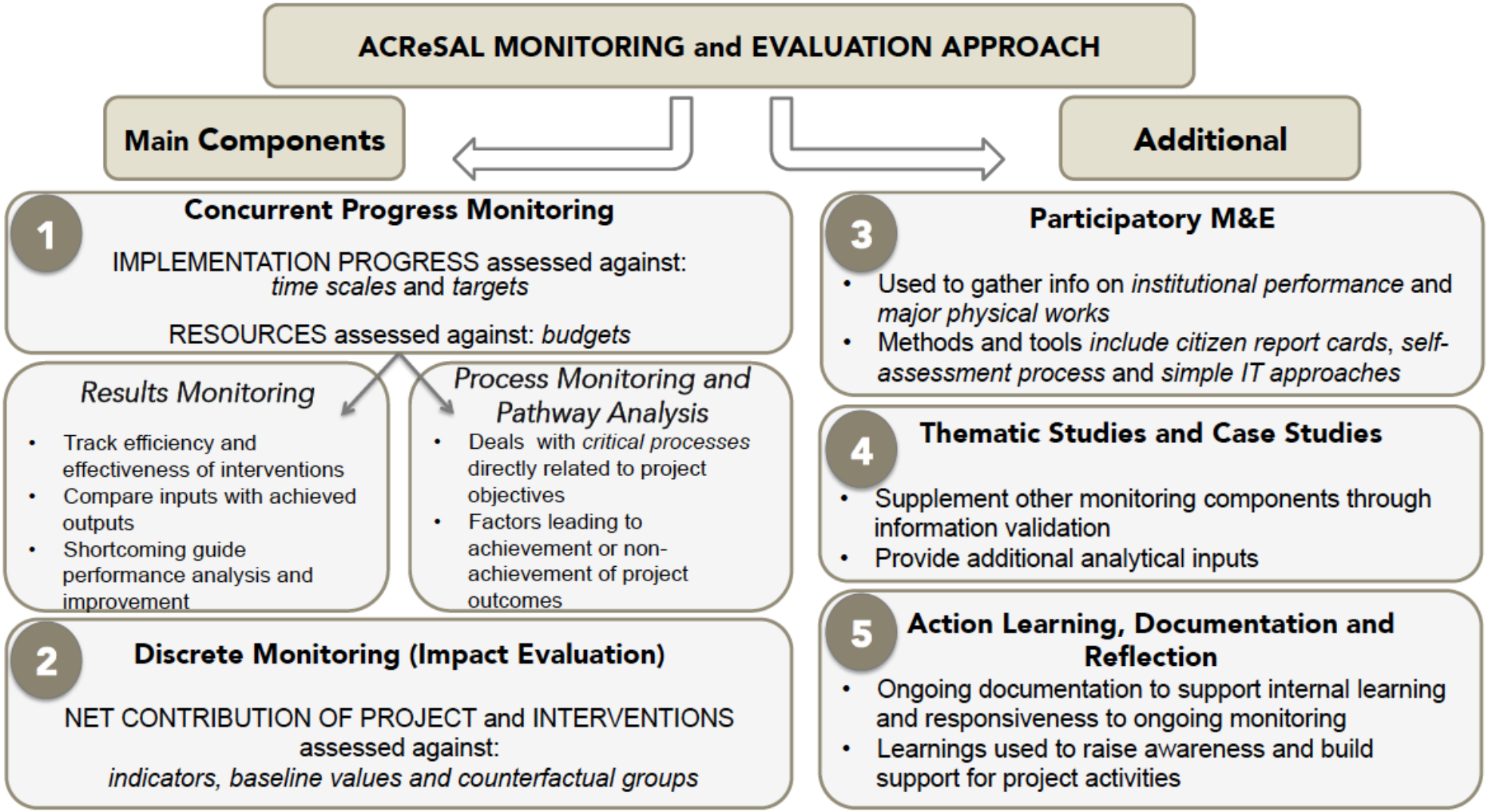

Figure 6. Summary of the Monitoring and Evaluation Approach

4. ‘Disruptive’ Technology and Data Acquisition Systems

The project will finance a modern integrated multi-sectoral knowledge base (with key information related to climate, surface, and groundwater resources, rainfed and irrigated agriculture, topography, soils, land cover, land degradation, desertification, population, watershed infrastructure, and other social, economic, and environmental aspects of watersheds) to be created that will draw upon existing in-situ data, surveys, earth observation products, and other inputs. This will be organized using modern GIS systems and cloud services. These knowledge products will be key inputs to the project-supported watershed planning processes.

Analytical tools (including modern cloud based systems) will be developed leveraging existing tools to use these data services to generate insights on a range of aspects (water balance including rainfall, evapotranspiration, soil moisture, streamflow, groundwater, vegetation health with indices such as NDVI, agricultural productivity, erosion, and other biophysical indicators) to provide insights into the historical trends, current status, forecasts, and future scenarios (related to climate, population, investments, strategic development paradigms) for these watersheds. These will then be e-packaged in different ways (interactive dashboards to access data and knowledge resources, interactive documentation, portals, Apps, decision support systems to support planning and operations, VR/AR systems, etc.) to allow different types of stakeholder customized access (including public-domain versions) on computers, touchscreens, mobile tablets and smartphones, operational control rooms, etc.). This activity will not only involve the MDAs in Nigeria working on watershed-related activities at federal and state levels but also institutions such as the Nigeria Space Research and Development Agency and academia.

REFER TO ANNEX XVIII FOR DETAILS ON COMPONENT D - CERC

PART III: INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS

PART I	**Introduction to the project**
PART II	**Project Components:**
	• **Component A: Dryland Management**
	• **Component B: Community Climate Resilience**
	• **Component C: Institutional and Policy Strengthening**
	• **Component D: CERC**
PART III	**Institutional and Implementation Arrangements** · Institutional Arrangements · Project Staffing · Roles of Implementing Agencies · Stakeholder Identification and Engagement Processes
PART IV	**Compliance and Safeguards**

PART III

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1. ACReSAL Institutional Arrangements

ACReSAL is a large and complex project with many different actors who will need to play key roles in its implementation. The Federal Ministry of Environment (FMEnv) will be the lead implementing organization and will collaborate with the Federal Ministry of Water Resources (FMWR), the Federal Ministry of Agriculture and Rural Development (FMARD) and other relevant MDAs.

The involvement of other ministries and states and the multisectoral nature of the project requires innovative approaches to implementation - Figure 1 presents the implementation organogram for the ACReSAL project as:

- ***Federal Project Management Unit (FPMU)*** will be responsible for the overall supervisory activities of the Project. The FPMU will be hosted by the Federal Ministry of Environment and headed by the National Project Coordinator with support from other MDAs.

- **A *Federal Steering Committee (FSC)*** and ***Federal Technical Committee (FTC)*** will provide overall policy and technical guidance respectively. The FSC will be chaired by the Minister of Environment, co-chaired by the Ministers of Agriculture and Rural Development and Water Resources, and will include the Federal Ministry of Finance, Budget and National Planning (FMFBNP), Commissioners of the Environment of the Participating States, and other state- and federal-level MDAs as appropriate

- ***State Project Management Unit (SPMU*)** will be responsible for the overall supervisory activities of the Project at the State level. The SPMU will be hosted by the State Commissioner of Environment and headed by the State Project Coordinator.

- **A *State Steering Committee (SSC)*** and ***State Technical Committee (STC)*** will provide overall policy and technical guidance respectively. The SSC will be chaired by State Commissioners for Environment and includes Permanent Secretaries of Finance, Agriculture, Water and other sector representatives. The STC will be chaired by the Permanent Secretary of the Environment and including relevant Directors of Agriculture, Water and other sector representatives.

- At the community level, a ***Local Implementation Committee (LIC)*** headed by the relevant Local Government Chairperson, will support inclusive participation and promote local ownership of project activities. Whenever possible, the project will use existing community-led structures and planning processes, e.g., those developed under NEWMAP and FADAMA, to ensure strong community engagement based on principles of transparency, participation, accountability, and enhanced local capacity. Finally, as needed at individual sites, site committees will coordinate implementation.

Further details on implementation arrangements for specific project components or subcomponents are included in Section 3.

Table 1 presents a summary of ACReSAL Institutional arrangements

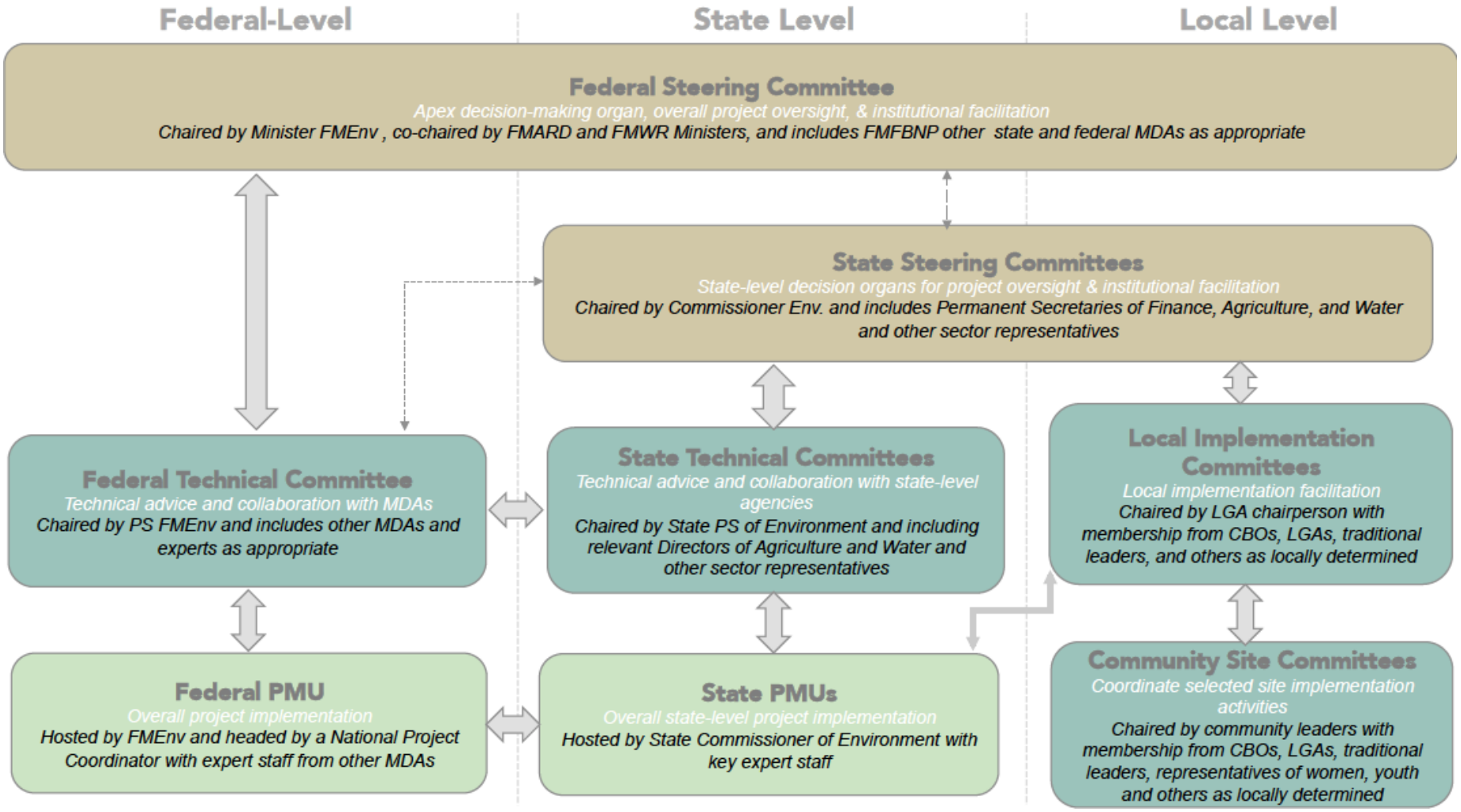

Figure 1. Implementation Organogram of ACReSAL

Table 1. ACReSAL Institutional and Implementation Arrangements

ROLE	STRUCTURE	RESPONSIBILITY
FEDERAL STEERING COMMITTEE *Intervals:* **The FSC will meet at least twice a year**		

ACReSAL will be led by a Steering Committee at the Federal Level, the Federal Steering Committee (FSC). The FSC is the apex decision-making body for the project and will provide strategic guidance, direction and oversight to the project.	***Chair:***
	Honourable Minister of Environment (FMEnv)
	
	Co-Chair:
	Honourable Minister of Water Resources (FMWR) and the Honourable Minister of Agriculture and Rural Development (FMARD). Also, include the FMFBNP, Commissioners of Environment of the Participating States, and other relevant MDAs.
	
	Secretary:
	National Project Coordinator
	
	Members:
	· **National Emergency Management Agency (NEMA)**
	· **Federal Ministry of Environment, also:**
	  · Forestry Department
	  · Department of Climate Change
	  · Department of Drought, Land Degradation and Desertification Amelioration (DLD&DA)
	  · Erosion, Flood and Coastal Zone Management (EFCZM)
	  · Nigeria Environmental Standards and Regulation Agency (NESREA)
	· *Federal Ministry of FMWR, also:*
	  · Nigeria Hydrological Services Agency (NIHSA)
		· Approve Joint Annual Work Program (in the AWP each activity identifies a lead MDA).
		· Provide guidance to Federal Technical Committee and Federal PMU.
		· Ensure conformity with national sector and development planning.
		· Provide sector, policy and project harmonization.
		· Nurture multi-sector and multi-State dialogue.
		· Take decisions on recommendations forwarded by the FTC and FPMU.
		· Determine State readiness to participate in project activities according to readiness criteria.
		· Approve fulfilment by states of the eligibility criteria.
		· Review M&E reports and Interim Reviews and decide on course corrections, activities to be continued or dropped, and changes in project financing.

ROLE	STRUCTURE	RESPONSIBILITY
	· Integrated Water Resources Management Commission (IWRMC) · Department of River Basins Operation · *Federal Ministry of Agriculture and Rural Development (FMARD), also:* · *Department of Agricultural Land & Climate Change Management Services* · *Federal Department of Agriculture* · *Department of Animal Husbandry Services* · Agricultural Extension Services Department · *Federal Ministry of Women Affairs* · *Federal Ministry of Finance (FMoF), Budget and National Planning* · *Nigeria Meteorological Agency (NIMET)* · *National Space Research and Development Agency (NASDRA)*	
FEDERAL PMU ***Intervals:*** Day-to-day basis *Reporting:* The FPMU will submit quarterly reports to the Federal Technical Committee and additional briefing during the bi-annual National Project Performance and Review meetings		
The overall supervisory activities of the Project	The FPMU will be hosted by the FMEnv and headed by the National Project Coordinator with support from other MDAs	· Act as Secretariat to the Federal Technical Committee. · Manage Joint Annual Work Program exercise with Federal MDAs, including development, supervision, and monitoring of the work program. · Recommend to the Federal Steering Committee if States can continue to access financing for site interventions via performance-based criteria. · Manage and oversee the procurement process for Federal Procurement of Goods, Works and services. · Support, advise and supervise. Federal MDAs on implementing specific tasks, including procurement of goods, works, non-consulting services and consultancy services with full collaboration with the relevant MDAs. · Support the procurement implementation of the State PMUs. · Support, advise and supervise. State PMUs on environmental and social

ROLE	STRUCTURE	RESPONSIBILITY

		risks analysis, mitigation and management plans and on overall environmental and social issues including but not limited to gender based violence, sexual exploitation and labour influx.
		· Support, advise and supervise State PMUs on the process of livelihood Enhancement/Alternative Activities.
		· Oversee and supervise the use of geo-spatial tools and technologies in implementing project activities and management.
		· Backstop State PMUs (organise multi-state learning events and help convene experts via the Expert Advisory Services Pool).
		· Project monitoring and evaluation (M&E):
		  · Aggregate State M&E and information.
		  · Report to national and international levels.
		  · Carry out overseeing of site M&E independently as needed.
		· Impact evaluation.
		· Project communications and advocacy.
		
		The FPMU may, from time to time, recruit international or national Consultants (individuals, institutions or firms) as necessary, to strengthen project planning and management.

FEDERAL TECHNICAL COMMITTEES *Intervals:* **Meet at least quarterly**		
The technical committee provides a multi-sector advisory and consultative platform to review technical submissions, synthesize information, and insights on project preparation and implementation issues.	***Chair:*** Permanent Secretary (PS) of FMEnv ***Representation:*** Directors from MDAs and technical agencies (NIHSA, NIWRMC, NASRDA and NiMet) ***Secretary:*** National Project Coordinator ***Members:*** · *Federal Ministry of Environment, also:*	· Review and update Joint Annual Work Program for Federal ACRESAL activities. · Develop inter-sectoral MOUs if needed. · Review Federal PMU reporting. · Inform and advise the FSC on decisions that need to be taken.

ROLE	STRUCTURE	RESPONSIBILITY
	○ Forestry Department ○ Department of Climate Change ○ Department of Drought, Land Degradation and Desertification Amelioration (DLD&DA) ○ Erosion, Flood and Coastal Zone Management (EFCZM) ○ Nigeria Environmental Standards and Regulation Agency (NESREA) · *Federal Ministry of FMWR, also:* ○ Nigeria Hydrological Services Agency (NIHSA) ○ Integrated Water Resources Management Commission (IWRMC) ○ Department of River Basins Operation · *Federal Ministry of Agriculture and Rural Development (FMARD):* ○ Department of Agricultural Land & Climate Change Management Services ○ Federal Department of Agriculture ○ Department of Animal Husbandry Services ○ Agricultural Extension Services Department · *Federal Ministry of Women Affairs* · *Federal Ministry of Finance (FMF)* · *Nigeria Meteorological Agency (NIMET)* · *National Space Research & Development Agency (NASDRA)* · *National Emergency Management Agency (NEMA)*	
STATE STEERING COMMITTEES *Intervals:* **Meet minimum twice per year**		
The SSCs are the apex decision-making bodies for the operation in each participating State.	***Chair:*** State Commissioners for Environment ***Representation:*** Permanent Secretaries of Finance, Agriculture, Water	Each SSC is responsible for: · Considering and approving the State Joint Annual Work program at the first annual meeting. · Providing guidance to the State Technical Committee and SPMU. · Nurturing multi-sector dialogue.

ROLE	STRUCTURE	RESPONSIBILITY

	and other sector representatives. Other members shall include heads of relevant agencies and departments.
	
	Secretary:
	The State Project Coordinator
	
	Members:
	· *Ministry of Water Resources (MWR) representing also the:*
	  ○ Nigeria Hydrological Services Agency (NIHSA)
	  ○ Integrated Water Resources Management Commission (IWRMC)
	  ○ *The Department of River Basin operation*
	· *Ministry of Agriculture and Rural Development (MARD)*
	· *Ministry of Lands*
	· *Ministry of Urban Development*
	· *State Emergency Management Agency (SEMA)*
	· *Ministry of Women Affairs*
		· Ensuring conformity with state sector and development planning.
		· Sector, policy and project harmonization.
		· Taking decisions on recommendations forwarded by the State Technical Committee and SPMU.
		· Appointing independent M&E consultants to monitor sites.

STATE PMUS *Intervals:* **Day-to-day basis**		
The overall supervisory activities of the Project at the State level.	The State Project Management Unit (SPMU) will be hosted by the SMEnv and headed by the State Project Coordinator.	· Acting as Secretariat to the State Steering Committee. · Acting as Secretariat to the State Technical Committee. · Managing the Joint Annual Work Program exercise with State MDAs, including development, supervision, and monitoring of the work program. · Managing the procurement of goods, works, consultancies and non-consultancy services at the State level including civil works. · Ensuring the development of sound environmental and social risks analysis of sub-projects and ensuring that appropriate mitigation/management plans (ESIAs, ESMPs, RAPs) are prepared, reviewed, cleared, disclosed and implemented according to national laws and relevant World Bank policies. · Ensuring that all livelihood enhancement analysis are properly conducted and that plans/activities (LNA) put in place are environmentally sound and in line with the PDO.

ROLE	STRUCTURE	RESPONSIBILITY

		· Putting in place and managing an effective grievance redress mechanism.
		· Supervising and ensuring that contractors put in place measures and adequate plans to mitigate and manage issues of labour influx, sexual exploitations and abuse as well as gender-based violence.
		· Supervising the consultancy of State Focal NGOs.
		· Supervising consultancies for State and sub-State level activities (with lead MDAs).
		· Use of geospatial tools and technologies to analyse and record geographic data which will be applied to the project management.
		· Assisting lead State MDAs to implement specific tasks, including procurement and disbursement.
		· Providing a backstop to LGAs by, for example:
		  · Organizing multi-LGA learning events.
		  · Convening experts (such as the Federal Expert Advisory Services Pool).
		  · Providing expert review of LGA TORs and activities.
		
		· Conducting State-level M&E:
		  · Overseeing and aggregating intervention site M&E and reporting to Federal levels.
		  · Carrying out M&E of sites and other State activities.
		  · Participating in the impact evaluation (depending on State)
		
		· Carrying out program communications and advocacy at State level.

STATE TECHNICAL COMMITTEES *Intervals:* **Meet at least quarterly**		
The State technical committee provides technical advise	***Chair:*** Permanent Secretary (PS) of SMEnv ***Representatives:*** Directors of Agriculture, Water, and other sector representatives ***Secretary:*** State Project Coordinator	· Review and update Joint Annual Work Program for federal ACReSAL activities (each activity identifies a lead MDA); · Develop inter-sectoral MOUs if needed; · Review SPMU reporting; and · Inform and advise SSC on decisions that need to be taken.

ROLE	STRUCTURE	RESPONSIBILITY

	Members:
	· *Ministry of Water Resources (MWR) representing also the:*
	  o Nigeria Hydrological Services Agency (NIHSA)
	  o Integrated Water Resources Management Commission (IWRMC)
	· *The Department of River Basin operation*
	· *Ministry of Agriculture and Rural Development (MARD)*
	· *Ministry of Lands*
	· *Ministry of Urban Development*
	· *State Emergency Management Agency (SEMA)*
	· *Ministry of Women Affairs*	

LOCAL IMPLEMENTATION COMMETTEES *Intervals:* **Day-to-day basis**		
The overall supervisory activities of the Project at the Local Government level	The LICs will be chaired by the Local Government Area. Chairperson and will be staffed with a broad range of expertise relevant to project implementation activities. The LICs staff should be competitively selected or appointed based on merit/track record and following the WB procurement procedures.	· Acts as liaison to their SPMU and MDAs. · Provide support to stakeholder analysis and identification for implementation activities. · Co-ordinate of stakeholders for a for Watershed Planning process. · Facilitate the implementation of the Watershed Management Strategies. · Disclosure and dissemination of Watershed Plan. · Report to the SPMU on the LGA's progress towards meeting intervention targets. · Supervise maintenance of intervention works.
COMMUNITY SITE COMMITTEES *Intervals:* **Day-to-day basis**		
Site Committees are formed where a site intervention is implemented.	These committees are formed from community actors, representatives from registered CBOs, LGAs, traditional	· Community sensitization and social mobilization. · Assisting communities engage in meaningful participatory watershed

ROLE	STRUCTURE	RESPONSIBILITY
	leaders and representatives Community Interest Groups such as women, youth and others locally relevant. Non-governmental organizations (NGOs) will be deployed as needed to assist in community mobilization and participation. The LPIC Technical Officers will provide additional support to the community and act as liaisons to the LGA. ***Chair:*** The Site Committee will be chaired by a democratically elected member of the group. ***Members must reside in the community*** ***Membership / leadership processes must avoid elite capture***	planning and implementation. · Identification, selection and implementation of vegetative land management sub-projects. · Supporting project to identify, select and implement livelihood sub-projects. · Mobilization of cooperative labour for works. · Developing community-owned processes for identifying and resolving conflict. · Recruitment of a local facilitator from within the selected community. · Identifying training needs and organizing training events. · Providing support to the project for participatory monitoring. · Participate in ensuring adequate and timely resolution of grievances of PAPs.Ensures that social values are not interfered with. · Enrues that social values are not interfered with. Note: include Operations and Maintenance Committee in Site Committees

Working Arrangements/MOUs

Deployed ministry staff and consultants (engaged only as needed) will constitute both the Federal and State Project Management Unit. The FPMU and SPMUs will have appropriate capacity to lead, facilitate, and support project implementation at federal and state levels, including for overall project management, procurement, contract management, financial management (FM), environmental and social (E&S) issues, data analytics, and monitoring and evaluation (M&E), environment and natural resource management, agriculture and water.

The NEWMAP staff from various MDAs would be retained for the ACReSAL Project through a screening protocol before admission into ACRESAL. Additional officer(s) may be deployed from the MDAs to support the existing staff if need be.

Individual project components, sub-components, and activities will be implemented through relevant ministries, departments, agencies, states, and local governments, as appropriate.

FMEnv will sign a memorandum of understanding (MoU) with each federal-level MDA. Subsidiary agreements will be signed with participating states, which will each establish a State Project Management Unit (SPMU).

Each component, subcomponent, and activity will be overseen by the FPMU / SPMU in collaboration with relevant MDAs, including those responsible for environment, agriculture, water resources, works, forests, parks, wetlands, and emergency response, as well as those focused on climate change, climate and hydrological information or watershed/basin regulation. Some investments, e.g., those related to inter-state water resources or national parks, would need to be implemented at the federal level. Implementation details would rely on **annual joint work programs** at both Federal and State levels, as further detailed in Component C – PART II. Nongovernmental stakeholders will also have important roles in the implementation of the project.

Quality assurance will also be enhanced through independent ACReSAL expert advisors, who will be a pool of leading international and national experts including academic institutions specialized in disciplines such as geotechnical and civil engineering, dams, watershed planning, hydrology, and ecosystem monitoring. The expert advisors will be pre-qualified and contracted by the FPMU to be deployed anywhere in the project at federal, state, and local levels to enhance supervision and raise project quality and investment sustainability.

ACRESAL implementation will require effective inter-ministerial and inter-state coordination, collaboration, and information sharing. Memoranda of Understanding (MOUs) will clarify the collaboration between the FMEnv and relevant MDAs; a single MOU covering all MDAs has been produced. In the event of poor compliance with MOUs, the Federal Steering Committee would be expected to intervene to seek a solution, in accordance with national procedures. MOUs define

roles and commitments in terms of staff allocations and resources – **see Annex XIX for a copy of the ACReSAL inter-ministerial MOU.**

2. Project Staffing

2.1 Staff Positions (Federal, State and Local)

Three categories of project staff will be involved in direct implementation of the ACReSAL Project. These will include:

- FPMU staff deployed from Federal MDAs
- SPMU staff deployed from State MDAs
- LIC members which will constitute of the Local Government technical officers and members of communities.

- ✓ **Access to appropriate expertise through various avenues (e.g. government personnel, consultants, internships, etc.)**
- ✓ **Where possible bring on board government staff for continuity, institutional knowledge, internal capacity building, etc.**
- ✓ **Consultants and external services should only be recruited when required (either individuals or firms) and follow procurement procedures and subjected to the requirements of Environmental and Social safeguards for the project, including Gender-Based Violence (GBV), Security and Fraud and Corruption risks as needed.**

A generic Staff Selection and Screening Checklist will be developed and enclosed in Annex XX.

Table 2. PMUs Staff Composition Requirements

Federal Project Management Unit (FPMU)	State Project Management Unit (SPMU)
1. The FPMU team will come from a mix of MDA postings and the open market if the capacity required does not exist within the civil service. 2. FPMU staff should be competitively selected or appointed based on merit/track record and following the WB procurement procedures. 3. Key members of the team can only be replaced through a request for approval by the FSC. The request must be accompanied by a substantial justification for the replacement. The replacement must equally follow a merit-based selection process.	1. The SPMU staff should be competitively selected or appointed based on merit/track record and following the World Bank procurement procedures. 2. Processes will follow WB regulations, including no objections for the various stages for competitive selection, as well as no objections for appointment for the position. 3. Key members of the team can only be replaced through a request for approval by the SSC. The request must be accompanied by a substantial justification for the replacement. The replacement must equally follow a merit-based selection process and follow
National Project Coordinator	**State Project Coordinator**
Project Focal Officers[43]	**Project Focal Officers**[44]
HR / Administrative Unit · Human Resources and Administrative Specialist · Human Resources and Administrative Assistants[45] · ICT Officer · Other Support Staff · Internship / NYSC	**HR / Administrative Unit** · Human Resources and Administrative Officer Human · Resources and Administrative Assistants[46] · ICT Officer · Other Support Staff · Internship / NYSC
Financial Management Unit · Financial Management Specialist · Account Assistants	**Financial Management Unit** · Financial Management Officer · Account Assistants

[43] Three (3) Project Focal Officers to serve as desk officers and liaison to Ministries of Environment, Agriculture and Water Resources. They will serve as representatives of the Ministries, attend management meetings at the Federal level, participate in all field visits and report back to the ministries accordingly.
[44] Three (3) Project Focal Officers to serve as desk officers and liaison to Ministries of Environment, Agriculture and Water Resources. They will serve as representatives of the Ministries, attend management meetings at the State level, participate in all field visits and report back to the ministries accordingly.
[45] Reception, Executive Assistant, Administrative Officer
[46] Reception, Executive Assistant

Federal Project Management Unit (FPMU)	State Project Management Unit (SPMU)
· Project Internal Auditor · Audit Assistants	· Project Internal Auditor · Audit Assistants
Procurement Unit · Procurement Specialist · Procurement Assistants	**Procurement Unit** · Procurement Officer · Procurement Assistants
Technical Unit · Project Engineer · Assistant Project Engineers[47] · Climate Change Specialist · Climate Change Assistants · Natural Resource Management Specialist · Natural Resource Management Assistants · Agricultural Specialist · Agricultural Assistants · Water Resource Specialist · Water Resource Assistants · Drought and Desertification Control Specialist · Drought and Desertification Control Assistants · Forest Management Specialist · Forest Management Assistants	**Technical Unit** · Project Engineer · Assistant Project Engineers[48] · Climate Change Officer · Climate Change Assistants · Natural Resource Management Officer · Natural Resource Management Assistants · Agricultural Officer · Agricultural Assistants · Water Resource Officer · Water Resource Assistants · Drought and Desertification Control Officer · Drought and Desertification Control Assistants · Forest Management Officer · Forest Management Assistants
Safeguards Unit · Environmental Safeguards Specialist · Environmental Safeguards Assistants · Social Livelihood Specialist · Social Livelihood Assistants · Legal Officer/ Grievance Redress Specialist · Gender Based Violence Specialist · Security Management Specialist	**Safeguards Unit** · Environmental Safeguards Officer · Environmental Safeguards Assistants · Social Livelihood Officer · Social Livelihood Assistants · Legal Officer/ Grievance Redress Officer · Gender Based Violence Officer · Security Management Officer
Monitoring and Evaluation Unit · Monitoring and Evaluation Specialist · M&E Assistants x 2 · GIS Specialist · MIS Officer	**Monitoring and Evaluation Unit** · Monitoring and Evaluation Officer · GIS Officer · MIS Officer
Communication Unit · Communications Specialist · Digital Communication / Media Assistant	**Communication Unit** · Communications Specialist · Digital Communication / Media Assistant

[47] Based on needs
[48] Based on needs

Terms of Reference for the above personnel and specialists are included in Annex XXI.

