



Resettlement Action Plan Compliance Audit Report

- Form Ghana Reforestation Project

Final Audit Report



FORIG

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LIST OF ACRONYMS

AfDB	African Development Bank
CSIR	Council for Scientific and Industrial Research
FORIG	Forestry Research Institute of Ghana
FGD	Focus Group Discussion
FSC	Forest Stewardship Council
FSD	Forest Services Division of the Ghana Forestry Commission
GPRS	Ghana Poverty Reduction Strategy
JHS	Junior High School
MOFA	Ministry of Food and Agriculture
RAP	Resettlement Action Plan
SEIMAP	Socio-Economic Impact Mitigation Action Plan
SHS	Senior High School
UE	Upper East
UW	Upper West
VCS	Verified Carbon Standard

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Executive Summary

Form Ghana engaged CSIR-Forestry Research Institute of Ghana to conduct an independent compliance audit of the Resettlement Action Plan (RAP) for their reforestation project. The objectives of the RAP compliance audit was to assess the level of compliance of RAP implementation with the applicable requirements; to evaluate the effectiveness of the mitigation measures recommended and implemented; and draw lessons for future projects. A mixed method approach involving a combination of qualitative and quantitative methods, field observation and desk research was employed for the assessment. A semi-structured questionnaire for face-to-face interviews together with checklists for focus group discussions and key informant interviews were used to collect all relevant data associated with themes and issues outlined in the terms of reference to address the objectives of the RAP compliance audit assessment.

The findings indicate that Form Ghana developed the RAP with the active participation of all relevant stakeholders and Form Ghana has largely met the RAP commitments. Efforts have been made to resettle project affected farmers from Akumadan to Kotaa. Facilities agreed upon in the RAP have been provided at Kotaa community to ensure the successful integration of the settlers from Akumadan into Kotaa community. Livelihood-restoration measures have been implemented to ensure that the standards of living and livelihoods of project affected households would be restored or enhanced. All project affected people confirmed that specific amenities that were contained in the resettlement package have been provided for them at Kotaa. In their opinion, the settler farmers reported that the resettlement package was generally good for them. Concerning compensation payment, economically displaced farmers (i.e. farmers who were originally farming at the resettlement site at Kotaa) confirmed that the chief of Kotaa assisted them to negotiate with Form Ghana on how their crops and the land should be compensated. These farmers confirmed receiving financial payments as compensation from Form Ghana. In addition, each of these farmers received cashew seedlings to start cashew farming at their new farms. All the economically displaced farmers attested to willingly giving out their land to resettle the settlers from Akumadan.

In addition to Form Ghana's grievance and redress mechanism protocol, the chief of Kotaa, the host community, together with Form Ghana set up an informal/ad hoc committee to ensure smooth integration of the settler farmers into the community. Additional mechanisms were put in place to address any complaints and grievances these settler farmers may have. Thus, the lines of communication were always kept open between the settlers, host community and Form Ghana. During the audit, there were no records of grievances that had been lodged by the settler farmers. Hence there is no evidence of any significant noncompliance or recurrent poor performance in the resettlement implementation or grievance management. Form Ghana has largely met all requirements including AfDB's requirements on involuntary resettlement. Thus, the project affected people have received everything from Form Ghana as stipulated in the Resettlement Action Plan.

However, the settlers have all returned to Akumadan and have started farming activities at Akumadan. The settlers expressed some concerns and challenges that caused them to return to Akumadan and that are preventing them from being resettled at Kotaa. The main challenges, as expressed by the farmers are first, the long distance from their resettlement housing units in Kotaa community to the land made available in FORM Ghana's plantation site for farming. Although not part of the requirements in the RAP, the farmers mentioned that they had requested for motor bikes from Form Ghana to assist them to cover the long distance even though some (native) farmers at Kotaa commute the same distance on a daily

basis, mostly on bicycles. Second, the difficulty associated with new maize planting technology introduced to them for farming at the Form Ghana plantation site. The farmers acknowledged that the new technology would likely result in increased yield, but complained that the new technology requires planting in rows at shorter distances, is labour intensive and is new to the farmers and hired labourers mostly refuse to adopt it. Third, since the temporary accommodation had only 4-bedrooms, it provided a disincentive for the seven settlers to move their entire households to Kotaa.

The concerns and challenges mentioned above contain lessons for future projects. First, there is a need for practical training through farm field demonstration on the introduced maize intensification planting technology for improved yield. Second, arrangements should be made for supporting settler farmers to build their own houses. This would enable them to relocate and stay in the host community. Third, skill capacity building/training for the vulnerable members (e.g. wives of settlers) is critical to enhance the livelihoods of settler farmers' households. Fourth, an initial arrangement for provisions to assist with the daily living of settler farmers would enable them to stay at the host community. Lastly, it is important to acknowledge that these migrant farmers are not in these degraded forest reserves for a permanent stay but to acquire livelihood assets to take care of themselves, their children and other dependents. Thus, the ultimate goal in life for these settlers is not the relocation to a new site, but anywhere that they can achieve their livelihood objectives.

1.0 INTRODUCTION

Form Ghana Ltd. is a forest plantation management company based in central Ghana that provides services in the field of reforestation of degraded Forest Reserves and plantation management. The company was established in 2007 and is a subsidiary of Sustainable Forestry Investments B.V. in the Netherlands. The company operates in a socially, ecologically and economically responsible way. This resulted in a certificate for sustainable forest management awarded by the Forest Stewardship Council (FSC™) in 2010. The company's reforestation activities have also been independently validated under the Verified Carbon Standard (VCS), which shows the company's contributions to climate change mitigation.

For the benefit of funding through African Development Bank (AfDB), Form Ghana has prepared a Socio-Economic Impact Mitigation Action Plan (SEIMAP) for the Form Ghana reforestation project. Form Ghana Ltd., a Ghana-based corporation, proposes to establish and maintain a plantation forest in Ashanti and Bono Regions of Ghana. In doing so the company is committed to complying with Ghanaian laws, internal company policies, African Development Bank standards (Operational safeguards) and international best practices.

In 2015, a SEIMAP was finalized based on an extensive scoping exercise determining the various groups of people making use of the prospective plantation areas and how they would be affected by the plantation activities. Based on the scoping exercise, a compensation plan was elaborated for those eligible while mitigation measures were proposed for those not eligible for compensation but likely to be affected by the project activities.

Form Ghana has elaborated an end report to the AfDB, but closure of the SEIMAP process demand an independent verification. Form Ghana therefore engaged CSIR-Forestry Research Institute of Ghana (CSIR-FORIG) to conduct an independent audit of the achievements between the initial plan and the current state of affairs.

1.1 Brief Project Description

This section reports on the brief description of the project as contained in the final SEIMAP document. Form Ghana aims at large-scale reforestation of degraded Forest Reserves in Ghana while conserving and restoring natural, riparian forest. The vision of Form Ghana is to operate in a sustainable environment, contribute significantly to the quality of people's life in the project area, and environmental protection and to the Ghanaian economy. In Ghana, degraded forest reserves are of major concern to the government because approximately 94% is in a deplorable condition as a result of unsustainable harvesting and encroachment. Restoring these areas is therefore a key component of Ghana's Forest and Wildlife Policies (1994 and 2012) and the 1996-2020 and 2020-2036 Forestry Development Master Plans as well as other related sector policies including the Ghana Poverty Reduction Strategy (GPRS).

In Ghana, there is an increasing need for timber from sustainable sources and the conversion of degraded land into well-managed forest plantations provides a sound solution for the required increase in timber supply; making (plantation) forestry an interesting investment opportunity in the country. In terms of plantation management, the 3,500 ha of plantation forest in Akumadan have been established in 2008-2012, with a pilot site from 2001. In Tain II, 4,866 ha had been

established by end of 2019. Each of Form Ghana's project site is equipped with an office building complex, including a workplace and a clinic. The complexes are constructed off-site on privately owned land, outside of communities.