Table 3. Local Implementation Committee Members

Local Implementation Committee (LIC) Members	
The LIC staff should be competitively selected or appointed based on merit/track record and following the WB procurement procedures.	
· Committee Chairperson · Secretary[49] · LG Technical Officer (Environment) · LG Technical Officer (Agriculture)	· LG Technical Officer (Water Resources) · LG Technical Officer (Social Welfare) · Traditional Leaders of project targeted areas · NGOs, CSOs and Representatives of local associations

2.2 Recruitment Procedures

Selection of deployed civil servants will be through transparent and competitive recruitment exercises based on competence and professional qualification. **Such a position must have been included in the Annual Work Plan, which must include the estimated cost and duration of the recruitment and to be funded from the operating cost.**

Table 4. Recruitment Steps and Guidelines [50]

Basic recruitment steps for each position to be filled		
1	**Develop TOR**	The TOR must emphasize the following key requirements: ✓ cognate (similar/related) experience in specific areas of interest ✓ relevant qualifications ✓ credible and verifiable referees
2	**Seek clearance**	Seek clearance for the TOR and advertisement of this position (No objection) from the World Bank through the Project TTL
3	**Advertise position**	Advertise the position in 2 national/local main newspapers and internal circulars for at least 2 weeks. Technical Assistant positions must be advertised internationally
4	**Ensure gender quality**	Ensure that recruitment processes encourage gender equality

[49] The secretary can be selected from Environment, Agriculture or Water Resources depending on the priority of the intervention site or availability of officer

[50] Also refer to *Procurement Procedures for Selection of Consultants* and *Management of Contractors and Consultants* in PART IV of the PIM and the generic *Screening Checklist* available in Annex XX.

Basic recruitment steps for each position to be filled		
5	**Screen applications**	Screen all applications to identify a top tier of individuals who meet all minimum requirements
6	**Identify best candidates**	Review work experience, key accomplishments, education, background, experiences and knowledge and identify through who best match the job requirements
7	**Conduct interviews**	Conduct the initial interviews. Use the same interview questions/topics for each position to ensure the process is fair and consistent
8	**Check references & notify the WB**	Check two or three of the professional references for one or more of the finalists. Notify the WB through the TTL of the selection of finalists
9	**Short list best candidates**	Shortlist the best candidate and invite for contract negotiation
10	**Forward results to WB**	Forward interview results to the WB for consideration and No Objection
11	**Issue letter of appointment**	Issue letter of appointment, stating the conditions for appointment
12	**Keep records**	All documentation must be kept for WB's future review

2.3 Code of Conduct

The goals of ACReSAL project require that all who work for the institution should observe the highest standards of professional ethics. Every staff has a responsibility to contribute to the good governance of the ACReSAL project and should help maintain its reputation for correctness, integrity, and impartiality. Some basic principles to keep in mind are:

Figure 2. Code of Conduct Guidelines

An ACReSAL generic Code of Conduct will be available in Annex XXII adhering to Labour Management procedures, Security Management measures and GBV/SEA/SH action plans.

If in doubt ... seek advice before you act. You may consult the documents provided by the ACReSAL project and address any questions to your supervisor or to the Human Resources Department for further clarification. When found in a situation that may lead to any form of misconduct, always remember to ask yourself these questions:

- Is it legal?
- Does it feel right?
- Will it reflect negatively or positively on me or the ACReSAL project?
- What would a reasonable person think about my action?

- → Would I be embarrassed if others knew I took this action?
- → Is there an alternative action that does not pose an ethical conflict?

Conflict resolution

Unit Heads have a responsibility to make themselves available to staff members who may wish to raise concerns in confidence and to deal with such situations in an impartial and sensitive manner. Unit Heads should endeavour to create an atmosphere in which staff feels free to use, and without fear of reprisal, the existing institutional channels for conflict resolution, and to express concerns about situations which are, or have the potential to be, conflictive.

The FPMU/SPMU staff and consultants will be informed of the applicable grievance procedure to adopt in their contracts or terms of employment.

Engagement with external activities

Permission from ACReSAL would need to be granted to engage in any outside employment, occupation, business activity, or profession outside the project. The ACReSAL would not object to your engaging in such an activity, provided that

(i) it does not interfere with your ability to perform your regular work for the ACReSAL;
(ii) it is compatible with the ACReSAL's rules on staff conduct;
(iii) it does not create a conflict of interest; and
(iv) it does not violate applicable immigration rules. Your request should be cleared with your department and forwarded to HR department, with the endorsement of your department.

You may participate in volunteer activities of a community or charitable nature without advance clearance. However, if you are in doubt as to whether an activity you are contemplating would run counter to the criteria in (i)-(iv) above, you should seek advice from the HR department.

Post-ACReSAL Employment

Staff members who separate from the ACReSAL, or are on leave status, including leave without pay, are expected to observe the respective ACReSAL rules on use or disclosure of confidential information. In particular, staff members who separate from the ACReSAL should not use or disclose confidential information known to them by reason of their service with the ACReSAL and should not contact former colleagues to obtain confidential information. ACReSAL employees are prohibited from providing confidential information to former colleagues, who should be treated like any other outside party.

2.4 Staff Welfare and Development

To grow Project Ambassadors and Effective and Capable Teams!

Staff capacity and capability enhancement is an integral aspect which directly influences the achievement of tasks, deliverables, and objectives. This means that the required tools and knowledge are essential to achieving results. Capacity development and supervision support plans have been factored into the project activities with the aim to develop project staff capability to successfully achieve the aims of project. Description of these activities are described in detailed in PART II under Component C.

On the other hand, staff welfare is critically important which is needed to boost morale and the well-being of personnel. The Project should pay maximum attention to the following:

- Prompt payment of staff salaries.
- Prompt payment of performance allowances that is ***commensurate with international standards***, this is highly emphasized and applies to all staff of Federal and State PMUs.
- As the Project poses great risks and hazards, it is strongly recommended that hazard allowance be paid to staff.
- Healthcare packages such as insurance (and other welfare packages) should be accommodated in the Project. In cases where healthcare insurance packages are not available, this should be accommodated in the performance allowance package of staff.
- Other welfare packages that are necessary should be provided to all staff.

2.5 Staff & Performance Management

The dedicated project staff recruited for specific assignments will adhere and be evaluated in accordance with the terms and conditions of their recruitment. However, the extant *Public Service Rules* will apply for all deployed civil servants (who receive their salaries from the civil service) in relation to conditions of service, promotion and discipline of deployed staff.

Deployed civil servants should maintain their seniority and will be eligible for promotions as their counterparts in their parent MDAs. Normally, they should not suffer any loss of seniority, promotion or advancement as a result of their deployment to the project.

However, deployed civil servants to the project are to be regulated and managed according to the following staff and performance management arrangements.

Management Regulations and Disciplinary actions

Deployed civil servants shall be retained with the project for the life of the project. They are not to be transferred or withdrawn from the project, except on retirement from the Service or on grounds of disciplinary action due to “Gross” misconduct as defined in the Public Service Rules, and in any case, without the prior agreement of the FSC and the World Bank.

“Gross” misconduct

- Ineffectiveness and inability to meet with set targets as evidenced by two consecutive performance evaluations;
- Corrupt practices or fraudulent acts inimical to the good implementation of the project;
- Undisciplined actions (indolence, quarrelsomeness, habitual lack of punctuality, refusal to carry out lawful directives) which makes it impossible for the staff to work effectively and productively in the project team.

Project Staff Disciplinary Processes

1. A project staff member can only be **removed from office** if found guilty of gross abuse of office (e.g. corruption, incompetence and negligence of duty) causing serious disruption of the project activities, and after no objection from the Bank.
2. **Due diligence** must be exercised to establish the guilt of such a staff member in accordance with the rules of the Government of Nigeria.
3. Staff members who err must be **queried**.
4. After two (2) queries of the same staff member, that person should be presented to the **disciplinary committee** for investigation, and appropriate disciplinary measures must be determined.

No disciplinary action shall be taken against any staff without giving them the opportunity to be heard and defend themselves.

All disciplinary action taken on a seconded staff shall be ratified by the FSC and agreed to by the World Bank.

Target Setting and Evaluations

Project staff shall thoroughly understand their job descriptions, and the objectives of their appointment. Every staff shall draw up an **Annual Action Plan (AAP)** (in line with the project’s AWPB), detailing activities to be carried out during the coming year, objectives or goals, measurable results or targets to be achieved. The AAP will also set out "SMART”[51] indicators for

[51] SMART indicators should be Specific, Measurable, Achievable, Relevant and Time-bound.

monitoring and periodic evaluations of results achieved. Staff AAPs should be prepared and approved by the implementing unit coordinator early enough before the commencement of the following Fiscal Year.

Staff performance evaluation shall be based on the achievement of the respective staff's AAP. Performance evaluation shall be on a half-yearly (six months) basis and shall be carried out with the Coordinator of the Implementing Unit. Transparent criteria shall be developed for staff evaluations. The results of such evaluations should be fed back to the staff for improvement in the light of the overall project implementation and achieving the PDO. The staff performance evaluation will also serve as the basis for the staff benefitting from the Productivity Allowance and /or other performance incentives.

Productivity Allowance and Performance Incentives

Salaries of deployed civil servants are not eligible for project support, but the project will employ productivity allowances developed to reward performance based on results, as is the case on similar World Bank-assisted projects in Nigeria. For contract staff, their remunerations will be determined in their contracts.

Table 6. Productivity Allowance (Naira/month)

Category of Staff	Deployed Civil Servants		Contract Staff	
	FPMU	SPMU	FPMU	SPMU
Project Coordinators	1,700,000	1,400,000	2,500,000	2,300,000
Specialists	1,300,000	1,000,000	2,000,000	1,800,000
Officers	900,000	900,000	1,700,000	1,700,000
Assistants	800,000	800,000	1,500,000	1,500,000
Support staff	700,000	700,000	1,200,000	1,200,000
Focal Officers	600,000	600,000	900,000	900,000

3. Roles of Implementing Agencies/ Institutions

A brief description of the ACReSAL project implementing agencies or institutions can be found in Annex XXIII.

3.1 Federal Level Institution and Agencies

Table 7. Roles of Federal Level Institutions and Agencies

MDA	ROLE
Federal Ministry of Environment (FMEnv)	· Overseeing the overall implementation of the project · Host the Federal Project Management Unit (FPMU) during the project duration.
Forestry Department	· Provide extension and advisory services to States for the improvement and promotion of forestry practices and management.
Department of Climate Change	· Conducting a holistic GHG inventory of all ACReSAL activities for integration into the NDC and appropriate transmission to UNFCCC.
Department of Drought and Desertification Amelioration (DDA)	· Provide technical support in mitigating the impact of land degradation, drought and desertification in the project areas · Provide support to the states in strengthening existing institutional arrangement for more effective and coordinated response of activities towards combating desertification, land degradation and drought management for climate change resilience, as it relates to oasis rehabilitation and sand dune stabilization. · Ensure effective coordination of the rehabilitation of National rangeland areas to secure grazing areas in the ACReSAL project states. · Provide technical and capacity building services on the best practices in the combat of drought and desertification in the ACReSAL project
Environmental Assessment Department (EAD)	· Ensure ACReSAL project is implemented in line with Nigeria extant environmental laws and regulations. · Ensure implementation and monitoring of Safeguards tools developed for ACReSAL project. · Ensure all activities in ACReSAL are ESMF compliant.

MDA	ROLE
Department of Erosion, Flood, and Coastal Zone Management (EFCZM)	· Deployment of a Project Engineer to constitute the Engineering team at the FPMU for oversight functions of erosion, flood control and water harvesting components of the ACReSAL project. · Provision of data bank/ inventory on Deep Gullies and other erosion sites in Nigeria. · Provision of flood vulnerability data on over 302 cities/location in Nigeria with the Department giving Daily Flood Early Warning with a 3 hourly interval and a lead time of 5 days for these locations with over 186 **of these cities/ Locations in Northern Nigeria** where the ACReSAL project will be implemented. · Provision of data on Land Degradation. · Soil erosion map and land degradation map and data on Nigeria. · Providing guidance in Flood Water Harvesting and Management including the development of strategies for potential recharge of subsurface aquifers using flood water for Flood Prevention through construction of collection drains, earth filled embankments and retention reservoirs which are to be made use of in the farmer led irrigation in the ACReSAL project and to increase climatic resilience in Northern Nigeria. · Giving policy guidance on gully erosion, flood and sedimentation control in the ACReSAL project.
National Agency on Great Green Wall (NAGGW)	· Support ACReSAL in community resilience strengthening activities.
Nigeria Environmental Standards and Regulation Agency (NESREA)	· Protection and development of the environment, biodiversity conservation and sustainable development of Nigeria's natural resources in general and environmental technology including coordination, and liaison with, relevant stakeholders within and outside Nigeria on matters of enforcement of environmental standards, regulations, rules, laws, policies and guidelines.
Federal Ministry of Water Resources (FMWR)	· Co-lead the project, provide support in catchment planning, regulatory oversight, diagnostics and climate resilience in water resources management. · Assist in strengthening partnership with other key stakeholders to facilitate effective synergy in water resources development and management in the project. · Work with and through relevant departmental agencies.
Nigeria Hydrological Services Agency (NIHSA)	· Provide the services required for assessment of Nigeria's surface and ground water resources in terms of quantity, quality, distribution and availability in terms and space for efficient and sustainable management of water resources. · Operates and maintain hydrological stations nationwide and also carries out ground water exploration and monitoring using

MDA	ROLE
	various scientific technics in order to provide hydrogeological data needed for proper planning, design, execution and management of water resources and allied projects. · Lead technical agency for establishing a real-time Hydro Met system in the project and help integrate the Hydro Met system with the project's Management Information System.
Nigeria Integrated Water Resources Management Commission (NIWRMC)	· Provide the much-needed support in the Development of Catchment Management Plan in the 20 Northern States involved in the ACReSAL Project; · Assist the Project in the formation of Catchment Management Coordination Committee (CMCC) at the wider basin level, State IWRM Committee (SIWRM) and Stakeholders Advisory Committee (SAC) at the Community level; · Assist the project in the effective mobilization of Water Users for the success of the project; · Assist the project in sensitization and advocacy at the catchment levels.
Department of River Basins Operation	· Provide assistance for development of both surface and groundwater resources for multipurpose use, with particular emphasis on the provision of irrigation infrastructure and the control of drought for watershed management. · Assist in supervision construction, operation and maintenance of reservoir dams, dykes, polders, wells, boreholes, irrigation and drainage systems and other works during project implementations.
Federal Ministry of Agriculture and Rural Development (FMARD)	· Provide technical assistance in the procurement of agricultural inputs and distribution to farmers (seeds/seedlings, chemicals, equipment and machineries). · Providing technical assistance on the safe use of agro-chemicals and pesticides through integrated pest management and control mechanisms including assurance and testing for residues. · Providing support for enterprise development across successive stage of commodity value chains for development of crops through seeds and crop associations. · Provide technical assistance in the adoption of climate-smart agricultural practices in the ACReSAL areas.
Department of Agricultural Land and Climate Change Management Services (ALCCMS)	· Provide support for operational and focal linkages on Climate-Smart Agriculture in relation to rain-fed crop, farmer-led Irrigation, and community-led landscape restoration. · Provide TA and support for construction of On-farm water harvesting structures (mini-earth dams) for farming communities to mitigate climate change impact. · Provide technical support for inventorization and rehabilitation of degraded agricultural lands for crop production and natural resources management using our ALCCMS GIS platform.

MDA	ROLE
	· Provide support for profiling of farmers across the participating states.
Department of Agriculture	· Facilitate farmers' access to agricultural inputs (seeds/seedlings, chemicals, equipment and machineries). · Promote safe use of agro-chemicals and pesticides through integrated pest management and control mechanisms including assurance and testing for residues. · Provide Technical Advisory to commodity value chain development approach. · Provide support for enterprise development across successive stage of commodity value chains for development of crops through seeds and crop associations.
Animal Husbandry Services	· Provide technical support for Community Pastoral Landscape Restoration, Pasture and fodder Development for conflict reduction.
The Federal Department of Land Resources (FDLR) under the FMARD	· Land management, land use, soil fertility, soil conservation including agro-forestry, soil testing, and land survey and evaluation. · Improve the agricultural resource base if provided with adequate logistics and targeted programs. · Soil testing service for better soil management. · On-farm erosion control.
Agricultural Extension Services Department	· Provision of technical assistance and capacity building activities to address the technical and operational needs of beneficiaries, especially women and youth. · Facilitation of linkages for credit access and market opportunities and use of productivity-ICT enhancing technologies. · Providing technical assistance to beneficiary farmers (incl. women and youth). · Promotion of extension service delivery to support farmers (crop, livestock and fisheries) in adopting improved production technologies and innovation.
Federal Ministry of Finance (FMoF), Budget and National Planning	· Provide support and pay attention to fiduciary issues (procurement, financial management, contract management) in implementing the ACReSAL Project. · Contribute to the alignment/linkage of the Project to the ERGP, National Development Plan (2021-2025) and other National Visions. · Monitor the project expenditures to ensure transparency and accountability.
The National Space Research and Development Agency (NASRDA)	· Provide technical support on spatial information management related activities in ACRESAL as provided for in the Project Implementation Manual (PIM), including training support to stakeholders in the use of spatial information tools such as Geographic Information Systems (GIS), Remote Sensing, and Global Positioning Systems tools in ACReSAL. · Contribute to providing public access to the ACReSAL Spatial

MDA	ROLE
	Data Platform. · Provide Geographical products including maps, atlases, spatial data collection, digitization, processing, visualization, interactive visualizations, online web mapping portal, story maps, e-books, related datasets, geo- dashboards, storage, Metadata creation and dissemination (at no cost). · Support Aerial/satellite imagery processing, mapping and spatial analysis to support catchment planning and management, monitoring and evaluation, in collaboration with FPMU. · Provide quality assurance services for Geographical Information Products amongst implementing partners.
Nigeria Meteorological Agency (NiMet)	· Provide technical support and advisory services for the availability of meteorological information for the ACReSAL project.
National Emergency Management Agency (NEMA)	· Support the project in providing advisory services on extreme events that may lead to disasters.
Federal Ministry of Women Affairs (FMWA)	· Ensure effective women participation in all ACReSAL activities for gender responsive development. · To create awareness and sensitization that will reduce risks and uncertainties in agriculture by reducing the natural hazard factors that includes climate change issues militating against agricultural production and security of investment. · To promote the effective implementation of the National Cooking Gas Project and tree planting campaign to control deforestation, erosion, land degradation and pollution etc. · To close existing linkages between climate change and gender inequalities through advocacy programmes and sensitization for women and gender groups all around communities in Nigeria. · To support gender responsiveness to understand critical issues on Climate Change and share information countering its negative impacts on gender related issues in Nigeria. · To provide with equal access the knowledge resources and technology which is necessary to influence positive gender impacts to the economy. · The Ministry shall collaborate with State Ministries of Women Affairs and Social Development to support and stimulate active participation of Women in Agriculture. · The Ministry shall coordinate interventions that mainstream the interest of women in securing credit facilities for women Agri-business and close the gender gap in agricultural productivity. · The Ministry shall support and provide technical assistance to address issues of GBV and other vulnerable groups · The Ministry shall engage in advocacy programmes that will address cultural constraints in land inheritance, ownership and use.

3.2 State Level Institutions, Agencies

At the state level, all corresponding Ministries, Agencies and Departments involved at the Federal Level Structures are expected to carry out similar activities at the participating State levels. A summary of the roles and responsibilities of the relevant State MDAs towards the ACReSAL Project implementation are presented in the table below.

Table 8. Roles of State Institutions and Agencies

MDA	ROLE
State Ministry of Environment (SMEnv)	· Act as project host for the SPMUs. · Prioritize investments and make sure they integrate with sectoral plans.
SMEnv / Dept of EIA / NESREA	· Environmental Safeguards - EIA and regulatory oversight of works.
State forest commissions	· Extension and advisory services on catchment planning and bio-remediation act/re-vegetation (with State ministries of Agriculture).
State Ministries of Agriculture / Lands	· Sustainable land management measures and livelihoods e.g. Compensation Valuation for acquisitions of Right of Ways, general acquisition of Land for projects, Valuation for Insurance purposes, Valuations for Asset sharing, Valuation of Share Equities in Joint Ventures and Memorandum of Agreements. · Agricultural extension activities.
State ministry of Women Affairs	· Gender Issues, vulnerable groups protection, livelihoods and grievances redress.
Office of State Accountant General / State Project Financial Mgt Division	· Project financial management.
State Emergency Management Agency	· Landslide and flood response.
SMWR / NIHSA / IWRMC	· Support to States on catchment planning, diagnostics, and climate resilience of water resources.
FMWR/NIHSA	· Provide hydrological data.
FMWR/IWRMC	· Support to States on catchment planning and regulatory oversight.

3.3 Local Level Institution and Agencies

Local Government Areas (LGAs) will host the Local Implementation Committee (LIC). They will assist in providing technical assistance through assigning technical officers from relevant departments (such as agriculture, water resources, environment) to the ACReSAL LIC. LGAs will be involved in operation and maintenance of intervention works.

3.4 Other Agencies and Partners

Private Sector

There are opportunities for private sector partnership through activities in many parts of the project but particularly in Component B2. For instance, the project could partner with private companies to work on farmer-led irrigation development. Services rendered under this activity range from pre- and after sales services on solar irrigation equipment to partnering with financial partners or providing PAYGO services.

Scientific and technical partners

- Alignment with the Great Green Wall program (Great Green Wall Secretariat)
- Monitoring and evaluation (contracted from the market);
- Quality assurance will also be enhanced through the independent ACReSAL expert advisors, who will be a pool of leading international and national experts in disciplines such as geotechnical and civil engineering, dams, watershed planning, hydrology, and ecosystem monitoring.
- Research and Universities partners for, for instance, Land Resources Inventory work in the project (training and handholding);

Non-governmental Organisations (NGOs), Civil Society Organizations (CSOs) and Community Groups

Non-government stakeholders will also have important roles in the implementation of the project. During preparation, meetings were held with NGOs and with academia. Consultations will continue to be held during implementation of the project following an approach outlined in Section 3.4. Field NGOs and CSOs (contracted from the market) will support the project in the following capacities:

- Community sensitization and social mobilization.
- Identify training needs and organizing training events.
- Provide support to the community for participatory monitoring.

- Engage in outreach activities to raise people's awareness of Agro-climate resilience and adaptation for improved livelihood.
- Carry out gender-sensitive research that will deepen our understanding of communities' awareness and vulnerability to land degradation
- Work with the three levels of government and international partners to deliver targeted support to people who are or will be impacted by climate change, particularly the most vulnerable groups.
- Organize training programmes to assist local community engagement, mobilization and capacity-building (including strengthening existing and evolving water user associations and farmer's organizations), on understanding community rainwater harvesting, community-level solar irrigation, agricultural improvement.
- Enhance informed participation in decision-making, by working to open up decision making processes, mobilize broad participation, and achieve greater clarity of issues, including participatory catchment planning and livelihood development.
- Develop a Grievance Redress Mechanism (GRM) Plan for labour management procedures acceptable to the Association.
- Act as a Gender-Based Violence (GBV) Intermediary or service provider linking to the project GRM to handle SEA/SH allegations, including local level engagements, dialogues, awareness-raising activities and monitoring of SEA/SH risk mitigation measures.
- Finalise GRM Accountability and Response Framework with the GBV Consultant
- Participate in Grievance Redress Committees (GRC).
- Act as community liaison as a contact between the community and the SPMU.

4. Overview of Project Implementation Arrangements

ACRESAL implementation will require effective inter-ministerial and inter-state coordination, collaboration, and information sharing based on memoranda of understanding (MOU) between the FMEnv and federal-state-level MDAs as indicated in Section 1.

The general principle is that the Federal Project Management Unit is responsible for overall project coordination, alignment of project intervention activities and approach, and oversight of activities taking place across participating States and Federal MDAs. The SPMU is responsible for the practical implementation of project activities within the specific frameworks set by the Project for States

Each component, subcomponent and activity will be coordinated by a designated federal agency but generally implemented through relevant state MDAs, including those responsible for environment, agriculture, water resources, works, forests, parks and rivers, emergency response, as well as those focused on climate and hydrological information or watershed/basin regulation. Some investments, e.g., those related to inter-state water resources, would need to be implemented at the federal level, but most investments will be coordinated and implemented at the state level. Local implementation will be assured through Local Implementation Committees (LIC) or their equivalent. Consultants will be brought on board to adequately be involved in the implementation of project activities when required.

Table 9 provides a summary of the implementation arrangements for ACReSAL components, sub-components and activities.

Table 10. Implementation Arrangements for ACRESAL Components and Subcomponent

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
A. Dryland Watershed Management	**A1. Strategic Watershed Planning**		**1. Final identification of strategic watershed boundaries** **2. Establish knowledge base on watershed** · Engagement of consultants for preliminary studies · Review of existing watershed management plans (which involves reviewing and screening of NEWMAP activities) · Baseline Characterization of watersheds **3. Stakeholder engagement/ Inter-ministerial coordination** · Identification of stakeholders · Letter of Invitations to Identified Stakeholders · Knowledge and planning workshops **4. Performance analysis of institutional framework** **5. Development of catchment management plans** **6. Prioritization workshop of investments in the watersheds** · Meetings - training of Catchment Management structures: **7. Appraisal and validation of plans (20 watershed plans)** **8. Capacity Building / Training on Catchment Management Structures**	1. FPMU, Federal MDAs 2. FPMU, Consultant 3. FPMU 4. Consultant 5. Consultant, Federal MDAs 6. FPMU, SPMU 7. FPMU, SPMU 8. FPMU, Consultant
	A2. Landscape Investments	*Sand dune stabilization*	**1. Planning, design and sensitization workshops** · Selection of sites and trees · Preparatory studies: feasibility studies, environmental and social safeguards study · Community Sensitization **2. Establishment and maintenance of plant nurseries of assorted species** · Pre-planting operations: site preparation, seed collections/propagation, and engagement and training of Community Cooperatives · Siting, design and setting up of the nurseries **3. Planting operations and complementary activities** · Fixation of checker boards and planting · Construction works (irrigation infrastructure and fire breaks) ○ Engagement of Contractors	1. SPMU, State DoF, Consultants, LIC, Site Committee 2. SPMU, State DoF, ADPs, NGOs, Community Cooperatives 3. Community Cooperatives, SPMU, Contractors, Site Committee, LIC, NGOs, CSOs

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			○ Construction work activities · Procurement of fire control equipment ○ Tender for supplier · Provision of fire control equipment **4. Post – planting operations** · Capacity building · Vegetation maintenance	4. SPMU, NGOs/CSOs, Site Committee, LIC
A. Dryland Watershed Management	**A2. Landscape Investments**	Water resources management	***Interventions that could be taken up from NEWMAP or FMWR*** **1. Screening, alignment with ACRESAL objectives and technical review** **2. Sensitization workshops, mobilization and organization of communities** · Prior meeting with community leaders on the need for community engage · Community mobilization **3. Preparatory studies and engineering designs** · Engagement / procurement of consultants for relevant studies · Feasibility studies / Engineering Design · ESIA / ESMP RAP study and implementation (if applicable) **4. Construction / remediation works** · Engagement of Engineering Contractors · Construction / remediation works **5. Operational, maintenance and management activities** · Capacity building programmes · Monitoring	1. FPMU, SPMU, FMWR, Relevant MDAs 2. SPMU, LGIC, NGOs 3.SPMU, Consultants 4.SPMU, Engineering Contractors 5.SPMU, LGIC, Site committee

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
A. Dryland Watershed Management	**A2. Landscape Investments**	Water resources management	***Integrated dams/small-scale multipurpose reservoirs and irrigation*** **1.Sensitization workshops, mobilization and organization of communities** · Prior meeting with community leaders on the need for community engage · Community mobilization **2. Preparatory studies and engineering designs** · Engagement / procurement of consultants for relevant studies · Feasibility studies / Engineering Design · ESIA / ESMP · RAP study and implementation (if applicable) **3. Civil / stabilization works** · Engagement of Engineering Contractors Construction of new and/ or rehabilitation and expansion of existing small dams/ Reservoirs **4. Operational, maintenance and management activities** · Capacity building programmes · Monitoring	1. SPMU, LGIC, NGOs, Site Committee 2. SPMU, Consultants 3.SPMU, Contractors 4. SPMU, LGIC
			Gully erosion control **1. Sensitization workshops, mobilization and organization of communities** · Prior meeting with community leaders on the need for community engagement · Community mobilization **2. Preparatory studies and engineering designs** · Engagement / procurement of consultants for relevant studies · Feasibility studies / Engineering Design · ESIA / ESMP · RAP study and implementation (if applicable) **3. Gully remediation works for flood/erosion sites (construction works)** · Engagement of Engineering Contractors · Construction work activities **4. Operational, maintenance and management activities** · Capacity building programmes	1.SPMU, LGIC, NGOs 2. SPMU, Consultants 3. SPMU, Engineering Contractors 4. SPMU, LGIC

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			· Monitoring	
A. Dryland Watershed Management	**A2. Landscape Investments**	Water resources management	***Flood and sedimentation control*** **1.Sensitization workshops, mobilization and organization of communities** · Prior meeting with community leaders on the need for community engage · Community mobilization **2. Preparatory studies and engineering designs** · Engagement / procurement of consultants for relevant studies · Feasibility studies / Engineering Design · ESIA / ESMP · RAP study and implementation (if applicable) **3. Civil / stabilization works** · Engagement of Engineering Contractors · Construction work activities · Planting of seedlings along shelter belt (grassification) and planting of lon the riverbanks by local cooperatives **4. Operational, maintenance and management activities** · Capacity building programmes · Monitoring	1. SPMU, LGIC, NGOs 2. SPMU, Consultants 3. SPMU, Engineering Contractors, Focal NGO, LGIC, Site Committee, Community Cooperatives 4. SPMU, LGIC
		Large scale agricultural investments	***Rangeland Management*** **1. Sensitization workshops, mobilization and organization of communities** · Prior meeting with community leaders on the need for community engage · Community mobilization **2. Preparatory studies and engineering designs** · Engagement / procurement of consultants for relevant studies · Feasibility studies / Engineering Design · ESIA / ESMP · RAP study and implementation (if applicable) **3. Implementation and construction** · Engagement of Engineering Contractors · Construction / remediation works · Grassification **4. Operational, maintenance and management activities**	1.SPMU, LGIC, NGOs 2.SPMU, Consultant, DoF 3. SPMU, Community Cooperatives, Contractors 4. SPMU, LGIC, NGOs/CBOs, Engineering