Trees planted on the plantations consist of a maximum of 90% teak and at least 10% mixed local species. The expected planting rate is 1500 ha/yr. The rotation cycle chosen for teak is 20 years. The indigenous trees that are planted serve two purposes: active restoration of degraded buffer zones and planting of areas less suitable for teak. The project sites are located in three forest reserves: Asubima, Afrensu Brohuma and Tain Tributaries Block II (Tain II). The reserves Asubima and Afrensu Brohuma reserves are fringing and managed as one unit further referred to as Akumadan, the name of the closest town. Asubima and Afrensu Brohuma have a total area of 7,900 ha and 7,300 ha respectively. Form Ghana manages an area of 1,750 ha in each reserve. The Tain II reserve has a total area of 50,900 ha with Form Ghana managing 14,576 ha. The reserves are located within the dry semi-deciduous forest zone (DSFZ) (Hall and Swaine, 1981). The terrain is undulating and covered with savannah vegetation with a very open canopy, alternating with forested and open sandy-rock patches.

1.2 Form Ghana's Resettlement Action Plan

Form Ghana has developed an elaborated Resettlement Action Plan (RAP) to address the needs of people who were farming on the land in the Reserves, but are no longer able to do so due to forest growth and plantation expansion. The main objective of this Resettlement Action Plan (RAP) is to provide an agreed plan for the resettlement and compensation of Project Affected Persons (PAPs) affected by the proposed expansion of Plantation in Afrensu Brohuma and Asubima forest reserve in Akumadan Municipality. The plan is to provide resettlement and compensation packages for PAPs. Through socio-economic surveys, Form Ghana identified people who are eligible for support. Central to the plan is the possibility for farmers in the Asubima and Afrensu Brohuma area to move to the Tain II area to continue farming activities there. A new place to live has been agreed upon with traditional land owners of Kotaa near to the Tain II Reserve. The plan also structures the way in which people that are already farming in Tain II area can continue their work. People will be further prepared for the decrease in available land which will happen when plantation establishment covers most available land by training on alternative livelihoods.

1.3 African Development Bank (AfDB) Statements on Involuntary Resettlement

AfDB's operational guide on involuntary resettlement applies to Form Ghana's project because the project triggers involuntary resettlement. The Bank's statement on Involuntary Resettlement is stated in their "2003 Involuntary Resettlement Policy". The overall goal of the Policy is to ensure that when people must be displaced, they are treated equitably and that they share in the benefits of the project that involve their resettlement. The policy has the following key objectives: (1) to avoid involuntary resettlement where feasible, or minimize resettlement impacts where population displacement is unavoidable, exploring all viable project designs. Particular attention must be given to socio-cultural considerations, such as cultural or religious significance of land, the vulnerability of the affected population, or the availability of in-kind replacement for assets, especially when they have important intangible implications; (2) to ensure that displaced people receive resettlement assistance, preferably under the project, so that

their standards of living, income earning capacity, and production levels are improved; (3) to provide explicit guidance to Bank staff and to the borrowers on the conditions that need to be met regarding involuntary resettlement issues in Bank operations in order to mitigate the negative impacts of displacement and resettlement and establish sustainable economy and society; and (4) to set up a mechanism for monitoring the performance of involuntary resettlement programs in Bank operations and remedying problems as they arise so as to safeguard against ill-prepared and poorly implemented resettlement plans.

In order to achieve the overall objectives of this policy, projects that involve involuntary resettlement should follow specific guiding principles, including: (1) developing a resettlement plan where physical displacement and loss of other economic assets are unavoidable to improve displaced persons former living standards, income earning capacity, and production levels. (2) Displaced persons and host communities should be meaningfully consulted early in the planning process and encouraged to participate in the planning and implementation of the resettlement program. (3) Appropriate assistance must be provided to help disadvantaged groups cope with the dislocation and to improve their status. (4) Resettlers should be integrated socially and economically into host communities so that adverse impacts on host communities are minimized. Any payment due to the host communities for land or other assets provided to resettlers should be promptly rendered. (5) Displaced persons should be compensated for their losses at “full replacement” cost prior to their actual move or before taking of land and related assets or commencement of project activities, whichever occurs first; and (6) The total cost of the project as a result should include the full cost of all resettlement activities, factoring in the loss of livelihood and earning potential among affected peoples.

1.4 Objectives and Scope of RAP Completion Audit

The objectives of the RAP completion audit are the following:

- (i) assess the level of compliance of RAP implementation with the applicable requirements;
- (ii) evaluate the effectiveness of the mitigation measures recommended and implemented;
- and
- (iii) draw lessons for future projects

The specific scope and tasks of the RAP compliance audit include the following:

- Assess overall compliance of the actual implementation of the land acquisition and resettlement with the RAP and ESMP objectives, commitments and national and AfDB applicable requirements;
- Consult and interact with a statistically representative number of project affected people and other relevant stakeholders to: (i) assess the extent to which the standards of living and livelihoods of affected households are being (or have been) restored or enhanced; (ii) measure whether households have been sufficiently and adequately informed and consulted with; (iii) gather their opinions on entitlement delivery, including compensation payment, resettlement housing, livelihood-restoration measures and grievance management;
- Review if entitlements were delivered and implemented on time (as set out in the RAP implementation schedule); address all categories of project affected persons in the review, including women and other relevant groups

- Assess whether compensation is at full replacement cost based or whether updates to compensation rates may be necessary, based on quantitative price surveys done internally by the project
- Review any issues associated with delivery of entitlements to vulnerable people, where applicable including whether vulnerability factors such as disability or health issues have been taken into consideration in the resettlement site and housing design
- Review internal monitoring and reporting procedures for conformity with the RAP, particularly whether indicators are gathered per commitments in the RAP;
- Review grievance records for evidence of any significant noncompliance or recurrent poor performance in resettlement implementation or grievance management
- Meet a cross-section of aggrieved individuals with different types of grievances (both ongoing and closed) and check on the fairness and transparency of the grievance management process;
- Assess whether there has been adequate resources to implement the RAP and any training or capacity building requirements, including in relation to assistance to vulnerable people and livelihood restoration;
- Carry out a comparison between baseline and post resettlement/compensation situations using both qualitative and quantitative tools
- Verify progress and full implementation of AfDB's recommendations.

2.0 METHODS AND METHODOLOGY

2.1 Overview of the Study Area

The RAP audit assessment was conducted in the surrounding communities of the two plantation sites of Form Ghana i) Akumadan (Asubima and Afrensu Brohuma forest reserves) located in Offinso North District in the Ashanti region ii) Kotaa and Arkokrom of Tain II forest reserves in the Berekum East District in the Bono region. The Akumadan site is home for all the twenty-seven farmers to be resettled under the Form Ghana RAP program. Kotaa on the other hand is the host community selected for integration of the affected farmers from the Akumadan site. Kotaa is also the seat of the traditional ruler (chief) for the surrounding communities around Form Ghana's office complex in the Tain II area. Arkokrom was included in the selected study sites based on i) proximity to the plantation site and ii) involvement of many farmers in the Form Ghana intercropping arrangement within their plantation establishment.

2.2 Study Approach/Design

A mixed method approach involving a combination of qualitative and quantitative methods, field observation and desk study of literature review was employed for this study. A semi-structured questionnaire for face-to-face interviews together with checklists for focus group discussions (FGD) and key informant interviews were used to collect all relevant data associated with themes and issues outlined in the terms of reference to address the objectives of the RAP audit assessment. The semi-structured questionnaire (Appendix 1) and checklist (Appendix 2) were designed to capture the under listed key household-based indicators regarding the RAP program:

- **Demographic and basic household information**
- **Perception/opinions on the RAP**