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			· Capacity building programmes · Monitoring	Contractors
A. Dryland Watershed Management	**A2. Landscape Investments**	*Large scale agricultural investments*	***Assistance for Improved fodder / Nurseries*** **1. Provision of agricultural inputs** · Procurement and provision of inputs **2. Awareness programmes and trainings** · Engagement of extension and relevant MDAs · Training of beneficiaries **3. Operational, maintenance and management activities** · Capacity building programmes · Monitoring	1. SPMU, DoF 2. SPMU, Extension workers, FMARD /SMARD, DoF
			Community-based Sustainable Agriculture (CBSA) **1. Participatory research and community specific SA planning** · Participatory baseline and gaps assessment · Development of plan **2. Communication and socialization of plan with Stakeholders** · Mobilization of stakeholders and communication of plan **3. Capacity building / Training of Farmer groups** · Capacity building programme	1.SPMU, Consultant 2. SPMU, Consultant 3. SPMU, Consultant
	A3. Special Ecosystems	*Oases restoration*	**1. Stakeholders Consultation** · Consultations with community members, local associations, civil societies, · Sensitization on livelihoods diversification and protection of the cultura oases). **2. Technical assistance for inventories, studies, designs and methods** · Inventory and conservation of threatened species ○ Engagement of Department of Forestry for Inventory of threatened s ○ Identification of genetic material (seeds or any other material fr multiply) of targeted oases · Development of restoration strategy and preparation of monographic prof ○ Engagement / procurement of consultants for relevant studies	1. DDA, DoF, SPMU, LGIC, SMARD, SMEnv, Consultants, CSOs, EAD, ALLCMS, NIWRM, DCC. 2. SPMU, DoF, Consultant

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			○ Mapping and production of monographic profile ○ Development of an action plan for restoration of the oasis **3. Capacity Building** · Training on plantations suitable for the oasis **4. Restoration / rehabilitation for drought resilience and desertification ame** · Implementation of restoration strategy · Operational and management activities.	3. SPMU, Consultant 4. SPMU, NGOs, LGIC
A. Dryland Watershed Management	**A3. Special Ecosystems**	*Wetland restoration*	**1. Site selection and preparatory studies** · Engagement / procurement of consultants for relevant studies · Feasibility studies / Engineering Design · ESIA / ESMP · RAP study and implementation (if applicable) **2. Establishment of nurseries** · Pre-planting operations: site preparation, seed collections/propagation, and engagement and training of Community Cooperatives · Siting, design and setting up of the nurseries **3. Afforestation/reforestation of degraded wetlands (Establishment of orchards)** · Mobilization of Local cooperation for planting activities · Establishment and maintenance of the orchard **4. Establishment of buffers to protect fragile ecosystems** · Mobilization of Local cooperatives · Planting of deep root trees and stabilization of riverbanks **5. Wetland based livelihoods implementation and management practices** · Livelihood needs assessment · Micro-community sub-projects (for women and youth) **6. Operational and management activities**	1. FPMU, SPMU 2. SPMU, Consultant 3. SPMU, NGOs/CSOs, Site Committee, Community Cooperatives 4. SPMU, DoF, Community Cooperatives 5. SPMU, Community Cooperatives 6. SPMU, Consultant, CSOs, focal NGOs, Site committee
		Forest	1. **Management of gazetted forests**	1. SPMU, SDoF,

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
		management	· Selection and Prioritization of Gazetted Forests · Development of strategies and instruments for sustainable management · Capacity enhancement of Forest Administration **2. Woodland management** · Provision of improved seed quality - support to seed centres, equipment and operational materials · Engagement and training of community cooperatives · Establishment and maintenance of plant nurseries of assorted species **3. Support for sustainable rural energy production and use** · Feasibility study of sustainable energy production from alternative sources · Training and workshops · Construction of small scale plant for processing bio-fuel from alternative sources	Consultant 2. DoF, DDA, NGOs/CSOs, Community Cooperatives, LGIC. 3. SPMU, Consultant, CONTRACTORS, LGIC, Local cooperatives
		National Parks management	**1. Prioritization of national parks** **2. Development of Management plans and Ecological Surveys for the 11 National Parks** **3. Preparatory studies for implementation of management plans** **4. Afforestation (economic trees) of 400 hectares of degraded ecosystems around the seven national parks areas** · Pre-planting operations · Planting **5. Construction works and Procurement of Equipment for 40 Ranger Posts** **6. Implementation of other strategies recommended in management pla** **7. Capacity building**	1. FPMU, NNPS 2. FPMU, Consultant, FTC 3. FPMU, Consultants 4. FPMU, DoF, ADP, NNPS, Community cooperatives 5. FPMU, NNPS, Engineering Contractors 6. FPMU, NNPS, Contractors

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
				7. FPMU, NNPS, Consultants
B. Community Climate Resilience	**B1. Community Strengthening**	*Micro-watershed planning*	**1. Preparation activities for micro-watershed planning process (200 No.)** · Identification of Communities with(out) existing Micro-watershed plan · Stakeholder identification (to participate in planning) · Review of Existing Watershed Plans, Baseline Characterization and natural resource assessment: **2. Development of micro-watershed plans** · Community consultations, promotion and socialization of plans · Stakeholders Workshop · Development of a site-specific MWP · Appraisal and validation of MWPs	1. · SPMU, LGIC, FPMU · SPMU, LGIC, NGOs/CSOs /CBOs · SPMU, Consultant, LGIC, Site Committee 2. · SPMU, LGIC · SPMU, LGIC · SPMU, LGIC, NGOs, Consultants · SPMU, FPMU
B. Community Climate Resilience	**B1. Community Strengthening**	*Community engagement / social cohesion and capacity building*	**1. Development of GBV Protocol and Community Based GRM** · Development of GBV Protocol · Development of Community Based GRM **2. Strengthening social cohesion and community mobilization / engagement** · Detailed action planning process with CiGs · Implementation of CIGs plans · Formation of site committees and community cooperatives: · Capacity Building programmes o Training of GBV service providers and identified reporting channels o Conduction of training and sensitization of community members on	1. · SPMU, Consultant · SPMU, Consultant, Site Committee 2. · SPMU, LGIC, Site committee, CSOs / NGOs, CIGs

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			effective GBV and GR Mechanisms **3. Farm/Community Waste Management** · Engagement of consultants to support home/field activities relating to wa · Formation of Waste management Interest Groups and design of commu management structure	· SPMU, LGIC · SPMU, NGOs/ CSOs. · FPMU, SPMU, LGIC, Site Committee, Community groups, Focal NGOs 3. SPMU, LGIC, CSOs/ NGOs
B. Community Climate Resilience		*Community-led Landscape Restoration* (350,000 Ha)	**1. Preparatory activities** · Engagement of development partner with landscape restoration experience · Formation of FPMU Technical Assistance team · Procurement of Delfino Ploughs · Selection, prioritization and phasing of sites · Review Micro-watershed plans; prepare action plan and establish restoration activities · Pre-planting operation · Procurement of storage and other equipment · Engagement of community cooperatives for restoration activities **2. Capacity building and implementation** · Training of trainers and capacity building · Access finance for agricultural Inputs/extension services for landscape activities · Access finance for value chain investments (hay, acacia, balanite) · Establishment of community nurseries for selected agro-forestry · Restoration (sowing, planting, maintenance) · Awareness campaigns for farmers	1. FPMU, Dev. Partner, NAGGW, SPMU, Consultants, LGIC, Site Committee, NGOs / CSOs. 2.SPMU, LGIC, Site Committee, SCOs, Extension Workers, DoF, Community Cooperatives, SMRD, Focal NGOs

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
	B1. Community Strengthening	*Climate-smart rainfed Agriculture* (100,000 Ha)	**1. Engagement process for extension services technical assistance** **2. Set up and ensure quality accounting financial management systems for the farmer groups.** **3. Assist farmers to develop business plans and facilitating access to the CRF** **4. Perform agro-processing value chain analyses** **5. Quantify emission saved from improved/smart agricultural practices**	SPMU, NGOs / CSOS in Agricultural sector, Consultant
		Farmer-led irrigation development (FLID) (10,000 Ha)	**i. Hire Technical person at FPMU and selected SPMUs for FLID** **ii. Technical person to support FLID role out within FPMU/SPMUs** **1. Development of Framework for Awareness Campaigns (FPMU)** · Procure Federal Consultant to develop framework for awareness campaign material, demo-sites, MSPs (FLID TA1) · Consultants develop the framework, comms strategy, demo-site criteria, MSP modalities (incl.stakeholder ID) · Mobilise State level FLID teams, include in Consultant's process and train in FLID rollout process · Disseminate framework and example materials to participating (FLID) states · Mobilise State level FLID teams, include in Consultant's process and train in FLID rollout process · Set up multi-stakeholder platform Federal level · Run multi stakeholder platform **2. Implementation of Awareness Campaigns (SPMU)** · Engagement of consultants to provide TA to FLID teams in	i. FPMU/SPMUs ii. FPMU/SPMUs 1. FPMU/SPMUs, Consultant, FLID Teams

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			development of state-specific materials and implementation plans. · Implement state awareness raising strategy on FLID, link to Watershed planning process · Set up multi-stakeholder platform State level · Run multi stakeholder platform · Demonstration sites in selected micro watershed of suitable irrigation solutions and services with selected private sector companies **3. FLID Digital Platform** · Procure Company to develop digital platform · Test digital platform in micro-watershed · Train local LGA staff on using the platform · Maintain and operate digital platform **4. Challenge Fund** · Procure Company for fund management for RBF/challenge fund (FEDERAL LEVEL) · RBF TA to develop RBF/credit facility and market assessment · Establishment of selection committee for RBF/challenge grant including Federal and State representation · RBF TA to train State Teams and suppliers on RBF/Credit facility use · Link RBF facility to Federal awareness raising framework · Link RBF facility to State awareness raising implementation · Rollout Financing facility information within State awareness campaign targeting suppliers · State borrowing to support supplier financing	2. SPMU, Consultant, FLID Teams 3. FPMU/SPMUs, Consultant 4. FPMU/SPMU, specialist company
C. Institutional Strengthening and Project Management	**C1. Institutional and Policy Strengthening**		1**. Capacity Building Assessment / Plan** · Capacity building assessment · Capacity building plan **2. Strengthening institutional infrastructure** · Procurement and installation of goods required to strengthen	1. SPMU, FPMU, Consultants 2. MDAs, SPMU, FPMU, FMEnv,

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			capacity of MDAs · Procurement of goods for PMU · Constitution of data management units in MDAs **3. Policy improvement** · Assessment of policies · Development of policies **4. Development of Knowledge Products** · Establishment of a long-term MIS for watershed monitoring, regulatory and policy decision **5. Capacity Building and Outreach** · Partnership arrangements with CSOs, academic institutions, private sectors, etc. · Outreach initiatives **6. Support implementation of International Conventions and Protocols**	SMEnv. FMARD, SMARD, FMWR, SMWR 3. FPMU, SPMU, Consultant, All relevant MDAs 4. FPMU, NIHSA, NASRDA, 5. FPMU, SPMU, CSOs (Academia) 6. FPMU, DCC
C. Institutional Strengthening and Project Management	**C2. Project Management**		**1. Project Start-up Activities** · Project Launch · Baseline Studies · GIS Mapping · NDVI Survey · Livelihood Needs Assessment · Development of communication strategy **2. Engagement of Support Services** · Engagement of consultancy firms (procurement, livelihood, M&E, en · Engagement of pool of expert advisors **3. Provision and Capacity Building for PMUs Federal and States levels** · Procurement of vehicles (Federal and state level) · Office equipment, ICT and others equipment (Federal and state leve · Development of MIS · Design and hosting of interactive website **4. Development of the ACRESAL Project M&E System**	1. FPMU, SPMU, Consultants 2. FPMU, SPMU, Consultants 3. FPMU, SPMU, NIHSA, NASRDA 4. FPMU, SPMU 5. FPMU, SPMU, FTC, STC

Component	Subcomponent	Interventions	Specific Activities	Reponsibilities
			· M&E manual including detailed implementation arrangements and t · Detailed six-years work plan for project implementation **5. Training Programmes** · Orientation / induction training · Continuous capacity development **6. Workshop and Monitoring Missions** · Project Stakeholders review meetings · Implementation Support Mission · Annual supervision mission (twice in a year for each year) · Independent stock-taking leading up to the MTR · Mid-Term Review · Impact assessment study · Implementation Completion Report (ICR)	6. FPMU, SPMU, World Bank Team
D. Contingency Emergency Response		To be developed in case of an emergency		

5. Stakeholder Identification and Engagement Processes

An important part of the ACReSAL institutional and organizational development process is to appraise the full range of stakeholders who have interest in the project. Stakeholders can be categorized as affected and interested parties as well as disadvantaged or vulnerable individuals or groups.

AFFECTED parties

Stakeholders who are likely to be affected by project activities directly or indirectly, positively or adversely, by the Project.

INTERESTED parties

Stakeholders who may not be directly or indirectly impacted by the project, but who have the potential interest to influence on the project outcomes via their statutory functions and mandates or other factors. They include Ministries, Departments and Agencies with statutory roles in the implementation of ACReSAL project in the various participating states

DISADVANTAGED or VULNERABLE individuals or groups

Stakeholder who may by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage or social status, be more adversely affected by the project activities than others. Particular attention being paid to this group will also ensure that communication systems to enhance stakeholder engagement will be adapted to take into consideration such groups or individuals' particular sensitivities, concerns and cultural sensitivities and to ensure a full understanding of project activities and benefits.

Engagement with the vulnerable groups and individuals often requires the application of specific measures and assistance aimed at the facilitation of their participation in the project-related decision making so that their awareness of, and input to the overall process are commensurate to those of the other stakeholders

5.1 Overview

The ACReSAL project, through a **participatory approach**, will include comprehensive community awareness programs, social mobilization, group formation, and communication as part of project preparation and implementation. For instance, catchment planning and implementation of small

works will be highly participatory and drawing on best practices from successful operations in different regions.

The **Stakeholder Engagement Plan (SEP)** preparation for the project comprised public consultations at the Ministries, Departments and Agencies (MDA) level, and among informal stakeholders in host communities in States where Nigerian Erosion and Watershed Management Project (NEWMAP) projects are already operational. The SEP is helpful in providing guidance and procedures to all participating States in planning and conducting **State-specific Stakeholder Engagement Plans** effectively and ensuring that the views of all stakeholders are represented in the implementation of the project. The State-specific SEPs will be prepared upon selection of project location and before commencement of project activities and updated as the project unfolds as additional stakeholders may come on board.

The World Bank's Environmental and Social Framework (ESF)'s Environmental and Social Standard (ESS) 10 states that …

Stakeholder Engagement and Information Disclosure, recognizes
"the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice"

SEP Implementation

Implementation of SEP would follow the NEWMAP model and be implemented through existing NEWMAP Project Management Units (PMUs) already in place under the Federal Ministry of Environment and State Ministries of Environment.

Table 10. Implementation Arrangement of SEP

Body	Responsibility
FPMU	· Provide supervision and technical support to State as needed
SPMU	· Organize the necessary orientation and training for the Project Management Team at the site level so that they can carry out consultations with communities/PAPs, and implement the SEP in an efficient manner · Review SEP report · Monitor Implementation of SEP · Submission of reports to World Bank

Body	Responsibility
Federal Ministry of Environment	· Monitor the implementation of SEP · Ensure that alternative or relocation sites environmentally safe and sound for PAPs
Project Coordinator	· Responsible for overseeing and coordinating all activities associated with stakeholder engagement
NGOs	· To be the direct contact for PAP in the local communities and GRM
Environmental officer / Social Livelihood Officer	· Coordinate and organize community engagement activities · Provides advice and guidance on World Bank ESS · Ensure that the GRC is sets up · Ensure that members of the GRC are trained · Reviews the SEP report before it is submitted to the World Bank
Grievance Redress Committee	· Provide support to PAPs on problems arising from the loss of their livelihood/assets and project related concern · Record the grievance of the Stakeholders, categorize and prioritize the grievances that need to be resolved by the committee; · Report to the aggrieved parties about the developments regarding their grievances and the decision of the project authorities and, · Ensure that grievances are resolved locally and in time, as much as possible
Affected Persons/Vulnerable persons	· Give inputs and, or support on alternative project designs during Focused Group Discussion · Attend meetings, workshops and capacity building meetings for this SEP · Comply with agreements reached during consultations to ensure successful · Implementation and livelihood restoration

The **stakeholder engagement processes** should be designed to attain the following:

1. Strengthened development outcomes through *effective partnerships*.
2. Plan of action that clearly identifies the *means and frequency of engagement* of each stakeholder.
3. Identified *roles and responsibility* of all stakeholders and their participation in the complete project cycle ensured.
4. Appropriate project *information on environmental and social risks and impacts is disclosed to stakeholders* in a timely, understandable, accessible and appropriate manner and format taking special consideration for the disadvantaged or vulnerable groups.

5. Recognized and effectively addressed potential *constraints and conflicts* that could affect effectiveness.
6. *Capacity building* program and *co-learning* opportunities for stakeholders as well as implementing agencies.
7. Provision of meaningful *access to discussion, deliberations and decision making* in development processes.
8. Adequate *feedback, monitoring, reflection and learning* mechanism to ensure the project is attaining its intended results, detects potential unintended consequences and adapts as needed.
9. An avenue for *information disclosure*.

These essential processes may bring about some challenges in that it can be time-consuming, requiring specialist facilitation and communication expertise, as well as some risks, such as leaving out important stakeholders. The guidelines for stakeholder processes included here give direction to all implementers working on the ACReSAL project and covers the four stages outlined in Figure 3.

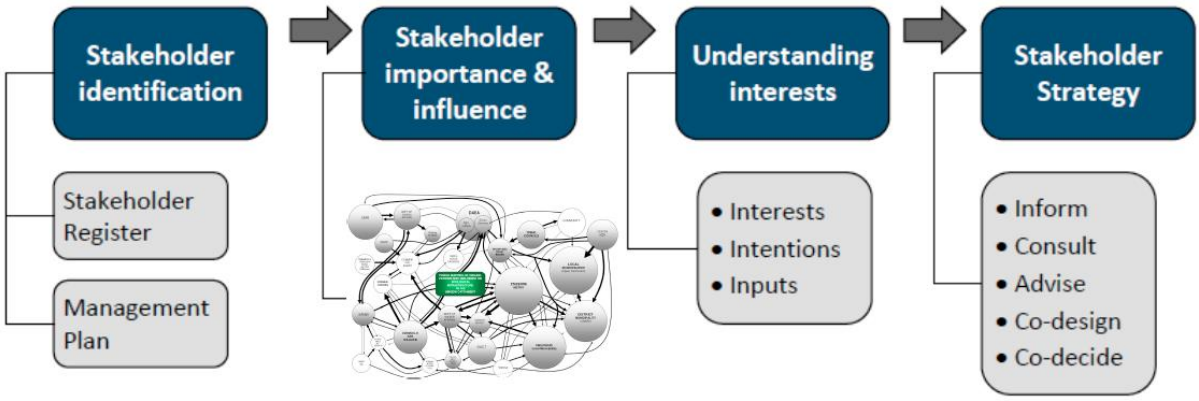

Figure 3. Steps in developing a Stakeholder Strategy

5.2 Stakeholder Identification

This is the process of identifying all people or organizations impacted by the project, and documenting relevant information regarding their interest, involvement, and impact on the project so that relevant and effective community awareness programs, social mobilization, group formation, communication activities and co-creation processes are prepared in the State specific SEPs. Although a stakeholder identification process has been carried out at project preparation as reflected in the project SEP, further stakeholder identification would be needed at state level or sub-project level so that tailor-made engagements can be designed.

The main questions to ask about potential stakeholders are:

- Who are the people, groups and institutions that are interested in the ACReSAL project?
- What is their role? Are they farmers, government officials, suppliers, service providers, etc.?
- Who are the people directly and indirectly benefiting from the project?
- Who might be adversely affected or impacted? What constraints does this imply?
- Who has the power to influence the ACReSAL project during implementation?

Techniques and Strategies

The best way to identify stakeholders is to go about it in several ways, leading to logical groupings, sub-groupings or networks of stakeholders working on a shared activity.

Brainstorming

A good start is to brainstorm with a group of people and develop 'mind-maps', simply writing down names and linking them. This can be an untidy and somewhat chaotic process, but enables creative thinking to more inclusive identification of relevant parties.

Follow the money

Whoever is providing project financing, personnel or physical resources at federal and state levels is important to include.

Follow the signatures

Individuals who sign off local and higher-level approvals of any kind (access to security areas, legal processes, fieldwork, allowances, authorizations, etc.) need to be identified.

Examine other lists

Take a good look at other similar projects which have been implemented, review their stakeholder lists, and include potential stakeholders from there.

Ask around

Speak to people systematically, as well as informally in the corridors. This is still one of the best and most effective ways to identify important parties and spread the inclusive net of stakeholder engagement more widely.

In an ongoing process throughout the project, but most importantly when analysing the initial stakeholder list, these questions can be asked:

- Have all potential supporters and opponents of the project been identified?
- Have gender aspects been considered properly to ensure that women are both identified to participate, and that they can in fact participate in the future processes, given cultural and local practice, and precedent?
- Are there any new stakeholders that are likely to emerge?

Grouping of Interest

Stakeholders can be grouped in various ways, some of which might emerge from the brainstorming or mind-mapping process. Once stakeholders have been divided into logical groups and sub-groups, their interest on the project, the nature of their involvement and their influence and power, can be assessed. One practical way of establishing groupings is through categories such as:

- Federal Government institutions
- State and Local institutions
- Traditional Authorities
- Farmers Associations
- Water Users Associations
- Women's groups
- Faith Based Associations
- Non-Governmental Organizations

This is a simple initial approach which can them be followed by more complicated ways of grouping, such as listing out and ranking the issues of the stakeholders, and then grouping them according to common priority issues. This sophistication is attractive, but should follow the first round of stakeholder identification and the development of the initial strategy.

5.3 Stakeholder Analysis

Once the stakeholders are identified and grouped logically, their level of importance, influence and power on project activities and outcomes can be detailed. Another level of analysis also refers to the stakeholder interest in participating and attaining positive outcomes.

IMPORTANCE: This reflects the priority given by the project implementing team to each stakeholder (the intention to meet the stakeholders' needs and concerns) in relation to the defined aims and objectives of the project. 'Importance' is not about how important these stakeholders are generally in society, but how important they are in *relation to the project-specific processes and objectives.*

INFLUENCE and POWER: Influence is defined by the stakeholder's decision-making powers, in the sense of the stakeholder's ability to make decisions that determines the project outcomes and process of implementation of the project.

In determining strategy for engagement of stakeholders who have interest in the project and who may be able to influence project outcomes, the following classifications can be used:

- ***High:*** High Influence stakeholders will be kept informed, engaged and consulted throughout the duration of the project. This will be done on the ACReSAL by:

- involving these most influential stakeholder (s) in ACReSAL governance decision making bodies through committees (including the steering committee) and,
- engaging them and consulting them less regularly and as needed.

· ***Medium****:* Considering that this group is lower on the decision-making scale than the High Influence Stakeholders, adequate care should be taking to ensure that they are given a voice and their opinions are included in project development and implementation. Medium Influence Stakeholders will be carried along, kept informed and monitored throughout the duration of the project. The plan is to ensure that this class of stakeholders are adequately engaged through consultations and feedback channels to ensure that they are carried along in the project development and implementation.

· ***Low****:* This group is lower on the decision-making scale than the High and Medium Influence Stakeholders. Their influence in decision-making may be low, however these stakeholders may have high interest in the project outcome.

BOX I. Example of STAKEHOLDER ANALYSIS POWER MAPPING TOOL in Catchment Contexts

It is critical to begin your understanding of the catchment or landscape by understanding whom the role players and stakeholders in the catchment are in relation to the ACReSAL project developmental objectives, either at strategic watershed level, micro-watershed level or activity level, depending on the spatial scale under analysis. It is equally important to understand what their various roles and responsibilities for integrated catchment management are, specifically in terms of the management, maintenance and investment that provides, for instance, water delivery services, sustainable livelihoods and other relevant outcomes envisaged for the project.

Much of the background data on these organizations has already been gathered for the ACReSAL project through desktop studies and consultations and included in the project SEP but additional research and data gathering may be needed for specific activities and contexts. Therefore, more interactions with present and future stakeholders may be needed to gain a better understanding of the level of influence each organisation or institution has on attaining the project outcomes.

For the purpose of understanding the dynamics that exist within the catchment in terms of the overall influence of the various organizations, and interactions and influential relationships between them, a **power map** (Figure 4) can been created using the following elements:

- The *importance or weight* of a stakeholder's overall influence is represented by the size of the circle representing that stakeholder. Furthermore, each stakeholder group can be indicated in a specific color shade for easy identification (e.g. government, NGOs, etc.).
- The *relationships between stakeholders* is represented by the presence of lines or arrows between them.
- The amount of *influence* stakeholders have over others is represented by the thickness of the lines drawn between them.

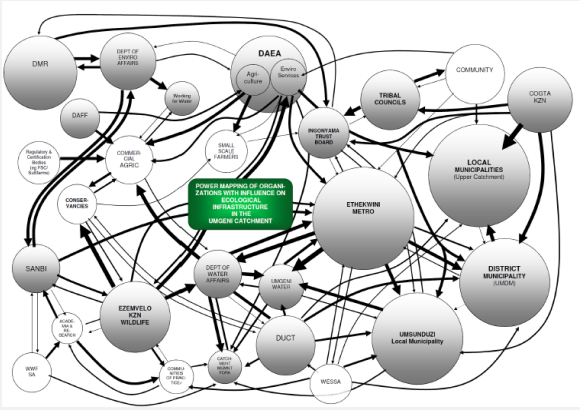

Figure 4. Example of a Stakeholder Analysis Power Map

The power map above present an example developed to understand the stakeholders' influence in supporting nature-based solutions towards water security in a catchment. The map reveals a highly complex scenario, which is representative of just how multifaceted and convoluted the issues around water security through nature-based solutions are and the need to involve and engage with a number key of organizations and institutions, especially those with strong overall influence.

INTERESTS, INTENTIONS and INPUTS: These are aspects that reflect the visible and explicit reasons, implicit (and at times hidden) motivations, as well as the commitment of stakeholders to be involved in the project. They provide a greater understanding of the roots of their participation and therefore indicative of the types of methods and strategies needed for optimal project outcomes.

Questions that can help with stakeholder engagement and expansion of these themes are:

- What are the stakeholders' expectations of the project?
- What benefits are there likely to be for the stakeholders?
- What resources is the stakeholders willing to commit (or not commit) to the project?
- What other interests does the stakeholder have which may conflict wit the project?
- How does the stakeholder regard other stakeholders?

Table 5. Example of Stakeholders Analysis Summarizing Tool

Stakeholder	Importance of the project to the stakeholder	Influence and power on the project	Stakeholder interest and motivation to participate in the project
Name	….	…	…
Name	….	…	…
Name	….	…	…

5.4 Stakeholder Strategy and Methods for Engagement

Based on the information collected and analysed as set above, the stakeholder strategy is developed to guide the project implementing and communications team on how to interact with each of the identified stakeholders, as individuals and as part of stakeholder groups. Engagement with Stakeholders is throughout the life cycle of the project.

The strategy will define who should participate in various levels of activities, as guided by the project SEP, and provide the basis for building and maintaining positive relationships. The strategy should address:

- Contact and facilitation approaches to involve stakeholders in various levels of activities.
- Ways to influence stakeholders to the project's advantage.
- Best methods for communication with various groups of stakeholders.
- Ways to neutralize or manage negative impacts that some stakeholders might have on the project.

Table 6. Implementation participation matrix for stakeholder involvement and communication strategy

		Increasing participation level →			
Implementation Activities	Description	Inform	Consult	Collaborate	Co-decide
Component A					
Subcomponent 1		Relevant stakeholder names	Relevant stakeholder names	Relevant stakeholder names	Relevant stakeholder names
Subcomponent 2		etc.	etc.	etc.	etc.
etc.					

One way of developing the strategy is to classify the stakeholders according with their level of participation needed for each implementation activity. Participation can be viewed as a continuous process raging from low to high depending on how interested the stakeholders are in their hoped-for outcome from the project, and how much the PMU wants their participation for tactical or practical reasons. There are four general levels:

1. **Inform** – to provide balanced and objective information to enable people to understand the issues, alternatives and likely solutions. Participation is minimal (see Information Dissemination and Communication in PART II, Component C).
2. **Consult** – to obtain stakeholder feedback on analysis, alternative and or decisions. It involves acknowledging concerns and providing feedback on how various stakeholder input has influenced various decisions reached. Community consultations are also processes of initiating, establishing and nurturing a relationship with the community with the purpose of securing and sustaining the community's interest, gain support from the community leaders and to ensure establishment of good working relationship and sustainability of the project. It requires to follow protocols and appropriate methods and strategies which also may incorporate the initial participation of vulnerable groups.

3. **Collaborate** – to work as a partner with the stakeholders on each aspect of the decision, including the development of alternatives and the final solution.
4. **Co-decide** – to capacitate appropriate stakeholders on specific issues, through involvements and collaboration, to make informed decisions and take responsibility for consequences that arise.

Depending on the level of participation required and the level of engagement required different methods and techniques would apply. Engagement methods to be adopted are as follows:

Engagement Methods	Targeted Stakeholders
Public Consultations	Every Stakeholder, especially communities
Focus group discussions (FGDs)	Women group, youth group, disabled, MDAs, Traditional/Faith based Leaders. The aim is to create an enabling environment to gather insight about factors surrounding the project as it affects these selected group rather than the broader population of stakeholders.
Face to face meetings, co-learning and co-designing workshops	Government Ministries and Departments, NGOs, Traditional rulers, etc.
Correspondences (Radio Jingles, Phone, Emails)	Every Stakeholder
Religious meetings, village meetings, through traditional leaders, Associations	Community members and farmers, Herders
Project Websites	Every Stakeholder with internet access
Advocacy and sensitization through the use of Information, Education and Communication (IEC) materials including banners, signposts and flyers	Every Stakeholder
Virtual meetings	MDAs (Formal Stakeholders)

Implementation of activities are either the project stages at which the engagement should take place (below), or they can be defined to a component, sub-component or activity level (above).

At the project stage level, the stakeholder engagement Action Plan can be structured as:

a) the project stage at which the engagement should take place,
b) the objective of the engagement,
c) key activities to be undertaken at each project's stage,
d) the target stakeholder (s) to be engaged,
e) the platform of the engagement,
f) the frequency and location of the engagement and,
g) Key duty bearer.