- compensation payment
- entitlement delivery (e.g. timelines for delivery of entitlements)
- resettlement housing
- community integration
- reasons for returning to Akumadan after moving to Kotaa
- **Livelihoods of affected households**
 - key livelihood activities including farming systems of both affected farmers and farmers in the resettlement community
 - farmers involvement in Form Ghana plantation intercropping activities
 - asset lists of affected farmers
 - average household income of affected farmers before and after the project implementation
 - impact of the RAP program on the livelihood of the affected (e.g. physically removed; economically affected-loss of livelihood; environmentally affected-loss of water)
 - impact on standards of living and livelihoods after project implementation e.g. access to land for both the affected settlers and the residents of Kotaa
- **Feedback and Grievance management mechanisms**
 - participation in negotiations
 - grievances and mechanisms for addressing grievances (how fast grievances are addressed)
 - existence of clear channel for reporting grievances
 - barriers for reporting grievances

The key informant interviews were conducted with different stakeholders to validate some of the issues that were raised in the face-to-face interviews and FGDs. The key informant interviews captured information pertaining to perceptions on infrastructure under the RAP program, land use and farming systems, access to land for agricultural activities, yield from farms and alternative livelihood opportunities at the resettlement site (Kotaa). Additional information gathered through the key informant interviews included valuation of crops on lands offered for the resettlement, opinions on compensation package for the economically displaced farmers who offered their lands for resettlement at Kotaa and the communities' perception of the resettlement and integration process.

2.3 Sampling techniques and data collection methods

2.3.1 Sampling techniques

The basic elements in the sampling frame were the affected farmers at Form Ghana Akumadan site to be resettled at Kotaa, the chief and elders of Kotaa, the economically displaced farmers who offered their farm lands at Kotaa for the resettlement process and committee members assigned by the chief of Kotaa to address grievances of the settlers. Other respondents included farmers at Kotaa, Arkokrom who are currently or have been involved in the intercropping activities on Form Ghana's plantation site at Tain II as well as non-participating farmers at Kotaa. The District director of the Ministry of Food and Agriculture (MOFA) at Berekum and the Forest Services Division (FSD) manager at Sunyani were also contacted for key informant

interviews. Table 1 provides details of respondents selected and the data collection protocol used.

Table 1 Number of respondents selected for each category of stakeholders and the type of interview protocol used

Stakeholders interviewed	Number of respondents	Interview type
Affected farmers at Form Ghana Akumadan site	7	<ul style="list-style-type: none"> • Face to face interviews • FGD
Affected farmers who opted out of the program	2	<ul style="list-style-type: none"> • Face to face interviews
Chief and elders of Kotaa	11	<ul style="list-style-type: none"> • FGD
Economically displaced farmers at Kotaa	5	<ul style="list-style-type: none"> • Face to face interviews
Committee members assigned by the chief of Kotaa to address grievances of the settlers	2	<ul style="list-style-type: none"> • Key informant interviews
Chief of Kotaa	1	<ul style="list-style-type: none"> • Key informant interviews
Queen mother of Kotaa	1	<ul style="list-style-type: none"> • Key informant interviews
Farmers at Kotaa intercropping on Form Ghana's plantation site at Kotaa	9	<ul style="list-style-type: none"> • Face to face interviews
Non-participating farmers at Kotaa	2	<ul style="list-style-type: none"> • Face to face interviews
Farmers at Arkokrom	26	<ul style="list-style-type: none"> • Face to face interviews
Food and Agriculture (MOFA), Berekum	1	<ul style="list-style-type: none"> • Key informant interviews
Forest Services Division (FSD)	1	<ul style="list-style-type: none"> • Key informant interviews
Total key stakeholders interviewed	66	

Participants interviewed through focus group discussion (FGD) and face-to-face with semi-structured questionnaires included seven (7) out of the 27 affected farmers who had agreed to the resettlement program, two farmers who had opted out after an initial agreement and five (5) economically displaced farmers. Additionally, five (5) participating and two (2) non-participating farmers of Form Ghana's intercropping arrangement were purposively selected from Kotaa for face-to-face interviews. This was necessary in order to obtain information on available livelihood opportunities and agricultural productivity (e.g. crop yields) within Kotaa. In view of proximity, additional 26 farmer respondents were similarly selected from Arkokrom for face-to-face interviews for the same reason of obtaining information on livelihood opportunities around Kotaa and surrounding communities. Other key informant interviews and FGD were also conducted with the traditional leaders of Kotaa and state agricultural agencies within the area i.e. MOFA (1) and FSD (1). These additional key informant interviews were to ensure broader perspective of issues within the context of the study objectives. Overall, a total of 66 respondents were interviewed for the study (Table 1).

2.3.2 Reconnaissance and data collection

Data collection was conducted in two phases. During the first phase, the team paid an initial reconnaissance visit to Akumadan and Kotaa on the 16th and 17th March, 2020 respectively. At Akumadan, the team had a kick off meeting with the Form Ghana officials before proceeding to meet with all seven affected farmers at a convenient location within the Form Ghana plantation

site in Akumadan. A focus group discussion (FGD) was held with all seven farmers (Plate 1). The team continued with a face-to-face interview with each of the seven affected farmers as well as the two individuals who had initially agreed but opted out of the resettlement program (Plate 2 and 3). The face-to-face interview secured information on individual agricultural productivity particularly, major crops cultivated, trends and production constraints, socio-economic conditions pertaining at the village level and all the relevant issues relating to the RAP program. Following the FGD and face-to-face interviews, field observations were conducted on some of the farms to inspect the farmhouses occupied by the affected farmers in the Forest Reserves (Plate 4).



Plate 1: Interaction with farmers to be resettled at Kotaa in a focus group discussion.



Plate 2: Face-to-face interview on the farm of one of the farmers who opted out of the program



Plate 3: Face-to-face interview with one of the farmers who opted out of the program



Plate 4: Field observation of a farmhouse occupied by one of the affected farmers

The team continued the data collection with a visit to Kotaa on the 17th, March 2020. At Kotaa, another FGD was held with the chief and elders of Kotaa (Plate 5). Relevant issues discussed centered on the RAP program as well as the communities socio-cultural preparedness towards receiving the seven settlers in their community, their perceptions about the RAP package, challenges and available livelihood opportunities in the area. This was followed by face-to-face interviews with the economically displaced farmers who offered their land for the resettlement process. Also, key informant interviews were separately conducted with the chief and Queen mother of Kotaa in their personal capacity beside the FGD with the elders of the community. The team further undertook a transect walk around the community (Plate 6) in order to inspect all the infrastructural facilities outlined under the RAP program i.e. a temporal housing facility to accomodate the settlers, a solar powered mechanized borehole, and a toilet facility provided for the community under the settlement package. The phase 1 visit was concluded with a debriefing meeting with officials of Form Ghana at the Tain II area office.



Plate 5: A section of the chief and elders of Kotaa during the FGD with the consultant team



Plate 6: Consultant team taking a transect walk around the Kotaa community

The second phase of data collection was conducted on 24th and 25th March, 2020. Additional face-to-face interviews were conducted with selected farmers at both Kotaa and Arkokrom. Key informant interviews were also conducted with the district director and manager of MOFA and FSD respectively to solicit their perceptions on the RAP program and to validate the information on the prices used for valuing crops on the lands offered for the resettlement program as well as agricultural productivity in general in the area.

2.4 Data Analysis

The data was processed and analyzed using SPSS version 23 and presented descriptively. Focus group data were reported using verbatim and paraphrasing of the narrations. The quantitative data was reported in frequency tables and pictorially (bar and pie charts).

3.0 FINDINGS OF THE COMPLIANCE AUDIT AS AGAINST RAP COMMITMENTS

3.1 Socio-demographic profile of respondents

Table 2 presents the socio-demographic information of the settler farmers in Akumadan. All seven settlers from the Akumadan site are male farmers. Farmer 7 was represented by the wife during the FGD and face-to-face interviews. Farmer 8 and 9 were identified as the two individuals who opted out of the resettlement program before it could be completed. Two out of the seven had some form of basic education up to the primary level. All the respondents including the two farmers who had opted out of the agreement were migrants and settler farmers from the Upper West and Upper East regions of Ghana (Table 2). Farming is the main occupation for all with only one person reporting bicycle repairing as a secondary occupation. Household size of all seven farmers ranged from 4 to 8 members. The mean age of the settlers is 47 years.