Table 7. EXAMPLE of Stakeholder Engagement Action Plan

Project Stage	Primary Engagement Activities and Topics	Target Stakeholders	Engagement Technique/ Platform of Contact	Frequency and Location	Key Duty Bearer
Planning and Approval **Objective:** Disclose relevant project information to stakeholders and solicit their inputs/feedback into ESIA, ESMP, RPF, RAP, ESMP-sub projects, CLAP, and other plans	1. Project alternatives 2. Scope of the potential impacts and mitigation measures and benefit enhancers 3. Land acquisition process, if required 4. Project environmental and social (E&S) principles 5. Resettlement measures 6. Grievance mechanism Process 7. GBV/SEA	Host Communities Community members Crop farmers Livestock cattle herders Farmers associations Women Farmer Groups Water Users Association Community Associations and Interest Groups Vulnerable persons IDPs	Through traditional & religious leaders, village meetings, religious centers, Association meetings, focused group discussions with women, youth and children, GRM, Advocacy and sensitization through the use of IEC materials including banners, signposts and flyers, radio jingles	Monthly or as needed in the host communities	PMU, E & S Consultants, NGO

The stakeholder strategy that emerges will inform the communication strategy,
which is an essential tool for effective stakeholder awareness, involvement and responsiveness
(see PIM PART II, Component C)

5.5 Information Dissemination

Documents disclosed shall be in English language and will be released for public review. This is to ensure that language barriers do not create communication breach thereby failing to carry all stakeholders along. Other communication with stakeholders especially in the rural communities including radio jingles, leaflets, pictograms and brochures will be in English and translated in the local language obtainable and accessible in the relevant communities.

Table 8. Information Dissemination per Stakeholder

Stakeholders	Project Information Shared	Means of communication/ disclosure
MDAs	· ESF Documents including ESIA, ESMP, RPF, RAP SEP and other relevant documents · Regular updates on Project development; including proposed design / livelihood enhancement and support programmes /community. empowerment program · Additional types of Project's information if required for the purposes of regulation and permitting.	· Dissemination of hard copies · Project status reports · Meetings and round tables. · Virtual Meeting online, webinar · Project website
NGOs	· ESF Documents including ESIA, ESMP, RPF, RAP SEP and other relevant documents; · Public Grievance Procedure; · The duration of proposed project activities; · The proposed stakeholder engagement process highlighting the ways in which stakeholders can participate; · GRM in place · Regular updates on Project development including proposed design / livelihood enhancement and support programmes /community.	· Electronic publications and press releases on the Project website · Dissemination of hard copies at designated public locations · Press releases in the local media (Radio Jingles) · Consultation meetings – village meetings/ Association meetings. · Information leaflets and brochures · Virtual Meeting
Other affected / interested persons	· ESF Documents including ESIA, ESMP, RPF, RAP SEP and other relevant documents; · Public Grievance Procedure; · The duration of proposed project activities; · The proposed stakeholder engagement process highlighting the ways in which stakeholders can participate; · GRM in place · Regular updates on Project development including proposed design / livelihood /community	· Electronic publications and press releases on the Project website. · Dissemination of hard copies at designated public locations. · Press releases in the local media (Radio Jingles). · Consultation meetings – village meetings/ Association meetings. · Information leaflets, pictograms and brochures which shall be translated to the local language obtainable in the localities.. · Separate focus group meetings with vulnerable groups, during Stakeholder Consultations.

5.6 Capacity Development for Facilitating Stakeholder Engagement Processes

Stakeholder engagement is a continuum and runs throughout the project lifecycle; hence, the need to develop adequate capacity. The successful implementation of effective stakeholder engagement will require adequate capacity for the SPMU. Capacity building efforts shall focus on the SPMU who are primarily responsible for the implementation and monitoring of the stakeholder engagement process for the project, as well as other implementing and monitoring partners.

5.7 SEP Grievance Redress Mechanism (GRM)

As found effective within the NEWMAP structure, diverse methods for reporting grievances that are culturally appropriate are to be used as they permit for self-identified, confidential, or anonymous procedures (professional letter writers, suggestion / GRM boxes, Email, toll-free telephone etc.). Grievance uptake and resolution shall be revised and constituted at 3 levels while the law court shall be the final resort for any case not resolved within the GRM structure of the project. These are: community/site based GRC, ACReSAL-PMU GRC and alternative dispute resolution/independent mediator. More details regarding the GRM for the ACReSAL project are available in PART IV.

5.8 SEP Monitoring and Evaluation Framework

The SEP will be periodically revised and updated as necessary in the course of project implementation in order to include any new identified stakeholders and to ensure that the information presented herein is consistent and is the most recent, and that the identified methods of engagement remain appropriate and effective in relation to the project context and specific phases of the development.

Any major changes to the project related activities and to its schedule will be duly reflected in the SEP.

The final SEP will have a Monitoring and Evaluation (M&E) action plan which will guide all M&E activities related to the SEP. The two key ways in which the stakeholder engagement process, as will be provided for in the M&E action plan, will be monitored are through review of engagement activities in the field and through reporting engagement activities

5.9 Covid-19 Protocols

In Nigeria, the COVID-19 Health Protection Regulations 2021 has been passed into law. The law stipulates physical distancing of at least two (2) meters and limits the number of people to be admitted in an enclosed environment to 50, except for religious purposes for which the use of face masks, body temperature check and hand sanitization/washing of hands with running water are compulsory. In compliance with this Federal Government extant laws on COVID-19 and World Bank guidance on public consultation under COVID the stakeholder consultations for the ACReSAL project preparation were carried out with strict compliance with the COVID preventive guidelines.

Consequently, in every Stakeholder engagement activity that requires face to face meeting, due diligence must be exercised in adherence to COVID-19 prevention protocols.

The Nigerian Center for Disease Control (NCDC) COVID-19 response guidelines which is now subsumed in the 2021 COVID-19 Health Protection Regulations requires organizations, agencies and conveners of meetings of public gathering to comply with the following protocols:

1. Providing digital temperature apparatus and measuring the temperature of all participants.
2. Providing face masks and hand sanitizers and ensuring that participants were fitted with face masks and also hand-sanitized before joining the venue of the meeting;
3. Ensuring that crowding was restricted at meeting venues; and
4. Maintaining a seating arrangement of 1.5 to 2m.

Note: COVID-19 protocols for Nigeria will require updating through out the project.

PART IV: COMPLIANCE AND SAFEGUARDS

PART I	**Introduction to the project**
PART II	**Institutional and Implementation Arrangements**
PART III	**Project Components:**
	• **Component A: Dryland Management**
	• **Component B: Community Climate Resilience**
	• **Component C: Institutional and Policy Strengthening**
	• **Component D: CERC**
PART IV	**Compliance and Safeguards** · Financial Management and Reporting · Procurement Procedures · Social and Environmental Safeguards · Grievance Redress Mechanisms

PART IV

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1. Financial Management and Reporting

1.1 Financial Management (FM)

The SPFMUs and FPFMD are established in all states and federal level respectively through the joint efforts of the Government and the World Bank. These units will be responsible for the financial management of the project. In compliance with the WB guidelines and directives, a financial management assessment of the project implementing entities was undertaken. **The overall FM risk for the project was assessed as Substantial.**

The FM risks will be reviewed during project implementation and updated as appropriate, and specific measures recommended to mitigate the weaknesses have been identified (Table 1). The Financial Procedures Manual (FPM) details adequate internal controls and enhanced accountability framework **(see Project Manuals Folder).** Regular reporting arrangements and supervision plan will also ensure that the implementation of the project is closely monitored and that appropriate remedial actions are taken expeditiously.

Table 1. Financial risk mitigation measures

Financial Management Arrangement	Risk Mitigation Measures
INHERENT RISKS	
Country Level Funds may not be used in an efficient, accountable and transparent way.	Robust financial management arrangements (FPFMD & SPFMUs) have been established at federal and state levels designed to mitigate the Country level risk.
Entity Level Integrity issues in the sector. Weak institutional capacity to implement the Project components and to effectively monitor progress and embrace full accountability for results.	The implementing agencies' FPMU and SPMUs have experience implementing Bank-financed projects. Implementation team involving expert advisors (foreign & local) in disciplines related to ACReSAL activities will be hired. Strengthened bid evaluation process will be implemented. GRM established within the FPMU and SPMUs and implementation of protocol for fraud and corruption.

Financial Management Arrangement	Risk Mitigation Measures
Project Level Risk exposure in the administration of project funds to multiple implementing entities in widely dispersed locations with security concerns of insurgency, banditry, and kidnapping.	Adequate training of designated project FM staff in Bank FM policies and procedures. States to provide a statement of commitment and potential measures to ensure the security of Project personnel, beneficiary communities and assets, in coordination with Federal Government, and in compliance with World Bank operational security requirements.
CONTROL RISKS	
Misuse of funds and inadequate documentation of incurred expenditures	Internal Control is strengthened by using the FPFMD and SPFMU arrangement which features strong controls. Robust Financial Procedures Manual (FPM) including checklist of support documents for incurred expenditures to be in place, and staff familiar with the FPM. Independent and effective internal audit and risk management function will be in place. Enhanced project accountability framework over soft expenditures will be implemented. GRM established within the FPMU and SPMUs. Social accountability mechanism established at community levels which will emphasize transparency and local level accountability.

1.2 Financial Management Arrangements

The financial accountability framework in the SPFMUs and FPFMD feature among other things the following:

a. all the key elements of FM, including: budgeting, funds flow, accounting, internal control, reporting and audit;
b. computerized accounting system and robust FM procedures manual;
c. qualified staff that are well-trained in relevant World Bank procedures and requirements, including procurement;
d. robust segregation of functions/duties;
e. a strong control environment, which is required to mitigate fiduciary risks;
f. highly independent and well-trained internal auditors; and

g. full alignment with the Government's own FM system but with some important enhancements and controls.

Planning and Budgeting

On an annual basis, the Project Accountant working under the supervision of the Head FPFMD and Head SPFMU at the FPMU and at SPMUs in consultation with key members of the implementing unit will prepare the Annual Work Plan and Budget (AWPB) for the fiscal year based on the approved work program. The AWPB will be submitted to the Bank at least two months before the beginning of the project fiscal year. Detailed roles, timeline and procedures for planning and budgeting will be documented in the FPM.

Cash Budget preparation

The cash budget should include the figures for the year, analysed by quarter. The cash budget for each quarter will reflect the detailed specifications for project activities, schedules (including procurement plan), and expenditure on project activities scheduled respectively for the quarter. The capacity of the accounting staff to fulfil budgeting needs of the project will be up-dated over the project life as may become required.

Accounting

IDA funds will be accounted for by the project on accrual basis using International Public Sector Accounting Standards (IPSAS) in line with the FGN's adoption of IPSAS in its entirety in 2016. Annual financial statements will be prepared in accordance with accrual basis IPSAS.

Computerized accounting system will be used incorporating a Chart of Accounts for the project which enables recording and reporting of expenditures by Categories, Components, Subcomponents and Activities.

All accounting and control procedures will be documented in the FPM, a living document which will be updated as appropriate regularly by the Project and shared with the World Bank for review and clearance.

Financial reporting

Within the SPMUs and FPMU, the project coordinators will ensure that project accountants prepare relevant financial reports on a timely basis.

In compliance with government requirements, monthly returns will be made to the Accountant General of the State and Federation respectively for incorporation in the government accounts.

Unaudited **Interim Financial Reports** (IFRs) will be prepared by the FPMU and SPMUs on a calendar semester basis and submitted to the World Bank **within 45 days of end of the relevant semester**. The formats of IFRs have been developed and agreed and must include the following minimum information:

- Statement of Sources and Uses of Funds by Category
- Statement of Sources and Uses of Funds by Component
- Statement of Uses of Funds by Project Activity
- Designated Account (DA) Activity Statement
- Schedule of Counterpart Fund for the Semester
- Schedule of Bank Balances for the Semester

Internal control systems

Adequate internal controls are in place at both SPFMUs and FPFMD but will be strengthened further. The control features at both SPFMUs and FPFMD include:

- a framework FM procedures manual adapted for each project;
- relevantly qualified staff that are well trained in relevant World Bank procedures and requirements, including procurement;
- segregation of functions/duties; and
- highly independent and well-trained internal auditors.

The FM staff are nominated by each State Accountant-General and the Accountant General for the Federation and subject to clearance by the World Bank.

Internal auditing

The FPFMD and SPFMUs have independent and effective Internal Audit Units. The work programs of the assigned internal auditors will include periodic reviews of the project activities. The internal auditors will utilize a **risk-based internal audit** (RBIA) methodology for which training will be provided by the project. RBIAs will enable to carry out the traditional compliance audit and the non-financial or operational internal audit but without adopting the pre-payment audit system.

Project Financial Statements

The annual financial statements will be audited by an independent external auditor. The FPMU is saddled with the responsibility of engaging an external auditor for the annual consolidated audit of

the Project for uniformity purposes based on Terms of Reference acceptable to IDA - **see Annex XXI for an outline of the TOR**.

The auditor will express an opinion on the **annual financial statements** in compliance with International Standards on Auditing (ISA). In addition to the audit report, the external auditors will prepare a **Management Letter**.

Copy of the audited financial statements along with the Management Letter will be submitted to IDA **not later than six months after the end of each financial year**.

The *Financial Statements* will comprise:

1. A **statement of Sources and Uses of funds/cash receipts and payments**, which recognizes all cash receipts, cash payments and cash balances controlled by the entity and separately identifies payments by third parties on behalf of the entity.
2. The **Accounting Policies Adopted and Explanatory Notes**. The explanatory notes should be presented in a systematic manner, with items on the Statement of Cash Receipts and Payments being cross-referenced to any related information in the notes. Examples of this information include a summary of fixed assets by category of assets, and a summary of the IFR Withdrawal Schedule, listing individual withdrawal applications.
3. A **Management Assertion** that Bank funds have been expended in accordance with the intended purposes as specified in the relevant World Bank legal agreement.

The *Management Letter*, which provides an overview of audited activities in the financial year, will comprise:

1. **Observations** from the audit exercises carried out.
2. **The impact** of shortcomings identified. This quantifies the identified problems in potential monetary terms.
3. **Recommendations** which cut across every unit audited.

Technical Audits

In addition to the annual financial audit, technical audit will also be conducted on the Works contracts and performed by Subject Matter Experts. The technical audit will focus on the Works contracts with a view to ascertaining technical quality, economy and efficiency in use of project resources.

Fraud and Corruption

Fiduciary risk is *Substantial*. The risk of corruption and fraud will be mitigated by procurement, financial management and oversight systems and will build on experienced under NEWMAP, FADAMA and TRIMING. Measures to mitigate risks of fraud and corruption include:

- carryout the Project out in accordance with the *Guidelines of Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants* ("Anti-Corruption Guidelines" or, for short, the "ACGs");
- having in place *grievance redress mechanism* within the FPMU or relevant SPMU;
- *social accountability mechanism* at community levels which will emphasize transparency and local level accountability; and
- hiring an independent pool of Expert Advisors (international and national) to provide *quality assurance* on the technical quality of deliverables.

Refer to Section 2.10 under Procurement below for further details on ACReSAL Anti-corruption Protocols.

1.3 Disbursements

Banking arrangements and Funds Flow

Project funding is comprised by an IDA credit and by counterpart financing from the Government and from beneficiaries. At the federal level, the project accounts will be opened with the Central Bank of Nigeria (in line with the FGN TSA directives) and the states will open the project accounts at reputable commercial banks acceptable to IDA. Retroactive financing will be included in the project as per details included in the Financing Agreement.

The specific banking arrangements are as follows:

Federal PMU

- One US$ Designated Account (DA) for the FPMU to which the initial deposit and advances from IDA will be disbursed for activities to be executed at federal level.
- One Current (Draw-down) Account in Naira to which draw-downs from the DA will be credited in respect of eligible expenditures.

Participating SPMUs

- One US$ DA to which the initial deposit and advances from IDA will be disbursed.

- One Current (Draw-down) Account in Naira to which draw-downs from the DA will be credited in respect of incurred eligible expenditures, maintaining balances on this account as close to zero as possible after payments.
- One Current Account in Naira to which state government contributions will be deposited.

All bank account ledgers will be reconciled with bank statements monthly and expeditious investigation of identified differences conducted. Details of the bank reconciliation procedure will be documented in the FPM.

The FPMU and SPMUs will be responsible for preparing and submitting Withdrawal Applications (WA) to the Bank. The WAs will be supported by bank statement and a reconciliation of the Designated Account and such other support documents as may be required.

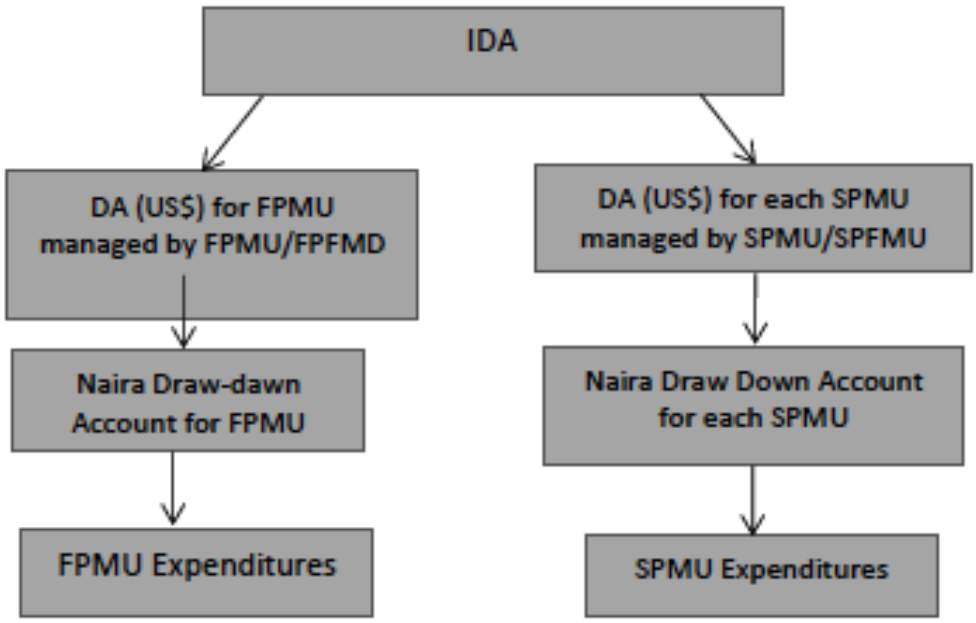


Figure 1. Funds Flow Arrangements

Disbursement Methods

The project will use the **transaction-based disbursement method** and not report-based disbursement at effectiveness. Use of the transaction-based disbursement method will be augmented with enhanced controls which will include acceptable justification for additional advances and regular submission of documentation for incurred eligible expenditures.

When project implementation begins, the World Bank will review and monitor the performance of the fiduciary arrangements in place. The World Bank team may recommend conversion to report-based disbursement based on assessment of performance and demonstrated capacity for adhering to the principles of report-based disbursement.

Details of the disbursement arrangement will be in the Disbursement Letter.

Disbursement Categories

The table below sets out the expenditure categories and percentages to be financed out of the credit proceeds.

Table 2. Expenditure categories and percentages to be financed

Category	Amount of the Credit Allocated (expressed in USD	Percentage of Expenditures to be Financed (inclusive of Taxes)
Goods, works, non-consulting services, and consulting services under the Project	497 million	100%
Emergency Expenditures	0	100%
TOTAL AMOUNT	497 million	

Authorization and Approval Limits

Authorization and approval limits shall be in line with the Project Financial Procedures Manual**.**

Delegated Authority

In certain cases where an authorized officer has delegated his powers to a subordinate officer, he nevertheless remains responsible for the efficient performance of the delegated authority.

An officer may not make payment against a voucher unless:

a. It is properly signed, authorized and approved for payment by the appointed signatories.
b. It bears the appropriate classification and accounts code.
c. All computations have been properly checked and confirmed as such.

1.4 Financial Management Action Plan

Actions to be taken for the project to further strengthen its financial management system are listed in Table 3.

Table 3. FM Action Plan

Action	Date due by	Responsible
Train designated SPFMU and FPFMD staff in Bank FM procedures and Disbursement Guidelines.	Before effectiveness	FPFMD/SFPMU and SPMU/PFMU
Appoint external auditor	Within 90 days after effectiveness	FPFMD/SFPMU and SPMU/PFMU
Designate PA, PIA and support accounting technicians	Signing of FA	FPFMD/SFPMU SPMU/PFMU
Prepare Financial Procedures Manual (FPM)	Effectiveness	FPFMD/FPMU and SPMU/PFMU

Implementation Support Plan

Table 4. Implementation Support Activities

FM Activity	Frequency
On-site supervision: FM aspects, including internal control systems, the overall fiduciary control environment, and tracing transactions from the bidding process to disbursements as well as SOE review.	Twice a year
Desk Reviews: · IFRs · quarterly internal audit reports · audited Annual Financial Statements and management letters · follow up of issues that arise, and · updating the FM rating in the Implementation Status Report (ISR) and the FM System.	As needed
Capacity Building Support	During implementation, when and as needed.

The implementation support plan follows the outcome of the WB's FM risk assessment (Table 4). An FM assessment of the implementing entities in line with the FM Manual (September 7, 2021) and the AFTFM Financial Management Assessment and Risk Rating Principles (October 2010) was conducted in August 2021.

2. Procurement Procedures

2.1 Legal Aspect and Procurement Practices

1. Procurement for the proposed project will be carried out in accordance with the following World Bank procedures:

    - the World Bank Procurement Regulations for IPF Borrowers (Procurement Regulations) (July 2016, revised in November 2017, August 2018 and November 2020);
    - "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006 and revised in January 2011 and July 2016; and
    - other provisions stipulated in the Financing Agreements. In accordance with paragraph 5.9 of the Procurement Regulations, the World Bank's Systematic Tracking and Exchanges in Procurement (STEP) system will be used to prepare, clear, and update procurement plans and conduct all procurement transactions for the project. In this regard, the allocation of roles in STEP has been forwarded to the implementing agencies to register the agencies in STEP.

2. Although the Operations involved in implementing the procurement packages, thresholds and levels of approvals in a World Bank Financed Project are quite different from the public procurement sector, the penalties and sanctions contained in Government's Procurement Guideline (Public Procurement Act (2007) shall apply.

3. A sufficiently large numbers of firms are available locally and international for most of the procurement packages under the project, therefore **competitive procurement** can readily be used to achieve value for value during procurement implementation.

4. The appropriate World Bank Standard Procurement Documents will be used for all **international open competitive** procurement.

5. For **national open competitive procurement** at the federal and state levels, the Federal Government standard national bidding documents may be used provided, the following are incorporated into the documents:

    - open advertising of the procurement opportunity at the national level;
    - the procurement is open to eligible firms from any country;
    - the request for bids/request for proposals document shall require that bidders/proposers submitting bids/proposals present a signed acceptance at the time of bidding, to be incorporated in any resulting contracts, confirming application

of, and compliance with, the World Bank's **Anti-Corruption Guidelines**, including without limitation the World Bank's right to sanction and the World Bank's inspection and audit rights;

- procurement Documents include provisions, as agreed with the World Bank, intended to adequately **mitigate against environmental, social (including SEA and GBV and security management), health and safety risks and impacts**;
- publication of contract award information;
- contracts with an appropriate allocation of responsibilities, risks, and liabilities;
- rights for the World Bank to review procurement documentation and activities;
- an effective complaints mechanism; and
- maintenance of records of the Procurement Process.

6. Other **national procurement arrangements** (other than national open competitive procurement), that may be applied for the project (such as limited/restrictive competitive bidding, request for quotations/shopping, direct contracting), shall be consistent with the requirements set out in paragraph above of the Procurement Regulations. Since the complaint mechanism as provided for under state laws are similar to that of the Federal law, the federal-level sanction procedures will apply under the project.

7. For procurement arrangements at **local/community level**, e.g., for Component B, the SPMU will select the service providers and release funds to a registered community association in tranches. The community association in turn will release the inputs and the funding for the execution of the activities to community interest groups using the Community-Driven Development (CDD) procurement procedures and methods acceptable to the Bank and specified in Section 2.7, under the guidance and supervision of the community association.

E-procurement System

- The use of **e-Procurement** by the participating states and the FPMU will improve value for money, transparency, economy, efficiency, effectiveness, integrity, and openness of procurement process under the project.

- The MDB e-Procurement Assessment to determine the suitability of the system for procurement under World Bank financed project is currently ongoing and will be reflected in the PPSD.

2.2 Implementation Arrangements

Procurement procedures at the federal and state levels under the project will be similar to those of NEWMAP.

Each state will be responsible for the procurement of its own activities and submit the prior review activities directly to the Bank for review.

Federal Level

The FPMU will coordinate procurement at the Federal level. Therefore, each participating Federal MDA will prepare its work plan as part of the annual joint work programming process and submit it to the FPMU (which facilitates multi-sector dialogue to avoid duplications). The FPMU will in turn collate the work plans and prepare one unified **Procurement Plan,** which will include all procurement activities required by each Federal MDA. The procurement unit of the FPMU will collaborate with the technical experts of MDAs handling the bidding process in an effective, efficient and transparent manner to ensure value for money and multi-sector coordination.

At FPMU, there will be a qualified and experienced **Procurement Specialist** who is a staff of the FME. The FPMU will also recruit a **Procurement Consultancy** for implementation and coordination of the procurement activities of the FPMU and all the State PMUs. The Consultancy will support the procurement implementation of the FPMU and SPMUs – **see Annex XXI for an outline of the procurement specialist and consultancy TORs**.

State Level

Each State also undergoes a multi-sector joint work programming process facilitated by the SPMU, ultimately resulting in one unified **Procurement Plan** from the SPMU.

Each participating State MDA will submit its work plan to the SPMU who will prepare one procurement plan for the State.

The bidding processes will be handled by the procurement unit of the SPMU. However, the technical experts of the user department or of the participating State MDAs shall be required to submit such technical specification where necessary.

Though procurement will be decentralized as stated above, the FPMU (supported by the procurement consultancy) will closely support the SPMU's procurement implementation in the following areas:

- Preparation of draft standard bidding documents compliant with WB procurement guidelines for common goods or works bidding document and Request for proposals (RFP) for adoption by the states.
- Sharing of design, drawings and specifications with the SPMU for guidance.
- The FPMU procurement consultant will visit the State PMUs during bidding processes and provide quality assurance on the documents for both post and prior review packages.
- Conducting a review of the SPMU procurement system to ensure compliance with procurement policies, procedures and proper documentation ahead of the WB's post-procurement review mission.

Local and Community Level

The procurement arrangements at local/community level (e.g. for Component B) is required for works, goods and services (Consultancy & Non-Consultancy). Micro projects such as construction of boreholes, engineer to draw up design.

In sum, funding shall be released to a registered **Community Association** in tranches and the Community Association either

a. procures service providers directly to supply the needed inputs to the Community Interest Groups, or
b. releases money to Community Interest Groups for procurement of their inputs using Community-Driven Development procurement procedures and methods under the guidance and supervision of the Community Association.

These funds will be passed from the SPMU to the Community Association directly, once the community liaison and support professional/s have certified that the proposed sub-project selected by the Community Association is ready for implementation.

However, as the support professionals demonstrate the necessary internal capacity for financial management and procurement, these funds can then be transferred from the State PMU to the State NGOs which can then disburse directly to communities.

The Community Association is expected to liaise with the Procurement Specialist of the SPMU in all these.

2.3 Institutional Capacity Assessment

The FPMU and the states that are implementing NEWMAP have experience in World Bank Procurement Regulations. The procurement officers have received sufficient training in procurement under World Bank funded project.

Procurement Capacity Assessment

An assessment of the capacity of the twenty implementing agencies to implement project procurement activities was carried out in accordance with Procurement Services Policy Group (OCSPR) guidelines dated August 11, 1998.

The assessment reviewed the organizational structures for implementing the project and the roles of the key actors in project implementation of the agencies. The detailed assessment is in the **project files**.

The review of the State PMUs shows that some have history of implementing Bank-financed project procurement. Other risk issues include:

- lack of procurement capacity in implementing the procurement packages effectively;
- lack of effective and efficient storage;
- lack of appropriate MIS for tracking procurement records;
- lack of contract management skills;
- potential undue interference in the procurement process; and
- frequent transfer of procurement staff after building capacity.

The gaps that were observed in the implementation of NEWMAP especially in contract management will be addressed under ACReSAL. For instance, before the commencement of ACReSAL, training and re-training will be required for all Procurement Officers in view of the dynamics peculiar in the procurement practice with the introduction of the e-procurement system and new features on STEP, particularly for New States that were not initially under the NEWMAP (e.g. F.C.T, Adamawa, Kwara, Taraba, Kebbi, etc.).

Training Activities

The FPMU/SPMU shall submit a training plan (on an annual basis) with the individual training activities to the World Bank for No Objection. Once No Objection is provided, the FPMU/SPMU will carry out the training plan. Such a plan shall contain the following information:

- Name and duty of trainees
- Unit cost of training and total cost

Procurement Supervision

- At least two supervision missions a year to visit the field to carry out post-review of procurement actions.
- The procurement post-reviews should cover at least 20% of contracts subject to post-review.

- Post reviews of in-country training will also be conducted from time to time to review the selection of institutions/facilitators/course contents of training, justifications thereof, and costs incurred.
- Prior review is necessary by the Bank as it ensures compliance to guidelines and decisions made by the respective PMUs and enhances capacities in handling similar packages in the future.

For more details on the ACReSAL Capacity Building plans refer to Project Files

2.4 Procurement Risks and Mitigation Measures

Based on the assessment, **the overall risk for the project is substantial** and the following mitigation measures are proposed:

Procurement Risk Analysis

Table 5. Summary of ACReSAL Procurement Risk Analysis

Market/Contract Title Description	Risk Description	Description of Mitigation	Risk Owner
Construction of shovel ready gully erosion control site	Designs may no longer be valid by the contracts during contract execution	A consultant will be hired to update the design before the commencement of the procurement process	State PMU and World Bank
	Expansion of the gullies between bidding and contract signature	Provisions for physical contingencies will made in the signed contract.	State PMUs
	Expansion of gullies during construction due to poor drainage resulting from construction of the works	Proper drainage on the site must be maintained during construction and the Contractor shall be held responsible for any flood damage to life and properties due to his work in this Contract. The Contractor shall allow in his rates, inter alia, for all costs to maintain or divert flow in drains, ditches, open channels and watercourses during construction and other	Contractor

Market/Contract Title Description	Risk Description	Description of Mitigation	Risk Owner
		drainage work. No claims for additional payment will be considered in this regard.	
Construction supervision consultancy	Poor supervision of the works contracts		
Procurement of goods to be imported from outside the country (delfino ploughs, tractors, etc.)	Delay in port clearance	All the necessary documentation and waivers will be processed speedily	PMUs
General (for all contracts)	High inflation and exchange rate volatility	Price adjustment to applied to most even if they duration is less than 18 months.	PMUs

To mitigate these risks and considering the large volume of procurement in this operation, each PMU (Federal and State) will:

- Competitively recruit a qualified and experienced **Procurement Specialist** and **Consultant**. A **Procurement Assistant** will also be assigned to the PMU.

- A strong and adequate Procurement Unit will need to be established in each PMU. Bank PS will also provide training clinics where necessary, and close supervision.

- The Federal PMU will competitively recruit a **Procurement Contractor** with experience and qualified staff for processing the procurement of Goods, Works and Consultancy services before effectiveness.

- The firm will support the procurement implementation of both the Federal PMU and the State PMUs. Consultants from the Federal PMU will visit the State PMUs during bidding process and provide quality assurance to the documents for both post and prior review packages.

- All the prior review packages of the State PMUs will be reviewed by the Federal PMU procurement consultants for quality assurance before submission to the Bank for prior review.

- Each State PMU will also hire a **consultant to support** the procurement activities in the first year of project implementation; this can be renewed based on need. The procurement consultants will improve capacity and support the Procurement Specialist.

Table 6. Procurement Action Plan

Action	Responsibility	Due Date	Remarks
Procurement Plan for the first 18 months prepared and agreed with the Bank.	FPMU/SPMUs	By Appraisal	Finalized and agreed during negotiation.
WB has approved an NCB Standard Bidding Document for FGN. Therefore, the FPMU will use this NCB document.	FPMU	Before Board approval	First set of NCB bidding document to be prepared and reviewed by the Bank before Board Approval.
Since none of the participating States has an approved NCB bidding document, the SPMU has agreed to use the National Standard Bidding Document.	SPMUs	Before Board approval	First set of NCB bidding document to be prepared and reviewed by the Bank before Board Approval.
Training of Procurement Specialist through Workshops and Institutional Training.	FPMU/State PMUs	Before effectiveness and during project implementation	Continuous
Organize Contract Management training for staff.	FPMU/SPMUs	For the FPMU, three months after effectiveness For SPMUs, three months after signing their subsidiary agreement For all PMUs, maintain during project implementation	To improve project staff contract management skills.
Preparation of draft Bidding documents, EOIs RFPs, QSLs, etc.	FPMU/SPMUs	Before negotiation	To ensure that adverts will be placed as soon as project is approved for timely project implementation.
Procurement tracking	FPMU/SPMUs	For the FPMU,	FPMU/SPMU staff

Action	Responsibility	Due Date	Remarks
system (use of STEPS).		before project effectiveness For SPMUs, within one month of signing their subsidiary agreement	will be trained by WB's STEPS champion on how to operate the system under the PPF procurement implementation and before project effectiveness.
Establishment of a procurement complaints database, creation of an email address, procurement of a computer, complaint box and GSM hot line.	FPMU/SPMUs	For the FPMU, three months after effectiveness For SPMUs, three months after signing their subsidiary agreement For all PMUs, maintain during project implementation	To reduce fiduciary risks
Recruitment and training of a Complaint Officer by each PMU.	FPMU/SPMUs	For the FPMU, three months after effectiveness For SPMUs, three months after signing their subsidiary agreement	Designated officer will be trained by agencies such as EFCC, ICPC. He/she will produce quarterly reports and submit to PC and Steering committee at both FPMU and SPMU levels.
Email address of complaint shall be included in every bidding document/RFP.	FPMU/SPMUs	Continuous	This will enable any aggrieved person to submit a complaint at any time.
Technical consultant to be recruited by FPMU will conduct technical audit from time to time.	FPMU	Each Fiscal Year	Continuous but preferably before payment for major works contracts.

2.5 General Procedures

The categories of procurement activities consist of works, consulting services, and goods.

- The **procurement of works** will include gully erosion control, flood and sedimentation control, construction of firebreaks, rehabilitation and construction of small dams, small scale irrigation infrastructure, special area management (e.g. sand dune stabilization, improvement of protected areas and oases), small buildings, etc.
- The **procurement of goods** will include procurement of fire control equipment, vehicles, farm inputs (seeds, fertilizers), post-production equipment, computers, furniture, etc.
- Procurement of **consulting services** will include watershed assessment studies, watershed planning, engineering design and supervision, data collection and analyses, etc.

The appropriate selection method for each works, consulting services, and goods contracts is established in the Procurement Plan (in Project Manuals Folder).

New Procurement Policies adhering to ESF requirements will be developed and included under Annex XXIV (E.g. solar specifications, third party suppliers and force labour)

List of Procurement Activities

The project is designed as framework project and therefore investments and the participating states (the major investments will be implemented by the participating states) are not fully known yet.

Table 7. Procurement Activities for initial phase of project implementation (note: update on project effectiveness)

S/N	ACTIVITIES	COST ESTIMATE (USD)	CUMMULATIVE COST ESTIMATE (USD)	% of TOTAL COST ESTIMATE
1	Technical assistance for landscape restoration services	10,000,000	10,000,000	28%
2	Extension services technical assistance	9,900,000	19,900,000	57%
3	Implementation support consultancy	9,500,000	29,400,000	84%
4	Long-term framework and policy support	2,500,000	31,900,000	91%
5	Development of strategic catchment plan	1,600,000	33,500,000	95%
4	Monitoring Information System (MIS) and maintenances	600,000	34,100,000	97%
5	Others ICT Equipment and connectivity, cloud services, others	400,000	34,500,000	98%

	general services			
	Desktops & Laptops	300,000	34,800,000	99%
	Data collection and analysis at State/federal Level	168,000	34,968,000	100%
	Production of Manuals (PIM)	90,000	35,058,000	100%
	Design and hosting of interactive website	56,000	35,114,000	100%
	TOTAL	35,114,000		

In the table above are the activities that already known, and implementation can commence immediately. The Project Procurement Strategy for Development (PPSD) [52] will be updated during implementation as the investments and participating states become more defined. These investments include gully erosion control, rehabilitation of irrigation and dams.

For each contract to be financed by the credit, the different procurement methods or consultant selection methods, estimated costs, prior review requirements, and time frame are agreed between the Recipient and the World Bank in the **Procurement Plan**.

The Procurement Plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity *(see Project Manuals Folder).*

Procurement Plan

To facilitate the execution of the project preparation, a procurement plan is to be drawn by the SPMU. This plan consider the initial period of 18 months of the Project and sets forth:

a. the particular contracts for the goods, works, and/or services required to carry out the project during the initial period of at least 18 months;
b. the proposed methods for procurement of such contracts that are permitted under the Loan Agreement, and
c. the related Bank review procedures.

The SPMU shall update the Procurement Plan annually or as needed throughout the duration of the project and shall implement the Procurement Plan in the manner approved by the Bank. Each updating of the Procurement Plan requires the 'no objection' of the World Bank.

The Procurement Plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity.

[52] The PPSD is a strategy document, an action plan and a road map for the entire country that puts into consideration the political, economic, social, legal and environmental factors that affects the procurement of goods, works and services. The PPSD is a living document that may be updated as the need arises.

2.6 Selection of Consultants

Consultancy services valued at about US$100 million will be provided under ACReSAL and includes the following categories:

- Financial audit
- Procurement
- Feasibility and design studies (including environmental engineering)
- Works design and supervision
- Institutional development
- Training and capacity development
- Monitoring and evaluation
- Climate change agenda support
- Climate-smart agricultural practices
- Desertification control measures and methods
- Oasis rehabilitation
- Dune stabilization

Requirements for all consultancy services under IDA financing:

- For consultant assignments estimated to cost more than US$200,000 or equivalent per contract, firms must be selected using Quality Based Selection (QCBS) procedures.

- For consultant assignments estimated to cost less than US$200,000 or equivalent per contract, firm may be selected using the Consultants' Qualifications methods.

- Consulting firms required to carry out standard or routine assignments such as audits must be selected using the Least Cost Method.

- Individual consultants must be selected based on educational qualifications and experience in accordance with Chapter V of the Consultants Guidelines.

- Single Source selection should be used where it can be justified and after consultation with the World Bank.

- All single source consultants from firms must be subject to prior review of the Bank.

- The prior review threshold for consultants' services are US$100,000 or equivalent per contract for individual consultants and US$200,000 or equivalent per contract for firms (Table 8).

- Consultants shall be selected using Request for Expressions of Interest (EOI), short-list, and the WB's Standard Request for Proposal, where required by the Consultant Guidelines.

Table 8. Prior review threshold for consultancy services

Selection Method	Prior Review Threshold
Competitive Methods (Firms such as QCBS, CQS, QBS, Fixed Budget, Least Cost Selection)	Above US$200,000
Works Supervision	Above US$300,000
Single Source (Firms)	All Values
Individual Consultants	Above US$100,000

Procedures for Selection of Consultants[53]

Preparation of RFP and short-listing of consultants

The FPMU/SPMU will, jointly with the responsible technical officers or each component, prepare or finalize the TOR and short list for the engagement of all consultants. All TORs shall be submitted to the Bank for "no objection" where the selection is subject to prior and post review.

In preparing the shortlist of consulting firms, the FPMU/SPMU will ensure that first consideration is given to those firms expressing interest which possess the relevant qualifications. Shortlists shall comprise six firms with a wide geographic spread with no more than two firms from any one country and at least one firm from a developing country, unless qualified firms from developing countries are not identifiable. For the purpose of establishing the shortlist, the nationality of a firm is that of the country in which it is registered or incorporated. During the no objection process, the Bank may ask to expand or reduce a shortlist; however, once the Bank has issued a "no objection" to a shortlist, the SPMU shall make sure that no names are added or deleted without the Bank's concurrence. Firms that expressed interest, as well as any other firm that specifically requests so, shall be provided the final short list of firms.

- **QCBS Procedures:**

For the engagement of firms through QCBS procedures the RFP shall include (a) a Letter of Invitation, (b) Information to Consultants, (c) the TOR, and (d) the Proposed Contract. *Note that the TOR are not to be sent through PROCY.* The steps to follow are:

Steps

1. Preparation of EOI, TOR
2. Submission for Bank's review

[53] Also refer to *Recruitment of Staff Procedures* in PART III, Section 2.2 and the Screening Checklist that will be available in Annex XX.

3. No objection received
4. Advertise EOI
5. Submission of EOI by consultant
6. Set up Evaluation Committee
7. Submission of short list and RFP to World Bank
8. Receive No Objection notification from Bank
9. Receive proposals from consultants
10. Opening and evaluation of Technical proposals
11. Submission of technical evaluation report to the Bank through PROCY
12. No objection received on technical report
13. Opening of Financial Proposal
14. Prepare and submit Combined Technical and Financial Evaluation Report
15. Receive No objection on Combined Technical and Financial Evaluation Report
16. Negotiation of contract
17. Submit Minutes of Negotiation and Draft Contract and receive No Objection
18. Notification of award
19. Contract signature
20. Send signed contract to TTL

- **Consultant Qualifications (CQ):**

Steps:

1. Preparation of TOR
2. Advertisement
3. Evaluation
4. Negotiation
5. Notification of award
6. Contract signing
7. Acceptance of first draft or interim report
8. Acceptance of first report

- **Individual Consultant (IC):**

Steps:

1. Preparation of TOR
2. Short listing
3. Evaluation
4. Notification of award
5. Receipt of interim report
6. Receipt of final report

- **Least Cost Selection/OR Community-level Consultants Selection:**

Steps:

1. Preparation of TOR
2. Advertise EOI
3. Short listing
4. Evaluation
5. Notification of award
6. Receipt of interim report
7. Receipt of final report

Bids Evaluation Committee

Bids evaluation will be carried out by ad hoc evaluation committee members who shall be nominated by the PC (Project Committee) vide a memo. The evaluation committee will comprise at least the following members:

i) Procurement Specialist (PS) as member/secretary
ii) User departments
iii) Technical experts
iv) Financial Management Specialist
v) Internal Auditor (Observers)

Membership shall comprise a minimum of three (3) persons including the Procurement Specialist, and always an odd number. The Chairman will be appointed by the members of the committee on a simple majority. The evaluation committee will take decision on a collegial basis. Each member will be provided with a copy of the proposals and will meet to discuss on the scores of criterion by the evaluators. All decisions of the evaluation committee shall be taken at simple majority. Prior to evaluation, the evaluation committee will prepare detailed evaluation criteria with their respective scores, which shall be only a precision of the original criteria included in the RFP. In no case may the original criteria of the RFP be modified. In all cases, the evaluation shall respect strictly the dispositions and criteria indicated in the RFP.

For QCBS, the evaluation of the proposals shall be carried out in two stages: first the technical, and then the financial. Evaluators of technical proposals shall not have access to the financial proposals until the technical evaluation, including No Objection of the result by the Bank, is concluded. Until the Bank has issued No Objection on the result of the technical evaluation, no communication or information will be exchanged with the firms. Once the technical evaluation is completed and the corresponding No Objection has been issued by Bank, the SPMU shall notify those consultants whose proposals did not meet the minimum qualifying mark or were considered non-responsive to the RFP and TOR, indicating that their financial proposals have remained unopened. The SPMU shall simultaneously notify all the consultants that have secured the minimum qualifying mark, and the date and time set for opening the financial proposals. Financial proposals shall be opened thereafter only in the presence of representatives of firms. The opening date shall not be sooner than two weeks after the notification date.

The financial proposals shall be opened publicly in the presence of representatives of the bidders who choose to attend. The name of the consultant, the technical scores, and the proposed prices shall be read aloud and recorded when the financial proposals are opened, and a copy of this minute shall be promptly sent to the Bank and circulated to the firms. The procurement Specialist of the Project shall prepare the minutes of the public bid opening.

2.7 Procurement of Works, Goods and Non-Consultant Services

A total of about **US$250 million has been allocated for the procurement of works** under ACReSAL. Works procured under the project include:

1. Civil works
2. Maintenance of flood and gully erosion sites
3. Procurement of Goods and Non-Consultancy Services

A total of about **US$100 million has been allocated for the procurement of goods** under ACReSAL. Goods procured under the project would include:

- Office furniture
- Project vehicle(s)
- Computers
- Software (licenses) for GIS, Database Management, Image Treatment, Word Processing, Spreadsheets, etc.
- Accessories
- Software
- Communication equipment
- Office equipment
- Hydro-meteorological systems
- Satellite imagery
- Overhead photography
- Survey equipment
- Tools to gauge and trace watershed
- Terrestrial carbon and water flows

Direct Contracting[54]

- Direct contracting for the procurement of civil works and goods may be used to **extend an existing contract or award a new contract**.

- For such contracting to be justified, the Bank must be satisfied that the price is reasonable and that no advantage could be obtained by further competition.

[54] Paragraph 37, Procurement Regulations for IPF Borrowers (rev. Nov 2020). Guidelines.

- The direct contracting may be from the private sector, UN agencies/programs (for goods), or contractors or NGOs.

Shopping[55]

- Shopping may be an appropriate method for procuring ready-available off-the-shelf goods of less than US$100,000 or simple civil works of less than US$200,000.
- The procurement plan must determine the cost estimate of each contract, and the aggregated total amount.
- The borrower must solicit at least three price quotations for the purchase of goods, materials, small works, or services (non-consulting), to formulate a cost comparison report.

Steps for Procurement of Goods, Works and Consultancy Services

Goods and Works

Steps:

1. Procurement Specialist initiates procurement action to the PC for approval.
2. Procurement Specialist sends quotation/solicitation letters to vendors.
3. PC sets up evaluation committee with PS as secretary/member.
4. Bids received and evaluated.
5. Bid Evaluation Report (BER) prepared by the PS and sent to PC for approval.
6. Notification of Award sent to the successful bidder.
7. Contract signed.

National Competitive Bidding (NCB) [post review]

Any contract exceeding the shopping threshold is subject to NCB.

All bidding must be guided by:

- The Nigeria Procurement Act 2007.

The following NCB exceptions shall apply:

- No bidder or potential bidder shall be declared ineligible to bid for reasons other than those provided in Section I of the Bank Procurement Guidelines.
- Bidding documents acceptable to the International Development Association must be used.

[55] Paragraph 3.5 of the "Guidelines: Procurement under IBRD Loans and IDA Credits" May, 2004 (revised October 1, 2006 and May 1, 2010), and the "Guidance on Shopping Memorandum" issued by IDA, June 9, 2000).

- The bidding documents and contract shall include provisions reflecting the Bank's policy relating to firms or individuals found to have engaged in fraud and corruption, as defined in the Procurement Guidelines.
- Each bidding document and contract shall provide that bidders, suppliers and contractors, and their subcontractors, agents, personnel, consultants, service providers, or suppliers, shall permit the Association to inspect all accounts, records, and other documents relating to the submission of bids and contract performance, and to have them audited by auditors appointed by the Association. Acts intended to materially impede the exercise of the Association's inspection and audit rights provided for in the Procurement Guidelines constitute an obstructive practice as defined in the Procurement Guidelines.
- Unqualified criteria, such as local content, technology transfer, and managerial, scientific, and operational skills development, shall not be used in the evaluation of bids; and
- Contracts may not be split into small lots, and their award may not be restricted to small enterprises for purposes of promotion of the participating of small enterprises.

Steps:

1. Procurement Specialist prepares specification, BOQ and Drawings in liaison with user department and submits to PC for approval.
2. Submits to FPMU / Procurement Consultant for review.
3. Advertisement.
4. Public Bid Opening.
5. PC constitutes Evaluation Committee.
6. Committee carries out the evaluation.
7. Bid Evaluation Report submitted to PC for approval.
8. Bid Evaluation Report sent to FPMU consultant for review.
9. Award notification sent to the Bidder.
10. Signing of contract.

International Competitive Bidding (ICB) [prior review]

Steps:

1. Procurement Specialist prepares specifications and BOQs in liaison with Technical/User departments.
2. Submits to Project Coordinator for approval.
3. Sends to FPMU /Procurement Consultants for review.
4. Reviewed documents are sent to the Bank for 'No Objection'.
5. Advertisement carried in at least 2 (two) National dailies and in the Federal or State Tenders Journal.
6. Public Bid Opening.

7. Project Coordinator constitutes Evaluation Committee.
8. Procurement Specialist prepares Evaluation report.
9. Submits Bid Evaluation Report to Project Coordinator for approval.
10. Bid Evaluation Report submitted to FPMU for review.
11. Bid Evaluation Report submitted to the Bank for 'No Objection'.
12. Notification to successful bidders/Award of contract.
13. Signing of contract.

Force Account

When contractors/suppliers are unlikely to bid at reasonable prices or a certain government agency has sole rights in certain type of works/supply, borrowers may use their own government departments' personnel and equipment or government owned construction unit. This may be the only practical method and may be used provided that the agency has sufficient managerial capacity and possesses the required technical and financial control to report to the Bank on expenditure as per paragraph 3.9 of the Procurement Guidelines.

Framework Agreements (FAs)

Framework Agreements will be used for similar standard goods and services like procurement of computers, vehicles, safeguard studies, etc. that will be procured by almost all participating states. This will offer more efficiency, transparency and competition, better value for money through economies of scale, security of supply. In addition, such procurement will be more easily monitored and evaluated.

Framework Agreements shall be used as an alternative to NCB or Shopping for:

- Goods that can procured off-the-shelf, or are commonly used with standard specifications;
- Non-consulting services of a simple and non-complex nature; and
- Small works under emergency.

Amounts for the FAs shall be set in the Procurement Plan and agreed to with the Bank.

Community-Driven Development (CDD) Procurement Procedures and Methods

Guiding Principles and Community Participation in Procurement

1. The projects should ensure transparency of procurement by:

i) developing a simple procurement plan for the *entire* project endorsed by the Project management Committee (PC) as well as the Community Development Association (CDA) and/or village chief, and

ii) informing CDA whenever goods are procured and delivered,

iii) reporting problems not only to the project management committee but also to CDA.

2. Active support on prices and quality need to be provided to communities to assist them in negotiating with suppliers. Information on performance and prices available from various suppliers can be kept up to date in supplier database.

3. Communities must have a thorough understanding of the stages of construction and materials needed for each stage to ensure that the right quantities of goods are purchased at the right time, without exceeding the given price limits.

4. Suppliers can be pre-qualified, reducing community options to a short list of suppliers with whom prices and quality standards have been negotiated for different service level options.

Actors in Community Contracting

- Beneficiary Community
- Community Development Association (CDA)
- Community Project Management Committee (CPMC)
- Procurement Committee
- Service Provider/Contractor
- Financier

Community Projects Management Committee (CPMC)

The CPMC shall be responsible for the formulation, implementation and management of the CDP. The CPMC would be made up of a Chairman, Vice Chairman, Treasurer, Financial Secretary, Secretary, Assistant Secretary and Ex-officio members who will represent the various user groups or sub-committees. Female community members are encouraged to be well represented.

The specific responsibility of the CPMCs are highlighted below:

i. Identify issues and priority areas and develop plans (CDPs).

ii. Submit and defend community plans for micro-projects identified by User groups to LGRC.

iii. mobilize community inclusive women and other vulnerable groups to participate in decision making, mobilize community contribution in term of labour, materials and funds for micro-project implementation.

iv. Procure needed goods/services for micro-projects, through Procurement Sub-Committee.

v. Maintain financial records and operate community project account.

vi. Conduct monthly review meeting of project activities and submit required CDP progress reports (monthly, quarterly, etc.).

vii. Ensure implementation of environmental and social safeguards.

viii. Ensure timely replenishment of funds into community project account.

Sub-Committees

1. Procurement Committee

A purchasing committee can be constituted for the acquisition of goods directly from the source (market stores, off-the shelve, factory, etc.) and render record of the transaction to the approval authority.

2. Works Sub-committee

This committee will prepare list of required items/supplies, tools, etc. based on estimate including specification such as type, number, etc. and delivery period to the PC.

3. Use of technical support

In situations where a particular process of procurement is considered to be complex, or if no person(s) in the Community is adequately educated to organize procurement, the State Agency shall provide technical support either directly or through a private consultant/firm.

4. Monitoring of CPMC's procurement

There shall be a monitoring committee. The committee shall develop a mechanism that shall ensure that works are carried out and goods and services supplied meet the terms of the contract.

5. Compliance Committee

They shall monitor contract implementation.

GUIDELINES FOR THE PROCUREMENT COMMITTEE ON PURCHASES

The community/ Project management Committee (PC) is responsible for setting up a procurement committee consisting of at least four members (of whom two should be women) for procuring goods and materials; and:

a. They should be well- respected members of the community, honest and willing to undertake the responsibility.

b. The PC must ensure that procurement principles and guidelines are followed and that

c. all procurement are guarded by the principles of economy, efficiency, equal opportunity and transparency.

STEPS FOR PROCURING GOODS

- Sub-committee prepare list of required items/ supplies, tools based on estimate including specification such as type, number and delivery period, etc. to the PC PC discusses and prepare a list of materials by quantity and by sub-project. The PC meets when there is a request and all CPMC members must be present.
- PC locate reputable sources and request for quotations from suppliers.
- All potential supplier should be furnished with the same information for making accurate submissions.
- Each potential supplier must complete Supplier's Declaration Form. Unsolicited supplier may be accepted if nature and reputation can be ascertained
- Establish duration for large work.
- Quotations are discussed and best quotations is selected based on price and quality. Award is usually to the lowest priced qualified supplier.
- Letter on selected quotations is supplied to CPMC. All quotations and Evaluation document should be filed for review.
- The PC should keep a log of goods and services procured with the names and addresses of authorized dealers, consultants, contractors, actual costs, quantity, quality of work, etc.
- Goods are purchased in stages depending on construction needs.

Community Procurement Methods

Materials: a) Local shopping

b) Direct purchase

c) Force account

Services: a) Labour

b) Contractor

c) Direct contracting

Procurement of Materials

Local Shopping

Procurement under these methods are for readily off-the–shelf goods which cannot be grouped or are not standard specification commodities. This method may also be used for purchasing materials that communities cannot find within the standard pricelist.

Materials for community projects will be procured through local shopping by:

- Obtaining three quotations from suppliers and the lowest quotation should be selected.
- Clear reasons must be given, if, the award is not made to the supplier with the lowest price.
- All pro-forma invoices received must be maintained properly.
- Factors such as quality, availability and transportation costs must be taking into account when comparing potential suppliers.
- Minutes of meetings on the award must be kept on file.

Direct Purchase

This method is procuring directly from the supplier without getting other quotations:

a) where there is only one supplier available locally and /or the amount is small; or

b) when the cost of using competitive process such as local shopping is likely to be much higher relative to the value of the goods procured directly from the available source.

In order to get the best price possible, communities should check with several sources before purchasing goods.

Any supplier is acceptable if the price paid is at or below the standard pricelist effective at the time of purchase

To be used for materials of less than US$2,500 per contract and up to an annual amount of US$25,000.

Force account

This method refers to when the communities decide to execute part of the subproject by hiring labour and purchasing construction materials themselves and sub contract the rest of the work to petty contractors by obtaining three quotations.

Transportation of Materials

Communities would be fully responsible for determining cost of transportation for materials, based on prevailing rates. However, communities may not be familiar with transporting large quantities of goods and may need training on how to select an appropriate method of transport, to negotiate a hire agreement, and to make best use of local transport. Other transport options should be discussed. For example, hiring tractors and trailers, or small trucks depending on the goods to be transported may be much cheaper than hiring trucks.

Procurement of Labour

The need for skilled labour will be estimated and Standard pay rates will be provided by SA/LGRC; and these scales will be updated in the unit cost database periodically. Communities may:

i. hire skilled / unskilled labour directly, or

ii. hire a contractor/foreman who in turn will hire the skilled labour,

iii. provide labour by themselves as part of their counterpart contribution and appropriate records should be maintained.

Regardless of who is hiring labour, preference must be given first to residents of the project community.

Contractors

Contractors may be contracted to manage work that is beyond the capacity of the community. However, the community must:

1. Advertise through local methods e.g. town criers, community meetings, local newspapers, advertisement hung in public places.
2. Hire a contractor only after receiving three bids and interviewing all potential candidates.
3. While the contractor's cost estimates are important elements of the selection criteria, selection should not be based solely on the lowest estimate.
4. Contractor's technical experience must also be a key factor in the selection process; and if necessary, a representative of the funding agency (i.e. a technical supervisor who can help the community assess the technical quality of the contractor)

5. Interviews should be conducted by the CPMC together with village leaders and representatives.

Local contractors should be hired whenever possible.

Direct contracting

This procedure shall only apply when competition is not available or not practicable.

Process

1. The community will purchase materials, while the contract with the contractor will cover labour, fees and specific services.
2. The services provided by the contractor should be specified by the project management committee and the breakdown of the cost for such services must be given by the contractor.
3. The CPMC will contact and select a contractor and agree on a price and award the contract on a negotiated price.

All the records of the transaction shall be properly kept for post-review, and post-audit inspection.

Prior Review and Associated Thresholds

Table 9. Thresholds for Procurement Methods and Prior Review

	Expenditure Category	Contract Value Threshold** (US$)	Procurement Method	Contracts Subject to Prior Review (US$)
	Goods and Services (other than Consulting Services)	C>=1,000,000	ICB	All Contracts
		100,000= <C <1,000,000	NCB	Specified contracts as will be indicated in the Procurement Plans
		C<100, 000	Shopping	None
		All values	Direct Contracting	All Contracts
	Works	C>= 5 million	ICB	All Contracts
		200,000= <C <5 million	NCB	Specified contracts as will be indicated in the Procurement Plans
		C<200,000	Shopping	None
	Consulting Services	All values	QCBS (International)	All Contracts
		=<C< 300,000 firms	QCBS (National)	All Contracts
		C<200,000	CQS	Only TORs
		C>= 100,000 individuals	IC	All contracts
		C < 100,000 individuals	IC	TOR only but all for procurement consultant
		All Values	Single Source Selection	All Contracts
	Training Workshops, Study Tours	All Values	To be based on Annual Work Plan & Budgets	

***These thresholds are for the purposes of the initial procurement plan.*
The thresholds will be revised periodically based on re-assessment of risks.

2.8 Procedures for Approval of Procurement

Approvals for procurement for all thresholds shall be made by the State Project Coordinator. However, for Major Civil Works/Large Contracts, the Project Coordinator shall de-brief the Commissioner, and where necessary, the Governor.

- **SPMU Running Cost:** to be Approved by the SPSC/Hon Commissioner and the World Bank to review and give No Objection.

- **Annual Training Plan:** to be Approved by the SPSC/Hon Commissioner and the World Bank to review and give No Objection.

- **Annual Work Plan:** to be Approved by the SPSC/Hon Commissioner and the World Bank to review and give No Objection. Copy to World Bank and FPMU for information purposes.

- **Procurement Plan:** to be reviewed by the SPSC/Hon Commissioner and the World Bank to give No Objection.

- **Review of Procurement Process by the Bank:** Each contract for goods, works and consultants shall be according to the thresholds approved in the Procurement Plan.

2.9 Project Procurement Strategy for Development (PPSD)

The project is designed as **framework project** and therefore investments and the participating states (the major investments will be implemented by the participating states) are not fully known yet.

The design of the gully erosion sites already cleared under NEWMAP that will be transferred to project will be updated prior to the launching of the procurement processes for the construction of such sites.

The **Project Procurement Strategy for Development** (PPSD) has been prepared by the FPMU and reviewed by the World Bank. The PPSD will be regularly updated once there are clear pictures on the participating states and the procurement activities that will be implemented by the states and the FPMU **(Annex XXV).**

Table 10. Summary of PPSD

Contract Title, Description and Category	Estimated Cost US$ and Risk Rating	World Bank Oversight	Procurement Approach/Competition	Selection Method	Evaluation Method
Implementation support consultancy	9,500,000 Substantial	Prior	International	SPD (RFP)	Rated Criteria (VfM)
Long-term framework and policy support	2.500,000, Substantial	Prior	International	SPD (RFP)	Rated Criteria (VfM)
Development of strategic catchment plan	1,600,000, Substantial	Prior	International	SPD (RFP)	Rated Criteria (VfM)
Monitoring Information System (MIS) and maintenances	600,000, Moderate	Post	International	SPD (RFP)	Rated Criteria (VfM)
Others ICT Equipment and connectivity, cloud services, others general services	400,000, Moderate	Post	National	RFB	Lowest Evaluated Cost
Desktops & Laptops	300,000, Low	Post	National	RFB	Lowest Evaluated Cost
Data collection and analysis at State/federal Level	168,000, Moderate	Post	National	CQS	Negotiation
Production of Manuals (PIM)	90,000, Low	Post	National	RFQ	Lowest Evaluated
Design and hosting of interactive website	56,000, Moderate	Post	National	CQS	Negotiation

2.10 Preventing and Combating Fraud and Corruption

Anti-Corruption Guidelines

The Recipient will ensure that the Project is carried out in accordance with the *Guidelines of Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants* (commonly referred to as the "Anti-Corruption Guidelines" or, for short, the "ACGs").[56] The ACGs are appended to the Negotiations documents that were agreed and signed in November 2021- **See Annex XXVI).**

The ACGs require the Recipient, including all Project Management Unit (PMU) and other Project staff at the Federal and State levels, and all other recipients of the IDA credit to maintain the highest standards of ethics and, among other things, to refrain from engaging in fraud and corruption, including the following five "Sanctionable Practices":

1. Corrupt practice
2. Fraudulent practice
3. Collusive practice
4. Coercive practice
5. Obstructive practice

The definitions of these practices are set out in *Paragraph 7* of the ACGs.

The Recipient, including all PMU and other Project staff, are required under paragraph 9 of the ACGs to take the following actions, among others:

a) take appropriate actions to prevent the above-mentioned sanctionable practices, collectively: Fraud and Corruption (F&C);
b) immediately report allegations (or other indications) of F&C to the Association;
c) cooperate fully with investigations into F&C that the Association may decide to conduct;
d) take timely and appropriate action in response to any F&C that the Bank has determined has occurred in connection with the IDA financing; and,
e) ensure that any other recipients of the IDA financing agree to abide by the ACGs.