Table 2: Socio-demographic characteristics of affected farmers at Akumadan

Code Number	Origin/town/region	Gender	Age	Number in Household	Education level
Farmer 1	Navrongo/UE	Male	42	5	No formal education
Farmer 2	Navrongo/UE	Male	48	7	No formal education
Farmer 3	Navrongo/UE	Male	53	6	No formal education
Farmer 4	Nandowli/UW	Male	55	4	No formal education
Farmer 5	Navrongo/UE	Male	43	6	Primary 3
Farmer 6	Navrongo/UE	Male	42	6	No formal education
Farmer 7	Navrongo/ UE	Male	50	8	Primary 4
Famer 8*	Navrongo/ UE	Female	30	5	Primary 3
Farmer 9*	Navrongo/ UE	Male	62	4	No formal education

** The 2 farmers who had initially agreed to be part of the resettlement program but opted out before the final settlement agreement was completed.*

3.1.1 Housing and access to farm lands and social amenities at Akumadan

All seven settler farmers reported having rented places at the Akumadan township where their wives and children reside mainly for their children to have access to education. From observation on the field, the 7 affected farmers still have farmlands in the Forest Reserve (Afrensu Brohuma and Asubima) closed to the Form Ghana Plantation site. Farmhouses were observed on these farmlands where according to them they occasionally sleep overnight and also store their food crops after harvest. They however face the challenge of constant threat of eviction and demolition of their farms and farmhouses from Forestry Commission officials in view of the fact that their occupancy on the Reserve is illegal. These farmhouses are constructed of wood or mud, with thatched roofs and somewhat scattered on the reserve. The farmers have no access to electricity or treated drinking water. Access to drinking water according to the farmers is from nearby streams while firewood for cooking are mainly sourced around. Plate 7 shows a typical farmhouse built on the Reserve in Akumadan.



Plate 7: A typical farmhouse occupied by one of the settler farmers on the Asubima Forest Reserve

3.2 The impact of the RAP on the livelihoods of affected households

3.2.1 Livelihoods of affected farmers at Akumadan

Twenty-seven settler farmers were reported to be originally occupying and cultivating portions of the Asubima forest reserve before Form Ghana's arrival in the area for the establishment of

the forest plantations. Farmers were continuously engaged as both casual workers during the plantation establishment and were allowed to intercrop agricultural crops underneath the canopy until canopy closure. Hence, farming was the predominant livelihood activities before and after the presence of Form Ghana in the reserve area. Reported crops cultivated during this period (before Form Ghana arrived and during the intercropping phase) were mainly maize, yams, tomatoes, pepper, okro, groundnut and cowpeas (beans). These crops are usually planted on the same piece of land in an intercropping system. Table 3 shows the different crops and farm sizes cultivated by each of the affected farmers to sustain their livelihoods.

Table 3: Diversity of crops grown and cultivated land sizes in acres

Farmer code	Farm sizes cultivated under each crop (Acres)						
	Maize	Tomatoes	Groundnut	Yam	Rice	pepper	Okro
Farmer 1	3	1	0.5	0.5	1	0.5	< 0.5
Farmer 2	3	1	0.5	1	x	1	x
Farmer 3	2	x	0.5	x	x	x	x
Farmer 4	2	x	0.5	x	x	x	x
Farmer 6	1.5	x	1	x	x	x	x
Farmer 7	4	1	x	x	x	x	<0.5
Farmer 8	< 0.1	x	x	x	x	x	x
Farmer 9	3	x	x	1	x	x	x