Roles and Responsibilities

It is extremely important that the roles of responsibilities of PMU and other Project staff for ensuring compliance with the ACGs is clear. The following PMU staff will have the following roles and responsibilities:

[56] Additional provisions regarding F&C are embedded in the World Bank Procurement Regulations as well as the General Conditions for IDA Credits and Grants.

- The Project Coordinator of the ACReSAL Program from the Ministry of Environment has overall responsibility for day-to-day operations of ACReSAL implementation.
- The Project Coordinator will have overall responsibility for ensuring compliance with the ACGs.
- The Project Coordinator will have day-to-day responsibility for ACG compliance, including receiving and reporting any allegations of possible F&C to the Association.

Prevention and Detection

The Recipient and the Association have agreed on the following steps aimed at preventing F&C from occurring in the Project and to detect any F&C that does occur:

Given the Program Framework, the main integrity risk mitigation measures agreed with the Ministries of Environment, Agriculture, and Water Resources will also be implemented by State-level participating agencies — with cross-reference to other sections of the PIM as relevant. These include, for procurement: use of the eProcurement system (for states that have an eProcurement system), third party procurement and technical audit, and signing of Statement on Ethical Conduct and Fraud and Corruption by all members of evaluation committee which shall be attached to the evaluation report in which they participate. The Statement is in the Procurement section of the Program Implementation Manual (PIM). These also include for financial management: transaction level reviews, specialized audits, and use of the Federal Project Financial Management Department (FPFMD) in the Office of the Accountant General for the Federation and Project Financial Management Units (PFMU) in the Office of State Accountant Generals for FM arrangements of the Project.

Details on the above-mentioned measures and other risk mitigation measures will be found in the fiduciary and other relevant sections of the PIM. Details include officials who will be specifically responsible for these, reporting requirements related to these measures, and other actions.

Staffing of critical functions in the PMU, including the Project Coordinator, Procurement Officer, and Financial Management Officer, will be screened by the Steering Committee of the Federal-level PMU. Other Federal-level PMU staff will be screened by the senior management of the Federal-level PMU. Similar screening of critical functions will be conducted at the State level by the State-level Steering Committee of the State-level PMU. The senior management of the State-level PMU will screen staff of other functions in the State-level PMU. These actions will ensure the PMUs will have staff with impeccable integrity. This screening will check for any past record of offense under Nigerian law as well as any violation of the ACGs, including whether or not such violations resulted in

enforcement proceedings. The report for such screening will be shared with the Association in a timely manner before staffing decisions are finalized.

Reporting

Under the ACGs, the Recipient is obligated to immediately report to the Association any allegations (or other indications) that F&C has occurred in connection with the IDA financing.

The Project Coordinator is charged with reporting any such allegations to the Association and to Economic and Financial Crime Commission (EFCC) as soon as they become aware of them. Reports to the Association should be addressed to the Association's ACReSAL TTL, Practice Manager, and Country Director, *w*ith a copy to the Integrity Vice Presidency (INT) Regional Team Leader and INT Prevention Focal Point. The Project Coordinator must be available to answer questions or provide further information on request and make appropriate arrangements for any subsequent INT investigation (see below).

In addition, the Project Coordinator will compile a quarterly report on any allegations of F&C and steps taken by the PMU or Nigeria authorities to address them, as well as any other matters relating to the Recipient's compliance with the ACGs. This report will be appended in the quarterly progress report sent to the Association each fiscal quarter, no later than one month after the end of the quarter, addressed to the TTL, Practice Manager, and Country Director, *w*ith a copy to the INT Regional Team Leader and Prevention Focal Point. Even if there have been no allegations or other indications of F&C, or any follow up actions taken, a report should nevertheless be filed so indicating. For example, the report could simply state, "No allegations or indications of fraud and corruption were reported during the past quarter." A template for quarterly reporting in case there are allegations or indications of F&C to report is attached as an annex to this Protocol.

FRAUD AND CORRUPTOIN COMPLAINTS HANDLING REPORT

No.	**Who complained** (Full name – contact details. Anonymous is ok – need contact email)	Type of issue	Complaint Date	Who received the complaint	Manner of complaint submission	Substance of the complaint	Results		Recommendation
					(e.g. telephone, e-mail, writing, verbal)	(Brief description of the allegation or reason for complaining)	Interim Action	Final Action Taken	
1									
2									
3									
4									
5									
...									

PREPARED BY:
Date:

In addition to the formal reporting mechanisms above, the Association maintains a webform that any PMU staff may call to report F&C directly to the Association. Persons who report F&C via the webform may remain anonymous if they wish. The link to the webform is found here:

https://wbgcmsprod.microsoftcrmportals.com/en-US/anonymous-users/int-fraud management/create-new-complaint/

World Bank Investigations

The Association has the right to investigate allegations and other indications that F&C has occurred in connection with the IDA credit. The Association may also conduct integrity assessments from time to time to confirm compliance with the ACGs. The Association will send a team from INT (or a firm it may designate) to conduct appropriate inquiries, including a review of relevant books and records, field visits, and interviews with relevant persons who may have knowledge of the incident.

More information on how the Association generally conducts inquiries and investigations can be found in this page under the World Bank external website:

https://www.worldbank.org/en/about/unit/integrity-vice-presidency#2.

It is the duty of the Recipient, including all PMU and other Project staff, to cooperate fully in these inquiries. The Project Coordinator is responsible for ensuring that the inquiry goes as smoothly as possible, including ensuring that the team conducting the inquiry has access to books and records it requires and that all PMU and other Project staff make themselves available to the team and generally cooperate fully with the inquiry.

Government Investigations

The EFCC may investigate F&C matters reported to the EFCC and will operate under guidelines in the Nigerian Anti-Corruption Act Corruption legal framework, specifically on the Corrupt Practices and Other Related Offences Act, 2000, the Economic and Financial Crimes Commission (EFCC - Establishment) Act, 2004, as well as on the United Nations Convention Against Corruption (UNCAC), ratified in 2004.

Government investigations are aimed at potential violations of national law, while the INT investigations are aimed at potential violations of Bank policy. One is not a substitute for the other, although the Bank and relevant government authorities may agree to conduct parallel or joint investigations.

Corrective Action

Under the ACGs, the Recipient must take “timely and appropriate action” in response to any F&C that occurs in connection with the Project, including holding accountable the persons who engaged in the F&C, taking steps to undo any harm to the Project to the extent possible, and to prevent future instances of F&C.

It is imperative that persons who engage in F&C be held accountable for their actions. The Association requires that any PMU staff who have been found to have engaged in F&C must be removed from any responsibilities in connection with the Project as soon as possible. In addition, the EFCC will determine whether any laws may have been broken and the appropriate steps to be taken under Nigerian law.

Any other actions to be taken in response to any particular case will vary from case to case. When a case of F&C has been substantiated, either by the Association or by the EFCC, the Association and INT and the EFCC will consult as soon as possible to discuss and agree on a course of action. This agreed course of action should be set out in a written action plan, including specific roles and responsibilities and timeframes for each action included in the action plan. The Project Coordinator will include in the quarterly reports mentioned above a report on the progress in carrying out the action plan.

Other Recipients of the IDA Credit

All recipients of the IDA Financing are bound by the ACGs. This means that contractors, suppliers, consultants and other third parties must agree to comply with the ACGs and, among other things, agree to be cooperate with Bank investigations.

The Bank’s standard procurement document includes the relevant provisions that implement these requirements. But even where they are not used, the ACReSAL Procurement Officers at both Federal PMU and State-level PMUs should make sure the ACG provisions are included in all contracts financed by the Association.

Bank Remedies

Fraud and corruption may have serious consequences for the IDA financing. If the Association determines that F&C has occurred and the Recipient has failed to take timely and appropriate action to remedy the situation, the Association has the right to suspend disbursements under the IDA financing and/or to cancel any undisbursed amounts under the credit. In addition, the Association may require that any funds tainted by F&C that have already been disbursed be refunded.

The Association may also suspend or debar any persons or entitled found to have engaged in F&C. When a person or entity has been suspended or debarred, they are ineligible to be awarded

a contract financed by the Association or to otherwise participate in or benefit from the Project or any other project financed by the Association.[57] Decisions to suspend or debar are taken through an independent, quasi-judicial process where respondents are provided with an opportunity to be heard. For details, see the list of debarred firms here: https://www.worldbank.org/en/projects-operations/procurement/debarred-firms.

[57] Normally contractors who have been suspended or debarred may continue to perform any outstanding contracts, however.

3. Environmental and Social Safeguards

3.1 Overview

Environmental and Social Risk Classification
HIGH
Environmental Risk Rating - *Substantial*
Social Risk Rating- *High*

The ACReSAL project will support activities to develop multi-sectoral approaches for desertification control and landscape management, improve community livelihoods, climate resilience, and strengthen institutions which in turn will create positive social and environmental benefits. These activities will be small to medium in scale, but will be widespread over the northern part of Nigeria with potential cumulative environmental and social impact and therefore the need for mitigation measures. For this reason, the Government of Nigeria, through the PMUs and all participating MDAs, implementing partners, consultants and contractors shall adhere to implement the project activities in accordance with the **Environmental and Social Standards (ESSs)** and **Environmental and Social Commitment Plan (ESCP)** as referenced in the Financing Agreement's terms and conditions acceptable to the Project. The ACReSAL Project interventions will apply Environmental and Social Standards of the Environmental and Social Framework (ESF). Current relevant ESSs to the project are:

Figure 2. ACReSAL Environmental and Social Standards

More extensively, the implementation of the ACReSAL project shall comply with the provisions of other Environmental and Social (E&S) documents required under the ESF. The relevant

frameworks are briefly described in this section. Copy of all these documents can be found in the following website link: https://projects.worldbank.org/en/projects-operations/document-detail/P175237?type=projects

Table 10. ACReSAL Frameworks to address potential Environmental and Social Impacts

Environmental and Social Management Framework (ESMF)
· The ESMF is an instrument that examines the risks and impacts of a project that consists of series of subprojects, and the risks and impacts cannot be determined until the program or subproject details have been identified. · The ESMF sets out the principles, rules, guidelines and procedures to assess the environmental and social risks and impacts · It contains measures and plans to reduce, mitigate and/or offset adverse risks and impacts, provisions for estimating and budgeting the costs of such measures, and information on the agency or agencies responsible for addressing project risks and impacts, including on its capacity to manage environmental and social risks and impacts. · It includes adequate information on the area in which subprojects are expected to be sited, including any potential environmental and social vulnerabilities of the area; and on the potential impacts that may occur and mitigation measures that might be expected to be used.
Environmental and Social Commitment Plan (ESCP)
· The ESCP sets out the measures and actions required for the project to meet the Environmental and Social Standards over a specified timeframe. · The implementation of the material measures and actions set out in this ESCP will be monitored and reported to the Bank by the FPMU as required by the ESCP and the conditions of the legal agreement, and the Bank will monitor and assess progress and completion of the material measures and actions throughout implementation of the Project. · An ESCP has been prepared by the Borrower and supported by the Bank, to be implemented throughout the project life. The ESCP may be revised from time to time during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to assessment of Project performance conducted under the ESCP itself.
Resettlement Policy Framework (RPF)
· Given the exact states and location of these project interventions are unknown at this stage, a Resettlement Policy Framework (RPF) that spells out the resettlement and compensation principles, organizational arrangements, and design criteria to be applied to meet the needs of project-affected persons and specifies the contents of a Resettlement Action Plan (RAP) will be developed.
Labour Management Procedures (LMP)
· LMP includes element of occupational health, safety to address risk associated with labour

management and community health and safety.
Stakeholder Engagement Plan (SEP)
· The SEP guides consultation and inclusion of stakeholders in project design and implementation along with grievance redress procedures.
Security Management Plan (SMP)
· A stand-alone Security Management Framework (SMF) that includes key elements of security risk assessment / management plan and arrangements has been prepared, and a disclosable summary is available. · The SMP will be included in all bidding documents.
Integrated Pest Management (IPM) and Veterinary Medical Waste Management Plan (VMWM) Plan
· The IPM and VMWM Plan is an expedient Environmental and Social (E&S) instrument to tackle pest management issues and indiscriminate disposal of pesticides containers and veterinary medical wastes for the ACReSAL project.
Gender Based Violence (GBV) Prevention and Mitigation Action Plan
· This action plan outlines activities, responsibilities, timelines and budget for the prevention, mitigation and response to GBV within communities where the ACReSAL project is implemented.

The main objective of the Environmental and Social Safeguards section of this PIM is to provide guidance to the screening, assessment, management and monitoring of environmental and social risks and opportunities during the implementation of the ACReSAL project, including the operationalization of the ESMF, IPMP, LMP, SEP and RPF prepared prior to appraisal of the project.

3.2 ESF Implementation Arrangements, Roles and Responsibilities

ESF Staffing

The ESCP specifies that at the Federal and State level, an organisational structure should be established and maintain throughout the ACReSAL project implementation period. Qualified staff should be in place to support the management of E&S risks. The minimum number of personnel in each **E&S Safeguard Unit** should include the following:

- Environmental Specialist
- Social Specialist/ Social Livelihood Officer
- GRM officer, and
- Gender/GBV specialist
- Security Management Officer

Roles and Responsibilities

Table 11. Institutional Safeguard Responsibilities for ACRESAL

CATEGORY	ROLES
Federal Government MDAs (Federal Ministry of Environment and agencies)	Lead role: · Provision and advice on screening, scoping and review of draft (RAP/EA report (in liaison with State Ministry of Environment) · EA Public participation processes · Convening a technical decision-making panel · Project Categorization for EA and applicable standards · E&S liability investigations · M&E process and criteria
State Government MDAs (Ministry of Lands, Survey)	Oversee compliance on Land Acquisition and compensation and other relevant issues
Other MDAs	MDAs relevant to areas or resources under their jurisdiction and are likely to be affected by or implicated projects. For example: · Participate in EA processes and in project decision making that helps prevent or minimize impacts and to mitigate them · Issue consent or approval for an aspect of the project or impose restrictions or conditions for implementation and monitor responsibility assigned
World Bank	Assess implementation and recommend additional measures for strengthening the management frameworks and implementation performance
ACReSAL FPMU & SPMU Safeguards Unit	· Ensure compliance with and implementation of the ESCP · Liaise closely with State Ministry of Environment in preparing a coordinated response on the E&S aspects of the project development · Ensure compliance with statutory requirements · Provide technical guidance on ESF implementation · Liaise between Communities and the FPMU for effective coordination of the project
Local Government	Liaise with the SPMU to verify adequacy of ESF implementation, e.g. resettlement location and approval of site and provide additional resettlement area if the designated location is not adequate. This

CATEGORY	ROLES
	will include provision of the necessary infrastructure and awareness campaigns for the proposed sub-project.
Community Development Associations (CDAs)	Ensure community participation by mobilizing and sensitizing community members
Consultant, Contractors and Site Engineers	· Work with the PMUs at Federal and State levels, and other stakeholders · Ensure effective project delivery in a timely, safe and environmentally sound manner
NGOs/CSOs and the General Public	· Assist in ensuring effective response actions · Conduct scientific research along side government groups to evolve and devise sustainable environmental strategies and rehabilitation techniques · Organize, coordinate and ensure safe use of volunteers in a response action and their effective allocation of tasks · Planning and management of institutional/governance issues at local level and other livelihood related matters · Assess project impact and mitigation measures · Awareness campaigns

Environmental officer / Social Livelihood Officer:

- Coordinate and organize community engagement activities
- Provides advice and guidance on World Bank ESF
- Ensure full implementation of all ESF documents before commencement of civil works
- Ensure that the Grievance Redress Committee (GRC) is set up
- Ensure that members of the GRC are trained on E&S matters
- Reviews the SEP report before it is submitted to the World Bank

3.3 Social Safeguards

Studies have been completed to identify and plan for a full range of social impacts that a project of this size and scope could have in poor rural areas with well-identified vulnerabilities. Although the project is expected to result in positive socio-economic benefits for beneficiaries, there are inherent and significant social risks associated with the project making the *social risk rating as High* due to a wide range of risks or possible adverse project impacts such as:

- Potential exclusion and impact on community dynamics.
- Land acquisition for the project with potential to create social conflicts.
- Labour influx and additional population (“followers) with increased risk of illicit behavior and

security challenges as well as burden on public service provision.

- Inadequate working conditions including child labour.
- Increased communicable diseases (including STDs and HIV/AIDS).
- Gender-based violence, including sexual exploitation and abuse and sexual harassment (SEA/SH).
- Impact on downstream stream communities.
- Impact on Community Cultural Traditions.
- Security Risk.
- Borrowers limited capacity on ESF.

NOTE: A comprehensive list of possible and adverse impact to be associated with the ACReSAL subprojects can be found in Chapter IV of the ESMF. These have been classified under three intervention lifespan phases of a sub-project as: i) Preconstruction phase; ii) Construction phase; and iii) Operational and Maintenance phase. Mitigation measures as well as roles and responsibilities have also been mapped out in this document.

Stakeholder Engagement and Social Inclusion

PART II of the PIM described the ACReSAL project complexity relating to the involvement and coordination of stakeholders identified, and to be identified, for the attainment of the project developmental outcomes with recognition of potential risks associated with poor stakeholder participation. These stakeholders include groups of people who will be directly affected by the project activities (such as communities/ individuals around project location, youths, women groups, person living with disability, Internally displace persons (IDPs), water user groups, etc.) as well as those who have other interests in the project interventions (such as community leaders, relevant state ministries and CSO/NGOs). The project design has consequently been developed on the principles of participatory approach, social inclusivity, fairness and trust in order to build positive relationships and a socially enable environment for the achievement of the project objectives and equity outcomes. As such, *Stakeholder Engagement* is at the core of the project and as such, various mechanism will be put in place for the facilitation of effective **participatory techniques and methodological processes** such as the ones described in Component A and Component B relating to integrated watershed planning processes.

In addition, as outlined Section 4, the establishment of a **grievance redress mechanism (GRM)** will ensure that issues, complaints and grievances that may be experienced by any project stakeholder, including from project staff, will be clarified, responded to and addressed efficiently and effectively. These will include issues of GBV/SEA/SH nature which will follow a specific protocol in line with the provision of the GBV/SEA/SH Action Plan – refer to Section 4.2.

Furthermore, mechanisms to evaluate effective citizen engagement will also be factored in the project's **M&E** system and procedures.

As part of the ESF instruments preparation for the Stakeholder Engagement E&S standard (ESS10), a generic Stakeholder Engagement Plan (SEP) has been prepared - a summary of this can be found in Section 5, PART III of this PIM. However, considering that the exact project affected persons were unknown during preparation, participating states will prepare their respective stakeholders Engagement Plan.

The State or sub-project level SEP will prepared upon selection of project location and before commencement of project activities, in other words, it is a requirement for disbursement of funds. The SEP will be updated if there are major changes to the project design or where additional stakeholders are identified during project implementation. The State level SEP will also include a communication strategy on the involvement of security personnel on the project. Other aspects, such as the involvement of downstream communities and stakeholders as well as COVID-19 related protocols, would need to be factored in the stakeholder engagement plans.

NGOs will be the direct contact for Project Affected Parties (PAP) in the local communities and GRM

Table 12. Environmental and Social Commitment Plan – ESS10

Measures and Actions	Time-frames	Responsible Entity
ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE		
Develop State specific SEPs. Implement and continuously update, where new stakeholders and issues are identified during project implementation.	Upon selection of States and prior to start project activities in each State. Throughout implementation of project activities at each State.	PMUs at State level.
GRIEVANCE MECHANISM Develop and implement Project level GRM to address complaint/concerns related to Project activities.	GRM to be prepared by effectiveness and the State-level GRM as condition of disbursements for each State.	PMU at federal and state level.

Labour Influx and Working Conditions

It is envisaged that direct workers, contracted workers, primary suppliers' workers, and community workers might be engaged during project implementation. More specifically, the project includes the rehabilitation or construction of watershed infrastructure and soil erosion control and landscape restoration facilities (under Component A and B) and as a result, contractors might be hired to undertake these activities. These might also bring a certain number of workers which cannot be estimated prior to the selection of sub-projects.

It is expected that skilled and unskilled workers will be sourced locally to the extent possible to minimize importation of labour and local hostility to the project.

In addition, despite Nigeria's labour related legislation (e.g. the Labor Act, National Minimum Wage Act (2010), Employment Compensation Act (2010), and Factories Act (2004)) which govern, among other things, health and safety of workers, minimum wages, and prevention of child labour, there are varying degrees risks in the implementation of these legislative frameworks in terms of lack of resources and monitoring capacity in the country. Furthermore, provisions of the labour laws do not adequately protect casual/day labour. However, it shall be noted that Nigeria is one of the few countries in Africa that has a standalone labour migration policy.

Summary of Measures and Actions in accordance to the Labour Influx and Working Conditions Standard (ESS2)

- Under the ACReSAL project, the government of Nigeria has prepared a Labour Management Plan (LMP) that outlines the issues related to child labour, labour influx, working conditions and how to manage the labour force in the project.

- To mitigate the risk associated with labour and communities, each participating state will adopt and implement the project Labour Management Procedure (LMP) and also cause its contractors and supervising consultant to adopt specific activities in accordance with the LMP.

- Each contractor will develop, implement and mandate all workers to sign a *Code of Conduct* to mitigate the risk of SEA/SH as per already developed and disclosed GBV/SEA/SH Action Plan and Accountability and Response Framework which will be adopted and implemented by each state PMU (see below).

- Each contractor will also operate a GRM system for their workers consistent with the LMP prior to engaging workers.

- An NGO will be hired to manage the GRM as required in the GBV/SEA/SH action plan.

In addition, under the ACReSAL project, the requirements of ESS2 will be applicable to all direct workers of the Federal and State level PMUs and will meet the following requirements (see Section 2 on Staffing and Contracting in PART III of the PIM):

i. Terms and conditions of employment;
ii. Non-discrimination and equal opportunity;
iii. The development and adherence to *Code of Conduct* by all workers engaged,
iv. Worker's organizations;
v. Child labour;
vi. Forced labour;
vii. A grievance mechanism; and,
viii. Occupational health and safety and other provisions as documented in the disclosed project Labour Management Procedure (LMP). A workers grievance management mechanism will have to be designed and made operational at each state PMU level to address grievances of project workers.

Table 13. Environmental and Social Commitment Plan – ESS2

Measures and Actions	Time-frames	Responsible Entity
ESS 2: LABOUR AND WORKING CONDITIONS		
LABOR MANAGEMENT PROCEDURES Adopt and implement labor management procedures (LMP) that have been prepared for the project. The LMP outlines the issues related to child labor, SEA/SH, labor influx, working conditions and how to manage labor force on the Project. The provisions of the LMP will be adapted by contractors, the Federal and State PMUs and other relevant implementing agencies.	The LMP has been prepared and will be implemented throughout the project duration. Contractors / supervising engineer will adopt specific activities consistent with the LMP approved by PMU prior to start of work including adequate remedies.	PMUs at federal and state level.
GRIEVANCE MECHANISM FOR PROJECT WORKERS Require contractors to establish, maintain, and operate a grievance	Prior to hiring project workers and maintained throughout Project implementation.	PMUs at federal and state level.

Measures and Actions	Time-frames	Responsible Entity
mechanism for Project workers, as described in the LMP and consistent with ESS2. PMUs will ensure that contractors provide GRM for their workers, including a GRM that is equipped to respond to cases of SEA/SH.		
OCCUPATIONAL HEALTH AND SAFETY (OHS) MEASURES Ensure contractors prepare and implement OHS plan as part of the C-ESMP in line with the subproject ESMPs, LMP, ESMF and World Bank Group Environment, Health and Safety Guidelines (EHSGs). The OHS plan will be reviewed and cleared by the supervision engineers and PMUs.	OHS plan will be prepared and adopted prior to the commencement of construction activities and shall be implemented throughout the project duration by the contractor. Implementation is monitored by the supervision engineers and PMUs.	PMUs at federal and state level, contractor, supervision engineer.
SH AND SEA RISKS Prepare a SEA/SH/ Action Plan, including an Accountability and Response Framework and a Draft Code of Conduct (CoC) for Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) to prevent, mitigate and respond to cases of SEA/SH. Recruit NGO to develop GRM / Plan acceptable to the Association	Submit the SEA/SH Action Plan for the Association's approval before appraisal. Once approved, the SEA/SH Action Plan and accountability and response framework is implemented throughout Project life. GRM to be prepared by effectiveness and the State-level GRM as condition of disbursements for each State.	PMU Federal and state level. PIU at Federal and State.
MANAGEMENT OF CONTRACTORS AND CONSULTANTS Incorporate the relevant aspects of the ESCP, including the relevant E&S documents and Code of Conduct / SEA /SH action plans and the Labor Management Procedures / OHS requirements and adequate remedies into the procurement	Prior to launching bidding processes. Supervise contractors and consultant throughout Project implementation.	PMU at federal and state level.

Measures and Actions	Time-frames	Responsible Entity
documents for and contracts of Consultants and contractors. Thereafter ensure that the Contractors, supervising engineers and consultants comply with the ESHS specifications of their respective contracts.		
CONTRACTORS MONTHLY REPORTS All contractors are required to submit monthly monitoring reports on implementation of ESMP, LMP, SMP, IPMP and GRM to the PMUs. The PMUs shall maintain a record of all such reports and would be submitted to the Association upon request.	Monthly reports shall be submitted to the PMUs (federal or state level; whoever is managing the contractor), and to the Association upon request.	PMUs at Federal and State level.

Roles and Responsibilities for Managing the LMP

The FPMU and the SPMUs have the overall responsibility to oversee all aspects of the implementation of this LMP including contractor's compliance across ACReSAL project activities. The SPMUs of participating states will address all LMP aspects as part of procurement for works/services as well as during contractor induction/training. This role will primarily be part of the responsibilities of the Environmental Officers, Social Livelihood officers and the GBV specialist in the SPMU. Contractors will be responsible for the implementation of the plan on a daily basis and providing the required human, financial and training resources for effective compliance.

Table 14. Summary Roles and Responsibilities for Managing the LMP

INSTITUTION	ACTION PARTY	MATRIX
ACReSAL FPMU	Environmental officer, social officer and GBV specialist	Oversee the corresponding officers in all participating states to ensure that contractors are made to prepare appropriate LMP and implement accordingly. Conduct scheduled supervision across states to ensure compliance with appropriate plans
SPMU	Environmental officer, Social officer and GBV	Ensure the contractors adopt the LMP for their projects and implement accordingly

INSTITUTION	ACTION PARTY	MATRIX
	specialist	Carry out site inspection during project implementation to ensure that the LMPs prepared are implemented
CONTRACTORS	HSE Officers	Provide workers with safety materials as well as training on safety procedures Implement mitigation measures and procedures outlined in the project's LMP Keep OHS records
TRADE UNIONS: Workers Associations	Leadership of the union	Manage workers welfare Promote workers health and safety Provide a fair system of grievance redress
FEDERAL MINISTRY OF LABOUR & EMPLOYMENT	Relevant Departments	Overall responsibility for enforcing labour laws
FEDERAL MINISTRY OF WOMEN AFFAIRS	Relevant Departments	Support and provide technical assistance and advocacy to address issues of GBV and other vulnerable groups.

Security Risks and Management

The project interventions will take place in northern Nigeria, including the north-eastern part of the country that is affected by fragility, conflict and violence. These will impact on project activities resulting from security risk to project workers, Bank staff and contractors.

Though the exact sub-project locations are not yet known, a comprehensive review of security situation and security needs of all participating states was conducted in close collaboration with the participating state governments to prepare a robust security management framework. The **Security Management Framework** for the project was disclosed prior to appraisal. This security risk assessment framework provides the guideline for the development of appropriate state level security assessments and management plans prior to the start of any activities in the relevant State - *refer to Project File VI*. The **State Level Security Management Plan** will also include clear escalation protocol and responsibility in the event that security situation worsens in any site.

To address identified risk at state level, public and private security forces may be used to provide protection for the project. The use of these security forces will be guided by the following principles:

i. Adherence to the **Voluntary Principles of Security and Human Rights** abuses and Code of Conduct. In addition,

- Any private and public security forces to be deployed or dedicated to the project must be subjected to **screening for any past human rights violations** and be trained on SEA/SH and GBV prevention, human rights and international humanitarian law, etc.
- Any **private and public security force to be deployed must be trained** on conduct of conduct on the use of force and must have signed the required code of conduct before deployment to the project.

ii. Institutional Arrangement

- Setting up of a **security management structure** at the federal and state levels. This structure will be an inter-agency security committee or forum that will be responsible for coordinating the operation of all security forces (private and public security) and for sharing security information and incident reports. The security focal person at the Federal level under the guidance of the National Project Coordinators will be in charge of facilitating the set up / collaboration and keeping records including those of stakeholders.
- The security focal person at the federal level will be responsible for the security of the project throughout the project's life. The federal **security focal person and state level security officers** who will oversee the day-to-day activities (including supervising the deployment of security officer - public and private) shall **ensure coordination of all security requirements** /activities with the relevant office/officer in charge of the state Government Security Agency/Agencies (GSAs).
- Effective communications system is vital for personal safety and security of project personnel. In order to monitor staff movements more effectively, and to alert others or to be alerted in the event of potential insecurity and to avoid incident, the state level SMP will include an **effective communication system** such as cellular phones (with consideration for service providers with reliable coverage in the state) including computer enabled communication capability, land line and radio phones.
- The state security focal persons will **report all security, safety, and serious health incidences** to the State project coordinator who will report to the relevant state security agency and National Project Coordinator at the Federal level, where appropriate. The confidentiality of the reporting will ultimately be the responsibility of the state security focal person. The basic principle will be to convey the required information quickly and efficiently to those responsible to provide help including escalation process if situation worsens. Reports must be kept in a secure location and only accessible to the appropriate authorities to ensure confidentiality.

iii. The adoption of the **4Ds security strategy** namely - deterrence, detection, delay (Any security measures / device put in place to limit security threat before calling for help), and denial (Any security measure / Action put in place to avoid any security breach) against all

hostile activities throughout the project lifecycle. To be ensured by deployed security forces.

iv. **Escort security protocol** of lead (the team of security officers responsible for leading a convoy movement from point A to Point B or from one location to another) and chase (the team of security officers responsible for deterring any potential threat during convoy movement from one location to another), to reduce risks associated with road travels in recent day Nigeria

v. Continuous threat forecast and appraisal through an **intelligence risk management program**.

vi. **Leveraging on the public and private security** to provide protection and timely / actionable intelligence but ensuring strict observance of relevant human rights, limited use of force and personnel non-lethal requirements e.g., batons, pepper spray, hand cuffs, whistles etc.

vii. Constant **engagements with the local communities and other relevant stakeholders** if and when the need arises on any of the project sites as documented in the project SEP.

viii. State level SMP will include a **GRM system** to receive and address security / security force personnel related allegations / complaints such as abuse of power, excessive use of force, retaliation, sexual harassment and exploitation, gender-based violence etc. Allegations or incidents related to security personnel must be documented and reported to the Bank through the federal level security focal persons within 48 hours of the incident occurring.

Table 14. Environmental and Social Commitment Plan – ESS2 SECURITY

Measures and Actions	Time-frames	Responsible Entity
ESS 2: LABOUR & WORKING CONDITIONS		
SECURITY RISKS State level SRAs and SMPs will be prepared upon State Selections and prior to commencement of project activities. Revise, adopt and implement the measures provided in the State and sub-project specific SRAs and SMPs to manage security risks for the community and project workers. **Use of Military and Security Actor** The Borrower, acting through the Ministry of the Environment, shall take, and shall cause the federal and each Participating State's SMP to take, the following measures related to the use of personnel to provide security for the implementation of Project activities, in a manner satisfactory to the Bank: · Create a **management structure at the Federal level and in each Participating State** to oversee security activities (including but not limited to security risk assessment, implementation of mitigation measures, monitoring, and revision), as set forth in the federal-level and relevant state-level Security Management Plans; · Adopt and enforce **standards, protocols and codes of conduct** for the selection and use of both public and private security or military personnel adhering to the Voluntary Principles of Security and Human Rights, national and international standards and principles, and screen such personnel to verify that they have not engaged in past unlawful or abusive behaviour, including sexual exploitation and abuse (SEA), sexual harassment (SH) or excessive use of force; · Ensure that such personnel is deployed in accordance with the relevant requirements of ESSs, the ESCP [and the relevant state-level Security Management Plan];	Prepare upon state selection and prior to commencement of project activities including preparation of procurement documents; implement throughout the Project implementation Prior to commencement of works and as a condition of disbursement. The SMP will be updated during implementation as needed	PMUs at State level

Measures and Actions	Time-frames	Responsible Entity
· Ensure that such personnel is adequately **instructed and traine**d, prior to deployment and on a regular basis, on the use of force and appropriate conduct (including in relation to civilian-military engagement, SEA and SH, and other relevant areas), as set out in [the Project Implementation Manual, ESMF and the national and relevant state-level Security Management Plans; and · Ensure that the stakeholder engagement activities under the **Stakeholder Engagement Plan include a communication strategy on the involvement of security personnel** under the Project; · Ensure that any concerns or grievances regarding the conduct of such personnel are received, monitored, documented (taking into account the need to protect confidentiality), resolved through the **Project's grievance mechanism; and reported to the Bank no later than [30] days after being received**; and · Where the Bank shall require, after consultation with the Borrower: (i) promptly **appoint a third party monitoring (TPM) Consultant**, with terms of reference, qualifications and experience satisfactory to the Bank, to visit and monitor the Project area where military, paramilitary or security personnel are deployed, collect relevant data and communicate with Project stakeholders and beneficiaries; (ii) require the TPM Consultant to prepare and submit monitoring reports, which shall be promptly made available to and discussed with the Bank; and (iii) promptly take any actions, as may be requested by the Bank upon its review of the TPM Consultant's reports.		

BOX I. ACReSAL's Contributions to FRAGILITY, CONFLICT AND VIOLENCE (FCV)

1. **Strengthen the design and early implementation support of component B1 Community Strengthening, and especially its objectives to improve conflict resolution capacities at the local level.**

2. **Design in further detail subcomponent B1, using EDENN-PASA and development partner resources (FCDO).**

- **Assessment of community institutions.** To inform design of community structures envisioned under B1, commission analytical work to understand better how/where people are accessing services (including security), the types of conflicts communities are facing and how they are resolving them (including both formal and informal institutions, and conflict within and between communities). Understand existing mechanisms, including from perspective of inclusion (representation of women, youth). Assess capacity-building needs for existing structures and potential need for new ones.
- **Mapping/market assessment of potential implementing partners.** To inform procurement approach to contracting implementing partners, identify existing initiatives to support local level peacebuilding and resilience, including key government and donor-funded programs. Identify actors involved in implementing programs, including local, national and international NGOs and private firms to better understand potential pool of implementing partners and inform decisions on procurement approach (state v national level, larger contracts with fewer partners, encouraging consortiums with local ners, etc).
- **Social cohesion baseline.** To complement broader M&E, develop social cohesion module for integration within overall project baseline surveys. Drawing on social cohesion measurement toolkit (global World Bank product, developed jointly with Mercy Corps), develop social cohesion module for ACRESAL, to be integrated within overall project surveys as feasible. Include sampling strategy and frequency, to contribute to forward measurement of impact.

3. **Contribute to design of conflict monitoring system for project area, building on conflict monitoring efforts already being piloted by development partners.**

- **Map current conflict monitoring efforts undertaken by government and development partners.** Review methodology, frequency, reliability and assess strengths and gaps of existing approaches. Consider potential for enhancing conflict monitoring efforts through additional data generated through ACRESAL and LPRES, including hydromet data related to water availability, and data on animal movements.

NOTE: Synergies, to some degree, could be done jointly with LPRES (and some of it potentially with the drivers of conflict SSI subtask), to enable both cost-sharing and efficiencies, but also build in synergies on peacebuilding aspects across the two operations.

Gender-based Violence and Sexual Exploitation and Abuse and Sexual Harassment

Gender-Based Violence (GBV) is endemic in Nigeria, impacting a third or more of women and girls. The most common acts of violence against women in Nigeria include sexual harassment, physical violence, harmful traditional practices, emotional and psychological violence, socio-economic violence and violence against non-combatant women in conflict situations. As at May 2019, there were about 2 million internally displaced persons in North-Eastern Nigeria and 80% of them were women and children. The insurgency has resulted in mass abductions, survival sex, forced prostitution, forced and early marriage, physical, mental and sexual assault including rape. About 3 million people are estimated to be in need of protection from sexual and gender-based violence (SGBV) in North-East Nigeria alone. In addition, the prevalence of child marriage is extremely high in Nigeria, almost half of the girls (48 percent) are married off before their 18th birthday, and 22% are married before they turn 15. Further to the above, the project activities also have the potential to increase GBV risks, specifically Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) due to, for instance, the amounts of labour influx and activities planned to be carried out in rural and hard-to-supervise areas, in a context which is already affected by significant GBV levels. For this reason, the project has been rated of *Substantial risk for SEA/SH.*

In order to mitigate SEA/SH risk factors, GBV risk management has been addressed in the ACReSAL project **ESCP**, and in the **GBV/SEA/SH Action Plan** which has also been disclosed in-country and in the Bank system prior to Appraisal. A summary of the proposed measures proposed in the action plan are as follows:

- A SEA/SH comprehensive risk assessment is required in the Environmental and Social Impact Assessments (ESIAs) for the sub-projects and will include consultations with women and girls.
- SEA/SH requirements must be included in bidding documents.
- GBV risks and mitigation measures in contractors Environmental and Social Management Plans (c-ESMPs).
- Identify GBV/SEA Service Providers and establish a referral pathway for GBV response.
- Establish a GRM protocols to handle SEA/SH cases.
- Sensitize communities and workers on SEA/SH and GRM reporting channels.
- Signing and training on Codes of Conduct for all project staff and workers, including security personnel (an example of a SEA/SH Code of Conduct can be found in the GVB Action Plan).
- Worksite mitigation measures including separate facilities for men and women and GBV free zone signage and
- Hiring of GBV expertise, support and monitoring.

Table 14. Environmental and Social Commitment Plan – ESS2 – GBV and SEA/SH Risks

Measures and Actions	Time-frames	Responsible Entity
GBV AND SEA/SH RISKS		
Adopt and Implement Action Plan / Accountability and Response Framework (ARF) / Code of Conduct for Sexual Exploitation and Abuse (SEA) / Sexual Harassment to mitigate the potential risk associated with SEA/SH.	Include approved SEA / SH Action Plan/ARF in **procurement documents / contract documents**. To be implemented throughout project implementation	PMUs at State level.

The PMU will include experienced Gender/GBV specialist, as well as environmental specialist, social specialists, and GRM officer.

Table 16. Summary of GBV Responsibilities for ACRESAL Project

ACTOR	ROLES & RESPONSIBILITIES
GRM Operators	· Update of grievances, documents and registers · Inform survivor about legal and internal data sharing obligations · Refer to service providers
Hired NGO (to work with existing structures)	· Risk assessment and service provider mapping · GRM management and reporting to GRM operator · Community sensitizations · Capacity building of service providers
Service Providers	· Provide GBV services to survivors
Engineer, contractors, supervision consultants	· Implement sanctions for the perpetrator by following required reporting protocol hereby holding workers accountable to Codes of Conduct
GRM Committee	· Review grievances and determine if it is a project-related · Report action taken to GRM Operator · Monitor, tack and provide regular reports to ACReSAL FPMU · Where appropriate, follow up with the survivor to ensure they have received the support they needed · Review lessons learned from cases on quality of mitigation and response measures and adjust interventions accordingly

Community Health and Safety

Community health and safety risks associated with the project activities comprise exposure to physical hazards on project sites, health issues, including water-borne and vector borne diseases, which may result from poor site management such as stagnant water and risk of flooding. Furthermore, bringing in outside workers by contractors into remote areas can lead to adverse social impacts such as sexual exploitation and abuse / sexual harassment, spread of communicable diseases like HIV/AIDs and potential conflict.

Material measures and actions to adhere to the project's Community Health and Safety E&S standard (ESS4) include:

- As part of ESIA/ESMP, the site-specific community health risks and impacts will be assessed, and adequate mitigation measures will be developed. Such assessment will include **Health Impact Assessment (HIA)** given the nature of ongoing COVID-19 pandemic, as well as project related potential health impacts.

- Also, the location of sanitation facilities and water infrastructure would be decided in consultation with communities to guard against safety risks to women, other vulnerable groups and accessible to persons living with disability.

Table 17. Environmental and Social Commitment Plan – ESS4

Measures and Actions	Time-frames	Responsible Entity
ESS 4: COMMUNITY HEALTH AND SAFETY		
Prepare, adopt, and implement measures and action to assess and manage specific risks and impacts to the community arising from Project activities such as communicable diseases, contamination of public water resources, security risk; and include these measures in the ESMPs to be prepared in accordance with the ESMF, in a manner acceptable to the Association.	Before commencement of works and during preparation of site specific ESMPs	PMUs at State level.

Land Tenure and Acquisition

The size of land requirements/ acquisition for the project may vary depending on the extent of the intervention activities proposed under each of the project components. The land take could occur on public or private land which could result in communities' restriction of access to land, physical or economic displacement. More specifically, risks associated to land tenure and acquisition from project activities may include:

- Land access rights of individuals, community groups, and vulnerable or minority groups may be affected. Poor, vulnerable populations and ethnic minorities often feel threatened by the possibility of the rich and powerful to take away their land created by the lack of access to secure land, often cause by political dominance, financial constraints and instability.
- Complex involuntary resettlement.
- Possible resettlement or reduced access to natural resources.
- Some of the water resource management investments could also negatively impact water availability for downstream communities.

Land Tenure Sytems in norther Nigeria

The Land Use Act limits **women's access** to land ownership by requiring only the head of household to apply for registration, while some customs require women to have male counterparts stand for them before they are granted access to land. However, married women have better access to land compared to unmarried women.

To mitigate these impacts, the project will avoid the adverse impact of involuntary land acquisition and restrictions of communities and people. Where avoidance is not possible, the project will implement appropriate resettlement / compensation plan consistent with the provision of ESS5 and the **Resettlement Policy Framework (RPF)**.

Resettlement Policy Framework (RPF) spells out the resettlement and compensation principles, organizational arrangements and design criteria to be applied to meet the needs of project-affected persons and specifies the contents of a **Resettlement Action Plan (RAP)**:

1. Upon identification of project site, each participating state will screen project location for potential land acquisition, economic and physical displacement as provided in the RPF, paying special attention to how it would impact women, girls and other vulnerable or minority groups. Where required, relevant terms of reference and appropriate Resettlement Action Plan will be developed and implemented. All terms of reference and site-specific resettlement Action Plan will be subjected to Bank review, clearance, disclosure and

implementation prior to commencement of civil work activities in any site. All implemented RAPs will be accompanied by a RAP implementation completion report.

2. If there were any restrictions to resources, those impacted would be compensated in line with the requirement of the RPF and consistent with provision of ESS5. Procedures for land acquisitions and resettlement are outlined in Box II.
3. The project will ensure that a participatory and an inclusive approach to decision-making is followed as provided in the project SEP, such that affected persons have livelihood alternatives.
4. Affected persons or groups will be supported with a grievance mechanism under the project.

Table 18. Environmental and Social Commitment Plan – ESS5

Measures and Actions	Time-frames	Responsible Entity
ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT		
RAPS/ARAPS Upon identification of specific subproject site, develop site specific RAPs/ARAPs in line with the prepared RPF, consistent with this ESS and acceptable to the Association. Consult on, disclose and implement all RAPs/ARAPs prior to commencement of civil works in all sites under the project & complete RAP implementation audit. Deposit funding allocated for the RAP implementation for each impact location in designated RAP account. Submit compensation and resettlement assistance payments completion report to and for the Association's clearance prior to commencing civil works at each impact site/location	Before commencement of any civil works	PMUs at State level.

The PMUs shall set up a Social Safeguard Unit with staff trained in resettlement, which shall ensure and supervise the implementation of the RPF and preparing RAPs/ARAPs in each State as needed.

Cultural Heritage

The subproject-specific environmental and social assessment will confirm the existence of tangible or intangible cultural heritage.

- If sites or features are identified, then a **cultural heritage management plan or plans** should be prepared and implemented.
- All construction contracts will include a **"Chance Find"** clause, which will require contractors to stop construction in the event that cultural property sites are encountered during construction.
- The execution of the project and selection of sites will be done in a culturally appropriate manner with due **consultations with the beneficiary communities**. Siting sub-project on or near community heritage sites, sacred spaces or affecting tangible or intangible cultural resources should be avoided as this may heighten risks of opposition to the project.

Table 19. Environmental and Social Commitment Plan – ESS8 Cultural Heritage

Measures and Actions	Time-frames	Responsible Entity
ESS 8: CULTURAL HERITAGE		
CULTURAL HERITAGE MANAGEMENT PLAN If sites or features are identified, then a cultural heritage management plan or plans would be prepared and implemented. All construction contracts will include a "Chance Find" clause which will require contractors to stop construction in the event that cultural property sites are encountered during construction	Before commencement of any civil works	PMUs at State level.

3.4 Environmental Safeguards

The project will support activities to develop multi-sectoral approaches for desertification control and landscape management, improve community livelihoods, climate resilience, and strengthen institutions which in turn will create positive environmental benefits. Should there be potential site-specific adverse impacts, reversible and mitigation options will be available. Due to potential cumulative impacts the environmental risk rating for the project is assigned as *Substantial*.

Impacts are site specific, reversible, and manageable with available mitigation measures as well as avoidance and minimization via project design, as per mitigation hierarchy (assess, plan, avoid, minimize and as a last resort, mitigate negative effects)

Some environmental risks and potential impact during project implementation of Component A2, A3 and B2 (construction of civil works, ecosystem improvement interventions and water and land management practices) may include:

- Impacts related to construction works relating to air pollution, dust, generation of noise, waste generation, temporary obstruction to traffic flow, water pollution, soil pollution, biodiversity impacts, occupational health and safety (OHS), community health and safety concerns, etc.
- Waste and e-waste generation.
- Water and soil contamination.
- Impacts on natural habitats and biodiversity.
- Risks associated with pest management.
- Vector management associated with livestock.

Civil works foreseen under project activities might, more specifically, generate air, noise, water, soil, and groundwater pollution. Solid and hazardous wastes, including construction waste, might be generated.

What has been done?

The Borrower has prepared an

- Environmental and Social Management Framework (ESMF) and
- Integrated Pest Management Plan (IPMP) that identified potential risks and mitigation measures, screening methodologies, and guidance to prepare site-specific assessments and plans such as the Environmental and Social Management Plans (ESMP) and Environmental and Social Impact Assessments (ESIA).

Site-specific: What shall be done during project implementation?

Consistent with provision of ESS3: Resource Efficiency and Pollution Prevention and Management and ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources; and as specified in the ESCP, the following actions for the different project implementation activities may be required:

a. *Civil Works:*
   - Site-specific Environmental and Social Management Plans (ESMP)
   - Environmental and Social Impact Assessments (ESIA)

b. *Agricultural activities* which require the use of pesticides:

- Pest management in these activities will follow integrated approaches identified in the IPMP, and
- The pesticides used are manufactured, packaged, labelled, handled, stored and disposed of, in accordance with good international industry practices (GIIP) as well as the World Bank Group's ESHGs.

c. *E-waste generation* and energy efficiency might be relevant under Component C:
   - This will be assessed and managed under the relevant ESMPs.
   - GHG emissions of the project are not significant.

d. *Water and natural resource use*:
   - The project will support efficient water and natural resources use, including effects on water users located downstream.
   - Resource efficiency will be maintained through project designs and ESMPs as appropriate.

e. Modification of natural habitats and special ecosystems:
   - ESIA/ESMP will be prepared in accordance with the *screening tools* provided in the ESMF consistent with provision of ESS6.
   - The project might likely use raw materials for construction which will be sourced following measures described in the GIIPs.
   - Biodiversity Assessment Plan (BAP) and Biodiversity Management Plans might be needed in areas of potential biodiversity importance that may be affected by the project, whether or not they are protected under national law and international agreements.

Flora and economic plants will be protected and conserved.

Endangered, rare, threatened, and endemic species and their habitats will not be affected by the project activities.

Table 20. Environmental and Social Commitment Plan – ESS3 and ESS6

Measures and Actions	Time-frames	Responsible Entity
ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT		
WASTE MANAGEMENT Prepare, adopt, and implement subproject specific Waste Management Plan (including hazardous wastes such as pesticides containers) and e-Waste Management Plan (for solar irrigation panels, etc.) as described in the ESMF and subsequent sub-project ESMPs.	Before commencing of any work, and during preparation of site-specific C-ESMPs; implement through project implementation	Contractor
PEST MANAGEMENT Prepare, adopt, and implement subproject specific Pest Management Plans (PMPs), as per general guidance provided by the Project IPMP. Ensure that the pest management follows integrated approaches identified in the IPMP and the pesticides used are manufactured, packaged, labelled, handled, stored and disposed of, in accordance with national regulations, good international industry practices (GIIP), and World Bank Group's ESHGs.	Project IPMP has been prepared; site specific PMPs will be prepared before commencement of any pesticide related work and during preparation of ESMPs; implemented throughout the Project implementation	PMUs at Federal and State level; contractors
ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING RESOURCES		
Assess biodiversity risks of the proposed subprojects in accordance with the **screening tools provided** in the ESMF, and prepare, adopt and implement site specific Biodiversity Action Plans (BAP) and Biodiversity Management Plans (BMP) accordingly as needed.	Assess biodiversity risks of the proposed subprojects in accordance with the **screening tools provided** in the ESMF, and prepare, adopt and implement site specific Biodiversity Action Plans (BAP) and Biodiversity Management Plans (BMP) accordingly as needed.	PMUs at federal and state level.

3.5 Environmental and Social Management Process

This ESMF incorporates an overall environmental and social management process for the ACRESAL Project and its subprojects. The process involves distinct steps and associated activities that are linked to deliver a robust and veritable management framework in line with the stated objectives of the ESMF and inline with the *Investment Lifecycle* process described in PART I, Section 8, of this PIM. The management process will help identify the critical social and environmental issues associated with ACReSAL subprojects, and ensure that positive impacts are optimized and negative impacts are minimized or mitigated. The management process will help to improve the understanding of the sub-projects by the local communities and this will increase trust between the State PMU and the local community.

The environmental and social management procedure to be followed shall include the following steps:

STEP 1: Subproject identification and screening
STEP 2: Preparation of appropriate E&S safeguard instruments;
STEP 3: Stakeholders' consultations;
STEP 4: Disclosure of safeguard instruments;
STEP 5: Incorporation of the ESMP in construction bid documents;
STEP 6: Implementation of the ESMP;
STEP 7: Monitoring and evaluation of the ESMP Implementation.

STEP 1: Subproject Identification and Screening

All States participating in the ACReSAL project are required to generate a long list of their prioritized sites requiring ACReSAL intervention. The states will be further required to be involved in a site selection and prioritization exercise (Workshop) in which the states shall confirm their approval for the sites selected and the associated tentative contract sums. These sites may emanate from the watershed planning processes.

Prior to the workshop, each state shall work with state-level stakeholders (communities, technical and steering committees, and governors), to confirm that all identified sites meet the procedures for site selection defined in Part I, Section 8 of this PIM – *Criteria for sub-project selection,* and further detailed below.

Consultations with and participation of affected people and possible host communities are mandatory. The concerns and aspirations of communities will be taken into consideration. It is at this early stage that environmental and social safeguards can most strongly influence the subproject proposal. For successful implementation of subproject activities under the ACReSAL, scoping should occur early in the project cycle, as is consistent with international best practices

including World Bank Safeguards Standards and the Nigerian EIA Law. Scoping is important for two reasons. Firstly, so that problems can be pinpointed early allowing mitigating design changes to be made before expensive detailed work is carried out. Secondly, scoping is done to ensure that detailed safeguards activities are only carried out for important issues.

The **site selection criteria** to be used shall include (also refer to PART I, Section 8):

a) Location on priority micro-watershed;
b) Degree of desertification and land degradation at sites;
c) Potential water resource base for the improvement of irrigation systems (e.g. FLID potential);
d) Level of complaints raised by communities;
e) State of gully erosion (stable, slight, moderate, severe, or catastrophic);
f) Size of affected population (disaggregated by poverty rate);
g) Risk to human life;
h) Risk to physical and natural assets;
i) Proximity of sites to major access route;
j) Replication potential of the site treatment;
k) Readiness of the state to cover the cost of resettlement (if required); and,
l) No on-going competing intervention in the same sub-watershed.

Screening of ACReSAL Sub-projects

The objective of screening is to determine the appropriate level of environmental and social impact assessment and management for a proposed subproject. Environmental and Social screening process distinguishes subprojects and activities that will require thorough environmental review to prevent/mitigate negative environmental impacts or those which will provide opportunities to enhance positive impacts. Thus, one of the objectives of the screening process is to rapidly identify those subprojects, which have little or no environmental or social issues so that they can move to implementation in accordance with pre-approved standards or codes of practices for environmental and social management. In other words, **based on environmental screening, subprojects with no significant impacts are cleared from further environmental inquisition while subprojects with some impacts proceed to the level of conducting an environmental assessment, which will be evaluated to clear the subproject.**

It is therefore required that the screening of the proposed subprojects should be done in accordance with the screening tools in the ESMF and RPF. Thereafter, should the subproject trigger any potential E&S risk and adverse impact, the required subproject's instruments should be prepared:

a) Environmental and Social Impact Assessment (ESIA),
b) Environmental and Social Management Plan (ESMP),

c) Biodiversity Action Plan (BAP), Biodiversity Management Plan (BMP), and
d) Resettlement Action Plan (RAP) or Abbreviated RAP.

On completion of these instruments, these need to be consulted upon, disclosed by State PMUs and approved by the Federal PMUs and the Association prior to commencement of project activities.

E&S PROJECT SCREENING TIPS

All potential subprojects under the ACRESAL shall be screened for Environmental and Social (E&S) risks and impacts prior to subproject approval for implementation by the respective SPMU.

A designated officer or consultant of the SPMU can carry out the screening. Screening shall be done early in the planning process by trained state PMU staff, in consultation with specialists who design and supervise the site interventions. Project designs will seek to minimize displacement and loss of access to the extent feasible.

The screening process will include robust assessment of the subproject and associated activities to determine the following:

i) The appropriate subproject categorization EA;
ii) Applicable World Bank environmental and social standards (ESS);
iii) Potential for environmental and social liability; and,
iv) Cultural or other sensitivities.

Each site intervention under ACReSAL shall be screened for possible triggering of ESS5 (Involuntary Resettlement). Civil works and other intervention activities could result in land acquisition or the displacement of families or businesses on a temporary or permanent basis. Works such as drainage trenches or canals could also result in loss of access even when agricultural, commercial, or residential plots themselves are not affected. Land acquisition for project works will trigger the ESS5 standard even when people are not displaced. Abbreviated Resettlement Action Plans (ARAPs) will be prepared for displacements of fewer than 200 people, while those involving more than 200 people will be subject o full RAPs.

Environmental and Social Screening Checklist and Report Preparation

The Environmental and Social Screening Checklist (ESSC) has been designed using the World Bank Environmental and Social safeguards, and Nigerian EIA guidelines as checklist benchmarks to assist in the evaluation of proposed sub-projects under the ACReSAL. The checklist is designed to place information in the hands of reviewers so that mitigation measures, if any, can be identified and/or that requirements for further environmental analysis be determined. An example of an ESSC is available in Annex IV of the ESMF.

Once the screening has been carried out, a short and concise report should be prepared by drawing on *Site Sensitivity Criteria* for guidance.

Table 21. Site Sensitivity Criteria

Issues	Site Sensitivity			Responsibilities
	Low	Medium	High	
Natural Habitats	No natural habitats present of any kind	No critical natural habitats; other natural habitats occur	Critical natural habitats present	**FPMU, SPMU, Independent Consultants**
Water Quality and water resource availability and use	Water flows exceed any existing demand; low intensity of water use; potential water use conflicts expected to be low; no potential water quality issues	Medium intensity of water use; multiple water users; water quality issues are important	Intensive water use; multiple water users; potential for conflicts is high; water quality issues are important	**FPMU, SPMU, Independent Consultants**
Natural hazards vulnerability, floods, soil stability/ erosion	Flat terrain; no potential stability/erosion problems; no known volcanic/seismic/ flood risks	Medium slopes; some erosion potential; medium risks from volcanic/seismic/ flood/ hurricanes	Mountainous terrain; steep slopes; unstable soils; high erosion potential; volcanic, seismic, or flood risks	**FPMU, SPMU, Independent Consultants**
Cultural Property	No known or suspected cultural heritage sites	Suspected cultural heritage sites; known heritage sites in broader area of influence	Known heritage sites in project are	**FPMU, SPMU, Independent Consultants**
Involuntary resettlement	Low population density; dispersed population; legal tenure is elldefined; well-defined water rights	Medium population density; mixed ownership and land tenure; welldefined water rights	Land issues, High population density; major towns and villages; low-income families and/or illegal ownership of land; communal properties; unclear water rights	**FPMU, SPMU, Independent Consultants**

It must be emphasised that the checklist is merely an aid to the environmental assessment of the project and does not substitute for a full environmental assessment.

Risk Categorization/Classification

ACRESAL subprojects will fall into one of the three Nigeria EIA categories: I, II and III, or into one of the four WB Classifications: High Risk, Substantial Risk, Moderate Risk or Low Risk.

- *High Risk or Category I* projects are those whose impacts are sensitive, diverse, unprecedented, felt beyond the immediate project environment and are potentially irreversible over the long term. Such projects require full EA.
- *Substantial Risk and Moderate Risk or Category II* Projects will result in adverse environmental impacts on human populations or environmentally important areas-- including wetlands, forests, grasslands, and other natural habitats-that are less adverse than those of High Risk or Category I projects. In general, such impacts are localized; do not affect sensitive area/resources, and reversible, unlike High Risk or Category I projects. All category II projects

will also require EA. However, the scope will be reduced.

- *Low Risk or Category III* Projects are generally benign and typically do not require EA. However, all such projects should be screened to determine if specific environmental management plans (e.g., waste management plan) are required.

Environmental and Social Impact Assessments (ESIA)

For Category I and II (or High to moderate risk) sub-projects and prior to commencement of any work, an Environmental and Social Impact Assessment will be prepared for the subprojects as needed based on the outcomes of the ESMF screening process, in a manner acceptable to the Association.

STEP 2: Preparation of Appropriate E&S Safeguard Instruments

Most subproject activities under ACReSAL are expected to have generic environmental and social issues that are manageable through standard procedures and codes of practice based on the findings of the screening exercise and underpinned by Environmental and Social Management Plans (ESMPs). As such, it is envisaged for each subproject, site-specific Environmental and Social Management Plans (ESMPs) are prepared. In the unlikely event that a subproject presents itself as High Risk or EIA Category I during the screening, a full-fledged Environmental and Social Impact Assessment (ESIA) shall be required for such subproject, as previously indicated.

Environmental and Social Management Plan (ESMP)

The Environmental and Social Management Plan (ESMP) for each subproject will be required at the proposal stage. Each participating State PMU shall as part of its proposal, submit an overview of how environmental and social issues of the subproject will be addressed on a continuous basis. The plans will also specify standards proposed for the subproject to ensure environmental sustainability and social acceptability. The standards and plans proposed shall also address social issues including involuntary resettlement and legacy issues.

The following steps shall be taken in preparing site-specific ESMP in accordance with relevant and applicable WB Safeguards Standards and the EIA Act of Nigeria. The ESMP process starts with:

1. Preparation of the TOR in consultation with the EIA department of the FMEnv, and key stakeholders within a given watershed.
2. The draft TOR will be sent to the World Bank for review and concurrence.
3. Preparation of the ESMP will include collection of baseline data and elaborate consultation with key stakeholders especially potential PAPs within a given watershed where the intervention will take place.
4. The draft ESMP report will be shared with the affected communities in a format of town hall

meeting or stakeholder workshop.

5. The draft report would also be sent to the World Bank and the FMEnv for review. The feedback from the review of the draft ESMP report shall be incorporated into the final ESMP report.
6. Upon being cleared by the FMEnv and the World Bank, the ESMP will be disclosed publicly at both the federal and state levels as well as the World Bank website.

A generic subproject ESMP example is provided in Chapter 10 of the ESMF.

Other specific E&S management plans or instruments that will or may need to be prepared at sub-project level include:

- Occupational/Public Health, Safety and Security Management Plan
- Gender Based Violence/Sexual Exploitation and Abuse Management Plan
- Vegetation Clearing and Biomass Management Plan
- Air Quality Management Plan
- Emergency Response and Incident Plan
- Water Management Plan
- Erosion and Sedimentation Management Plan
- Traffic and Vehicle Management Plan
- Waste Management Plan
- Chemical Management Plan
- Health Impact Assessment (HIA)
- Integrated Pest Management Plan (IPMP)
- Forestry Development Plan
- Chance Find Procedures
- Resettlement Action Plan
- Security Risk Assessment

It is a requirement that consultants who prepare E&S instruments must be independent of the consultants who design and firms who execute the civil works.

STEP 3: Public/Stakeholders' Consultation Process

Consultations with the public/stakeholders for any subproject under ACReSAL are very important because it will give the communities and the potentially Project Affected Person(s) the opportunity to contribute in the subproject and give feedback information, aimed at strengthening the development project and avoiding negative impacts or mitigating them where they cannot be avoided. All consultations to be held under ACRESAL shall be carried out in compliance with the provisions of the Stakeholders' Engagement Plan (SEP). The SEP is discussed in more detail in PART III.

STEP 4: Disclosure of Safeguard Instruments

Once the state participation criteria are met, the state will then phase into detailed design preparation, including the preparation of safeguards instruments, leading to implementation of

ACReSAL activities. For states where detailed designs have been prepared, the ESMPs and RAPs shall be prepared and cleared by the World Bank. These include screening processes to determine the appropriate environmental and social instruments to be prepared, approved, and disclosed prior to implementation of individual interventions.

Each site approved for intervention support shall be eligible for financing only after an integrated ESIA/ESMP and RAP/ARAP consistent with ESS1-10 has been completed and disclosed. Effective integration of project management and ESMF implementation should result from the fact that the Federal Ministry of Environment and state Ministries of Environment are the lead executing agencies for ACReSAL.

STEP 5: Incorporating the ESMP into Construction Bid Document

The ESMP shall be implemented by the construction contractor under the supervision of the SPMU Environment and Social Safeguards Officer(s). Consequently, the ESMP should be incorporated into the construction bidding documents to enable the bidding contractors appropriately and adequately budget and plan towards its implementation.

Contractors shall be required to implement the ESMP as well as a site-specific contractors' ESMP (c-ESMP) to be supervised by the site environmental engineer responsible and accountable for its implementation. The World Bank as well as the Federal and State PMUs will carry out supervision missions to ensure compliance.

STEP 6: Environmental and Social Safeguards Reviews

All ESMPs shall be reviewed and cleared by the World Bank to ensure compliance with ESS1 (Assessment and Management of Environmental and Social Impacts) and any other relevant policies, procedures and guidelines.

STEP 7: Monitoring and Enforcement of ESMP Implementation

In addition to the project and safeguards reports required, a quarterly audit on ESMP implementation shall be prepared by the ACReSAL-SPMU and delivered to the ACReSAL-FPMU and the Bank. Each subproject in the various States that may require an ESMP study (or RAP, etc.) will also be required to produce an annual audit report for delivery to the ACReSAL-FPMU and the Bank.

3.6 ESF Capacity and Commitment

Given the ESF's relative novelty, the capacity of the Borrower to manage risks and impacts in a manner consistent with the ESSs will need strengthening. Some needs will be addressed through

ongoing capacity-building support to the client on ESF rollout, including through the proposed Sustainable Procurement, Environmental and Social Standards Enhancement Project (SPESSEP) (P169405) and through implementation support. In addition, the FGN's preparatory team includes environmental and social safeguards officers that are familiar with the Bank E&S requirements and operational policies and have also participated in ESF roll-out training.

Table 22. Environmental and Social Commitment Plan – ESF Capacity Support

Measures and Actions	Time-frames	Responsible Entity
CAPACITY SUPPORT (TRAINING)		
Ensure that the project workers, contractors, implementing agencies, and relevant stakeholders are trained in the following areas: · Stakeholder mapping and engagement · Implementation of ESMF, SMP, IPMP, LMP, BMP, RAP and RPF · E&S requirements of subprojects · Subproject environmental and social screening · World Bank ESF · Occupational health and safety including on emergency prevention and preparedness and response arrangements to emergency situations. · Environmental and Social Risk Management procedures · Effective GRM operation · Technical, Planning and Operational Aspects of RAP · SEA/SH and Accountability and Response approach including CoC. · COVID 19 transmission, prevention, preparedness, and response	Training will be started before commencement of the Project activities and will be implemented throughout the Project implementation	PMUs at federal and state level

Capacity Building for the implementation of the ACReSAL ESMF for the FPMU and SPMUs is outlined in Chapter 10 of the ESMF, Section 10.6.

3.7 Management of Contractors and Consultants

In accordance with the Environmental and Social Framework, FPMUs or SPMUs as appropriate will require that all contractors engaged on a project operate in a manner consistent with the

requirements of the ESSs, including the specific requirements set out in the ESCP. These units will manage all contractors in an effective manner, including:

a. Assessing the environmental and social risks and impacts associated with such contracts.

b. Ascertaining that contractors engaged in connection with the project are legitimate and reliable enterprises, and have knowledge and skills to perform their project tasks in accordance with their contractual commitments. There shall be comprehensive database of all primary and secondary contractors for ACReSAL Project. The database will record a summary of their scope of work, business origins, and a brief profile about history of compliance to environmental and social standards.

c. Incorporating all relevant aspects of the ESCP and the ESMP into tender documents. **Include the SMP in the bidding documents of the contractors, and ensure the contractors comply with the requirements of SMP.**

d. Contractually requiring contractors to apply the relevant aspects of the ESCP and the relevant management tools, and including appropriate and effective non-compliance remedies. Construction companies and consultants contracted under the project will also be subjected to the requirements of ESS2 (Labour Management procedures) including OHS requirements, SEA/SH action plans, Security Management measures, adhering to Code of Conduct and workers grievance mechanisms. Should this require the employment of (skilled) workers from outside the local area, worker accommodation and influx will be managed in line with ESS2 (and ESS4). Relevant section of requirements of ESS2 will be applicable to community workers and primary supply workers as well, as they become relevant. All construction contracts will include a “Chance Find” clause, which will require contractors to stop construction in the event that cultural property sites are encountered during construction.

e. Supervise contractors and consultant throughout Project implementation. Thereafter ensure that the Contractors, supervising engineers and consultants comply with the specifications of their respective contracts. Contractors’ ESMP (c-ESMP) to be supervised by the site environmental engineer responsible and accountable for its faithful implementation. The World Bank as well as the Federal and State PMUs will carry out supervision missions to ensure compliance. Ensure that the project workers, and contractors are trained in the following areas:

   - Stakeholder mapping and engagement.
   - Implementation of ESMF, SMP, IPMP, LMP, BMP, RAP and RPF.

- E&S requirements of subprojects.
- Subproject environmental and social screening.
- World Bank ESF.
- Occupational health and safety including on emergency prevention and preparedness and response arrangements to emergency situations.
- Environmental and Social Risk Management procedures.
- Effective GRM operation.
- Technical, Planning and Operational Aspects of RAP.
- SEA/SH and Accountability and Response approach including Code of Conduct.
- COVID-19 transmission, prevention, preparedness, and response.

f. Establish, maintain, and operate a grievance mechanism for project workers, as described in Section 4 below. PMUs will ensure that contractors provide GRM for their workers. The FPMU/SPMU staff and consultants will be informed of the applicable grievance procedure to adopt in their contracts or terms of employment. All the contractors who will be engaged for the projects under ACReSAL will be required to produce their grievance procedure in line with the GRM provided in the LMP as a requirement for tender.

g. Monitoring contractor compliance with their contractual commitments. All contractors are required to submit monthly monitoring reports on implementation of ESMP, LMP, SMP, IPMP and GRM to the PMUs. The PMUs shall maintain a record of all such reports and would be submitted to the Association upon request.

h. In the case of subcontracting, requiring contractors to have equivalent arrangements with their subcontractors.

Policies to manage contractors, including OHS, labour recruitment, safety of workers, payment of wages, etc. will be developed and included in Annex XXVII.

BOX III. SEA/SH PROCUREMENT OF CONTRACTORS

At start of project effectiveness, Procurement Officer and GBV, PMU Procurement Unit and Safeguards Officers/Consultant shall:

1. Define SEA/SH requirements in bidding documents:
    a. Clearly define the SEA and SH requirements and expectations in the bidding documents for both contractor and consultant.
    b. Based on the project's needs, define the requirements to be included in the bidding documents for a Code of Conduct that addresses SEA and SH.
    c. Consider integrating the International Competitive Bidding (ICB) SPD requirements for addressing SEA/SH risks.
    d. Set out clearly in the procurement documents how adequate SEA and SH-related costs will be paid for in the contract.
    e. Clearly explain and define the requirements of the bidders' Code of Conduct to bidders before submission of the bids.
    f. Ensure that the c-ESMP requirements in the contract document meets the project's SEA/SH prevention and response.
2. Reflect SEA/SH risks and mitigation in c-ESMP or other safeguards plans, including budget.
3. Ensure workers sign and understand Codes of Conduct and are trained on GBV and SEA/SH.
4. Implement worksite mitigation measures, including separate sanitary facilities for men/women and visible GBV prohibitions.

Note: Each state PMU will ensure that each contractor develops, implements and mandates all workers to sign a Code of Conduct to mitigate the risk of SEA/SH as per already developed and disclosed GBV/SEA/SH Action Plan and Accountability and Response Framework which will be adopted and implemented by each state PMU.

4. Grievance Redress Mechanisms

4.1 Sub-project level Grievance Redress Mechanism

To ensure the concerns of project beneficiaries, stakeholders and project staff and contractors' workers are taken care of and complaints and suggestions duly addressed, the project will develop and implement a robust project-based Grievance Redress Mechanism[58]. The GRM will be developed and implemented by the FPMU but with provisions for access at the state level. Each participating state will also develop state level GRM with provision at the local and community level, for accountability, management and follow-up in accordance with the ESMF, SEP, RAP, LMP, SMP and GBV/SEA/SH protocols. The GRM will include reporting channels that are ethical, confidential, and safe for women and girls to report SEA/SH issues, operators will be trained on a survivor-centered approach and survivors will be referred to health, legal, safety, and psychosocial quality support services.

The project level GRM will be developed at effectiveness while state level GRM will be developed prior to commencement of project activities and prior to disbursement of project fund. A Procedural Manual for grievance redress officers would be developed detailing the procedures, roles, and responsibilities to resolve beneficiaries' complaints (see *Project Manuals Folder*).

Purpose of Grievance Redress Mechanism

The project GRM system will be designed to handle complaints perceived to be generated by the sub-project, its personnel as well as experienced by internal project staff in order to find satisfactory solutions and mutual benefits in a manner that is legitimate, reliable, transparent, and efficient. Grievances can surface at different stages of the sub-project cycle. Some grievances may arise during the project design and planning stage, while others may come up during project implementation.

[58] The GRM section of this PIM must be read alongside with specific E&S GRM procedures as detailed in the ACReSAL ESMF (Chapter 10), SEP (Chapter 6), RPF (Chapter 8), LMP (Chapter 7) and GVB Action Plan (Chapter 3).

Objectives of Grievance Redress Mechanism (GRM)

1. To address grievances promptly and effectively, in a transparent manner resulting in outcomes that are seen as fair, effective and lasting;
2. To provide a grievance management process that takes into consideration culture and tradition practiced in the area (this may include female members of GRC handling complaints involving women in areas where female seclusion is practiced) and which is readily accessible to all project affected parties;
3. To build trust as integral component of the project community relations activities;
4. To enable a systematic identification of emerging issues facilitating correcting actions and preemptive engagement; and
5. To cut down on lengthy litigation, which may hinder effective implementation of projects

Setting up a Grievance Redress Mechanism

The responsibility for grievance redress at the PMU will be through the Social Safeguards Unit. SPMUs are to set up grievance redress mechanisms at the following levels. There will be four levels at which a complainant can channel his/her complaints for redress:

a) Site/Community Level;
b) Project Management Unit Level;
c) State Steering Committee Level.
d) Federal Project Management Unit

Each participating SPMU will establish a grievance redress mechanism (GRM) that will allow the general public in the subproject area, affected sub-project communities or individuals, and PAPs in the following manner[59]:

- The participating states PMU shall establish a GRM that **incorporates the use of existing local grievance redress mechanism available in the community**. It will be effective and result oriented to work with existing and functional local structures of dispute resolution than to design an entirely new one which may be alien to the people. The existing GRM can be restructured and strengthened for adaptation for this project context.
- Complainants shall be **communicated early during public consultation** about the existence of the GRM and sufficient information provided to them on the grievance uptake channels

[59] An Accountability and Response Framework (A&R Framework) which includes a SEA/SH Action Plan will be finalized with the contractor's input and included in the Contractors-ESMP (c-ESMP). The framework is also meant to give procedures in reporting SEA/SH allegations internally for case accountability, a referral pathway to refer survivors to appropriate support services, and procedures that clearly lay out confidentiality requirements for dealing with cases**.**

which includes channels that are culturally appropriate and permit for self-identified, confidential, or anonymous procedures (professional letter writers, suggestion / GRM boxes, Email, toll-free telephone).

- It is however, the right of the complainant to take a matter to the court of law as the final arbiter if he/she felt dissatisfied with the judgments obtained from the grievance redress committees set up by this Project or if s/he does not want to use the GRM.
- The GRM system will **record and consolidate complaints and their follow-up** in a timely manner.
- The functioning of the GRM system, how to register complaints (written, by phone, or in person), where to go and hours of service, all should be clearly explained in local language during initial public consultations on the subproject. **Local language** brochures should be provided reiterating the functioning of the GRM.
- **A separate GBV GRM shall also be established to exclusively and confidentially address issues relating to GBV/SEA/SH nature and any victims.**

Potential Issues that may necessitate GRM at Community Level	Community Expectations when Grievances arise
· Community member not adhering to cut-off date as announced during consultation; · Losses not identified correctly; · Under compensation for loss of assets; · Dispute about ownership of affected assets; · Delay in disbursement of assistance and improper distribution of assistance; · Land acquisition, restriction of access and displacement; · Non-inclusion of community members in paid labour/workforce; · Unrealistic Corporate Social Responsibility (CSR) expectations from the client or contractors by community members; · Omission of eligible PAPs; · Uncompensated loss of assets; · Delay in execution of sub-projects leading to breakdown of trust; · Non-implementation or discrepancies in the implementation of LRP/SEP/LMP and other documents as stipulated in the report; · Potential risk of Gender based violence/sexual harassment of locals as a result of labour influx; and · Security /security force related allegations	· A concession in recognition of their problem; · An honest response to questions about ACReSAL activities; · An apology; · Support services; · Compensation when applicable; · Modification of the activities that caused the grievance; and · Some other fair remedy.

Grievance Redress Committees

The Grievance Redress Committees (GRCs), will be mandated to deal with all types of grievances arising at the community level due to the ACReSAL and its subprojects with **the exception of GBV/SEA/SH matters. A separate GRM/GBV response channel shall be established to address grievances relating to any GBV/SEA/SH in accordance with the provisions of the ESMF under Section 7.6.3.**

In general membership of the GRC for SPMU levels of grievance uptakes shall comprise as follow but may vary depending upon location and context:

a) GRC at the Site/Community Level:

- The District head or a person duly appointed;
- Members of Local Government area included in the affected area;
- The community head or representative appointed by the community head
- A woman leader of an affinity association;
- Two Representatives of PAPs including at least a woman;
- Social livelihood officer of the SPMU to serve as the secretary of the committee
- A representative of a voluntary organization, NGOs;
- The Resettlement Policy Framework Consultant, if relevant.

The sub-*project or site committee* will be responsible for the following:

- Communicating with the Affected Persons (AP's) and evaluate if they are entitled to recompense;
- Publicizing within the Communities, the list of affected persons and the functioning of the established grievance redressal procedure;
- Recommending to the Social Officer of the PMU solutions to such grievances from affected persons;
- Communicating the decisions to the AP's;
- Acknowledging appeals from persons, households or groups who rightfully will not be affected by the ACReSAL and its projects, but claim to be,
- Recommending to the PMU whether such persons should be recognized as AP's, and;
- Communicating back the decisions to the Claimants.

b) GRC at the PMU Level:

The state project coordinator shall constitute a team within the SPMU to receive, hear and address complaints arising from the project. The team will be headed by the Social and Livelihood Officer. Membership of the team shall be as follow:

- Social Livelihood Officer;

- Communication officer/ Public relations officer;
- Environmental Safeguard officer;
- Monitoring and Evaluation officer;
- Project Engineer; and
- GBV Officer

c) GRC at the State Steering Committee Level:

The committee at this level shall be headed by the Permanent Secretary in the Ministry of Environment while the State Project Coordinator of ACReSAL shall serve as the secretary of the committee. Membership of the GRC at this level shall constitute as follows:

- The Permanent Secretary Ministry of Environment;
- Director Ministry of Land & Survey
- Director Ministry of Agriculture;
- Director Ministry of Environment;
- The State Project Coordinator of ACReSAL;
- Representative of the State's Citizen Mediation Centre/Public Ombudsman/office of Public Defender if available in such state

Steps in carrying out a Grievance Redress Mechanism

NOTE: This section of the PIM discusses the GRM procedures and mechanisms at sub-project/site level. Grievances relating to internal project personnel, contractors and their work force can be found in Section 4.3 below, and further discussed in the GRM Procedures Manual. **This GRM mechanism differs from the GBV/SEA/SH cases which can be found in Section 4.2 below.**

In sum, there is no ideal method of approach to grievance resolution; however, the best solutions to conflicts are generally achieved through localized mechanisms that take account of the specific issues, cultural context, local customs, and the project state and its magnitude. In general, a Grievance Redress Mechanism process should follow the following steps: i) Receive and Register a complaint; ii) Screen for eligibility; iii) Assess the grievance; and iv) Respond to Grievance

STEP 1: To Receive and Register a Complaint.

The channels for receiving and registering complaints is a simple process where local people can inform the GRC about concerns directly and, if necessary, anonymously or via third parties. Reception procedures are most effective if they are convenient, culturally appropriate, simple to understand, and easy to use. A member of the GRC should be available to receive complaints and log them into a central register. **Register and acknowledge receipt of grievance to the grievant within 2 days.** However, for cases related to SEA/SH/GBV this will not be documented in the GRM

logbook and information recorded will be based on survivor preference.

The registration form will capture the following data: 1) Case number, 2) Name of the complainant, 3) Date of the grievance, 4) Gender, 5) Complete address, 6) Category of the grievance, 7) persons involved, and impacts on complainant life, 8) Proofs and witnesses, and 9) Previous records of similar grievances.

Annex 5 of the SEP contains grievance redress forms that could be used by the GRC to register and record progress on grievances. In addition, a simple template is available under Section 2.10, Fraud and Anti-Corruption Guidelines.

The SPMU will also prepare periodic reports on the grievance resolution process and publish these on the ACReSAL website.

A simple grievance reporting format can be found in Annex 4 of the land RPF for guidance.

STEP 2: Screening for Eligibility of Complaints.

This process determines whether a complaint is eligible for inclusion in the grievance mechanism. The GRC should develop a *screening procedure* based upon few simple *eligibility criteria* that do not involve judging the substantive merit of the complaint.

STEP 3: Assess the Grievance.

At this stage the GRC will gather information about the case and the key issues of concerns which will help to determine whether and how the complaint might be resolved.

Procedures for Assessing Grievance are as follows:

- Determine who will conduct the assessment. A Complaints Coordinator will be appointed to perform this task or directs it to an appropriate person(s) for assessment (production, procurement, environment, community relations, human resources).
- A representative from the GRC will endeavor to engage directly with the complainants to gain understanding of the nature of the complaint.
- Clarify the parties, issues, views, and options involved which includes:
    - ✓ Identify the parties involved.
    - ✓ Clarify issues and concerns raised by the complaint.
    - ✓ Gather views of other stakeholders, including those in the GRC and PMU.
    - ✓ Determine initial options that parties have considered and explore various approaches for settlement.
- Classify the complaint in terms of its seriousness (high, medium, or low). Using this

category, seriousness, will measure the potential to impact the community. The factors to consider will include: the gravity of the allegation, the potential impact on an individual's or a group's welfare and safety, or the public profile of the issue.

- Engage more directly with the complainant in the assessment process, and involve the complainant in influencing the resolution process to be selected, and settlement options.

STEP 4: Formulate a Response

Feedback on outcome of each case should get to the complainant through the secretary of committee or social contact/safeguard person. It is expected that reported complaints at each level will be resolved and determined within **21 days from date of receipt of the complaint.**

Scenarios for process of Selecting Grievance Resolution Approaches can be found in the ESMF (Chapter 10 p. 182).

The ACReSAL project intends to strengthen the GRM through information and communication technology such as a web-based dashboard to ensure that all complaints are immediately reported to the Government.

Grievance Service Standards and Reporting

The NGOs will be responsible for providing the Federal and States Steering Committees respectively with a periodic report detailing the nature, number and status of complaints and any outstanding issues to be addressed via tri-monthly reports, including analysis of the type of complaints, levels of complaints, actions to reduce complaints and initiator of such action.

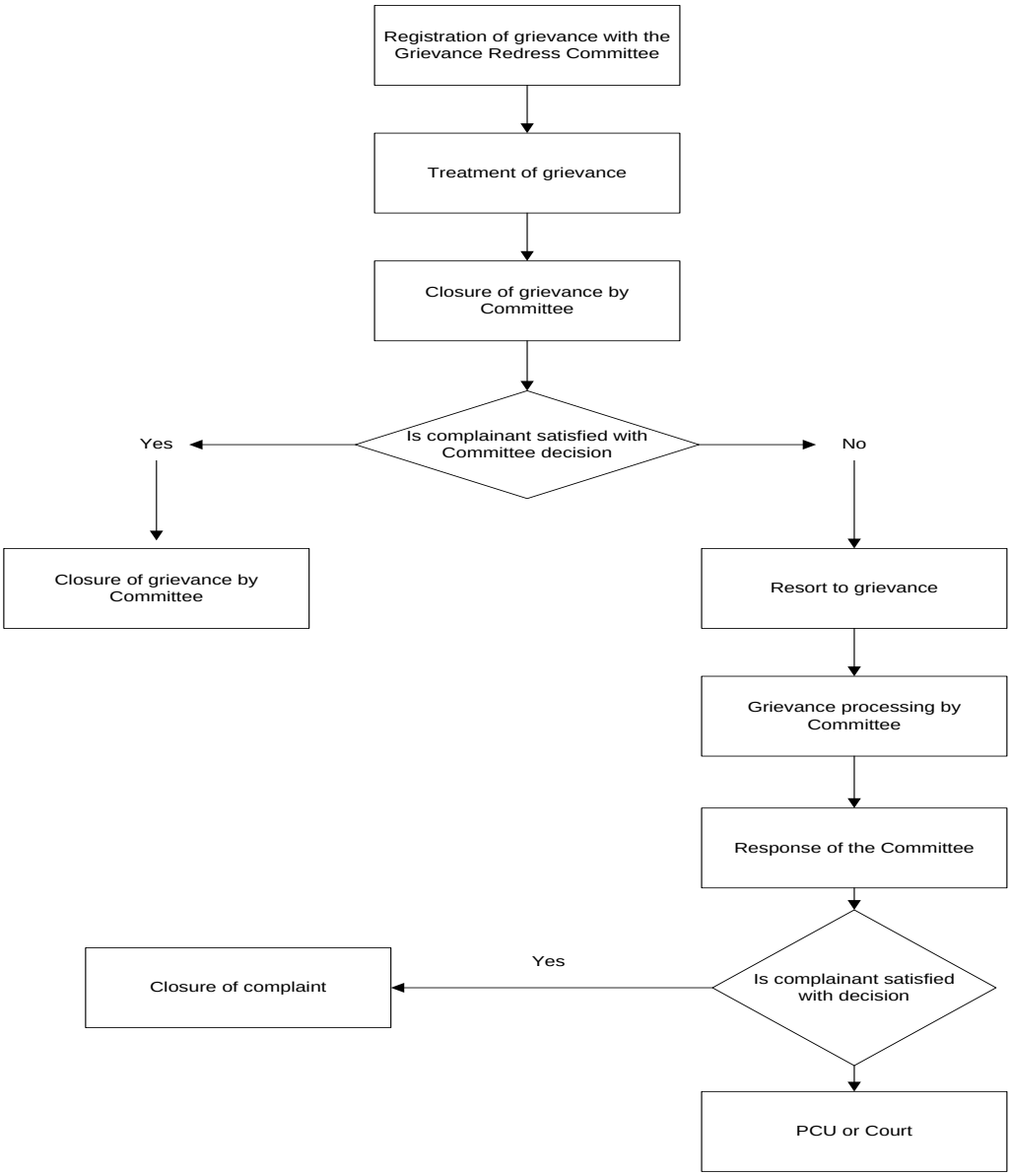


Figure 3. Example of Process Chart of Grievance Mechanisms

4.2 SEA/SH GRM

The ACReSAL SEA/SH allegations will be addressed differently from other project-related grievances, even though the cases may be initially received by the same Grievance Redress Mechanism Committee. SEA/SH protocols will consist of:

- Reporting channels that women and girls in the community have identified as appropriate and safe, as well as ensuring all reporting channels and GRM operators are trained on how to receive SEA/SH cases, and that there is a clear referral pathway in place. Consultations with women and girls will be done in a safe and enabling environment. Facilitators will be trained in a *survivor-centered approach*, they will be the same sex of participants, and conversations will be held in a private space where no one can hear or come in uninvited. Furthermore, power dynamics between women will be considered (e.g. different ethnic groups, ages etc.) that might prevent people from speaking openly and honestly. Creating a space where women and girls can speak about sensitive topics such as SEA/SH is paramount for designing appropriate mitigation and response measures.

In addressing SEA/SH risks, ACReSAL will use the **three key guiding principles** (confidentiality, informed consent, and survivor safety) of the survivor-centered approach to systematically and adequately respond to the specific nature.

- *GBV Intermediary/Service Provider:* The ACReSAL FPMU has planned to use Model-#2 of the SEA/SH GM, which links the project grievance mechanism to an existing intermediary/service provider to handle SEA/SH allegations. Under model 2, an existing intermediary (NGO) is identified and tasked with promptly addressing SEA/SH allegations. The intermediary/service provider can be tasked with additional responsibilities to support the grievance management process, including conducting dialogue and awareness-raising activities about gender-based violence and/or monitoring other SEA/SH risk mitigation measures as well as, providing services if they have the expertise and if there is a need/not other service providers in the area. The FPMU appointed gender focal point could be tasked to be in constant communication with the intermediary in order to manage, monitor and report eligible information to the World Bank.

- *Mapping and Development of a Referral Pathway:* An **Accountability and Response Framework** (A&R Framework) which is part of the SEA/SH Action Plan, will be finalized in consultation with the contractor, GBV Consultant and NGO and **included in Annex XXVIII**. The framework is meant to give procedures in reporting SEA/SH allegations internally for case accountability, a **referral pathway** to refer survivors to appropriate support services, and procedures that clearly lay out confidentiality requirements for dealing with cases (guidelines on what should be included in the A&R can be found in the SEA/SH Action Plan)**.**

- The SEA/SH Grievance Mechanism will put in place channels for registering, recording, and handling such cases in a safely and confidentially.

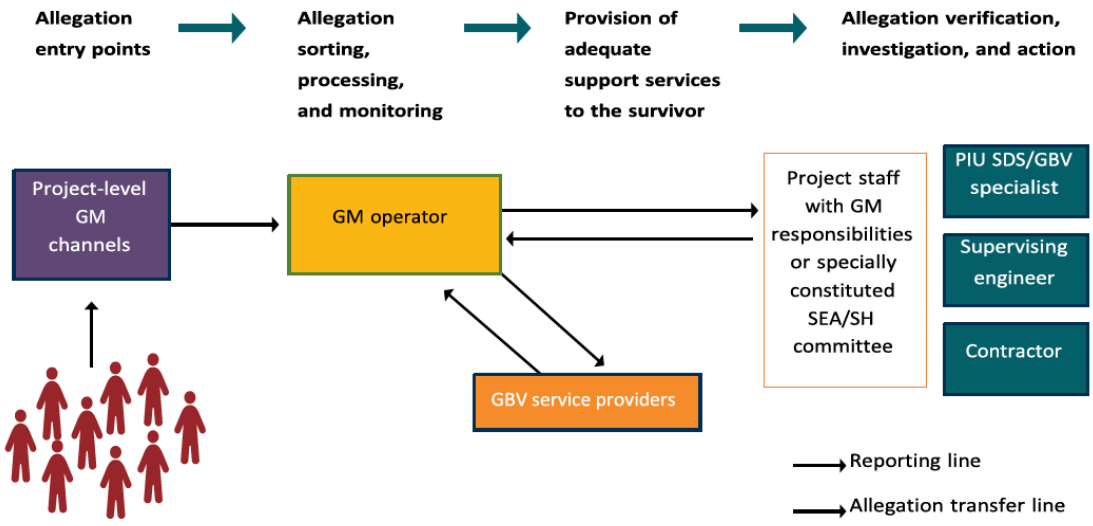
  Protocols for how such cases will be handled will be developed and included in Annex XXVIII, including security management standards and screening measures.
- Review lessons learned from GVB cases on quality mitigation and response measures and adjust interventions accordingly.

Model # 2 of the SEA/SH GM

The ACReSAL FPMU has planned to use Model-#2 of the SEA/SH GM, which links the project grievance mechanism to an **existing intermediary/service provider (NGO)** to handle SEA/SH allegations. The intermediary is selected by the PMU in consultation with the World Bank based on its qualifications and experience to receive and respond to potential SEA/SH allegations, quality of service provision, outreach, and relationships with other GBV service providers. Under this model 2, SEA/SH allegations can be reported either through project-level GM channels or directly through the intermediary. However, if a SEA/SH allegation report is received through the formal grievance mechanism, the GM operator refers the matter to the intermediary.

The intermediary will provide immediate support services in its sphere of competencies, such as health or psychological support, and on consent, then refer the survivor to other relevant GBV service providers and coordinate with the project GM operator. If the survivor gives consent, the second action for the GM operator is to communicate the allegation to a specially constituted SEA/SH grievance committee comprising representatives of the client, consultant, contractor, and local service providers that are charged with monitoring SEA/SH response.

At this point, the allegation is reviewed, and a determination is made regarding the likelihood of the allegation being linked to a project. If the allegation is likely to be linked to the project, the project implementation unit asks the contractor to take appropriate action against the perpetrator. The intermediary is responsible for informing the GRM operator of all SEA/SH allegations that have been identified as originating from a project, such as those against contractors, workers, or consultants, with the consent of the survivor. In this way, the project implementation unit and the World Bank can be kept apprised and appropriate action can be taken if the alleged perpetrator is linked to project activities and if the survivor wants to seek disciplinary action. If the SEA/SH allegation is linked to a World Bank-financed project but the survivor does not want to submit a grievance with the alleged perpetrator's employer, the intermediary only shares information with the GRM operator about the survivor's age, sex and the fact that he or she does not choose to proceed with accountability processes.



(Source: ACReSAL GBV Action Plan)

More details on the ACReSAL SEA/SH GMR can be found in the GBV Action Plan.

4.3 Grievance Mechanisms for Project Workers

Internal GRM for contractors' workers is not the same as the project-level GRM which sets out procedures for resolving project related grievances between project communities and contractors as a result of project activities. The former sets out specific procedures for workers management (labour and working conditions), while the latter sets out procedures for reporting issues related to the implementation of the project. This procedure according to the provisions of ESS2 requires every employer, including contractors, to have a formal grievance procedure which should be known and explained to the employees – details are available in the GRM Procedures Manual.

All the contractors who will be engaged for the projects under ACReSAL will be required to produce their grievance procedure in line with the GRM provided in the LMP and ESS2. PMUs will ensure that contractors provide GRM for their workers.

4.4 World Bank Grievance Redress

Communities and individuals who believe that they are adversely affected by a World Bank 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:

http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service.

For information on how to submit complaints to the World Bank Inspection Panel, please visit

http://www.inspectionpanel.org