Yields from the different crops are mostly sold on major market centers to earn income. All farmers agreed that, yield during the intercropping period on Form Ghana’s plantation establishment was higher than what they currently harvest. On average, a maximum of 5 bags and a minimum of 2 bags per acre of maize would be harvest during a planting season. An acre of yam would usually yield a maximum of 1800 tubers to a minimum of 1500 tubers. Table 4 provides an estimated seasonal yield obtained by the farmers from agricultural productivity to sustain their livelihoods

Table 4: Reported seasonal yields obtained by the affected farmers at the Akumadan site

Crops Grown	Yield
Maize	5 bags/acre maximum; 2 bags /acre minimum
Yam	1800 tubers/acre maximum; 1500 tubers/acre maximum
Tomatoes	16 boxes/acre/season
Groundnuts	5 bags/acre maximum; 4 bags/acre minimum
Rice	4 bags/acre
Beans	Usually for home consumption only
Pepper	
Okro	

In terms of financial and physical livelihood assets, all 7 affected farmers have either credit union account or are registered members of credit “susu” schemes while four out of seven own bicycles. The farmers also reported owning livestock in varying numbers (sheep, goat, chicken/fowls, and guinea fowls). Regarding social assets, six (6) out of the seven (7) affected farmers belong to associations that are mainly of their various ethnic groups. For example, there is Tiekando Association (i.e. Dagara ethnic group association) and Sangtaaba Association (i.e. Kassena ethnic group association). For natural assets, 6 out of 7 own lands however, since these farmers are all migrants, they reported these lands are assets in their places of origin. For human assets, all 7 persons have health insurance for themselves and family members, but most of them have their insurances expired and have not yet been renewed. Also, the highest educational level of the children and wards of these 7 farmers is Junior High School (JHS) and Senior High School (SHS).

3.2.2 Projected livelihoods at Kotaa after resettlement

This assessment can only report on projected livelihood opportunities at Kotaa for the settlers since the settlers returned to Akumadan a week after they moved to Kotaa, hence there is no available data to assess for the changes in their livelihoods. Data gathered from Kotaa indicate that Form Ghana did construct a temporary housing to provide accommodation for the settlers for a period of six months in Kotaa. Furthermore, the settlers had access to improved solar powered mechanized borehole water facility and a KVIP public toilet put up as part of the resettlement package for the entire community of Kotaa. The data gathered and field observation also revealed that, each settler farmer was handed over a plot of land (0.2 ha) to put up a permanent structure to accommodate them and their families after the agreed period they are allowed to live in the Form Ghana temporary housing has elapsed. Plate 6 shows the 4-bedroom temporary housing structure put up by Form Ghana for all seven settler farmers in Kotaa. From the field observation and FGD with the traditional leaders of Kotaa, the piece of land offered to each of the settler farmers was sizeable enough for the settlers to be able to put up a housing facility typical of the housing structures found in the community and still have available land to practice subsistence farming. Furthermore, these social and infrastructural opportunities in Kotaa would have provided an improved standard of living and sustainable livelihood opportunities had the settler farmers remained at Kotaa under the resettlement arrangement. For instance, the reported constant harassment from forestry officials in their current occupancy on degraded portions of the Asubima forest reserve in Akumadan would be avoided.

Another potential livelihood opportunity noted in the area was the fact that, the settler farmers were still offered the opportunity to be part of Form Ghana intercropping arrangement in the Tain II plantation establishment. This potentially offered a continuous access to land for farming until projected canopy closure (approximately 2027). This form of arrangement would have similarly led to an enhanced livelihood relative to the current lack of land for farming at Akumadan which has led them to farm in the reserve illegally. Another significant agricultural livelihood opportunity for these settler farmers to take advantage of is the emerging cashew sharecropping arrangement in the area. Commenting on the cashew sharecropping opportunity, the chief of Kotaa reiterated that “the settlers were informed about the emerging cashew sharecropping arrangement in the area that will potentially offer them permanent access to land for farming and income from cashew to sustain their livelihoods however they chose to move

back to Akumadan” (Chief of Kotaa, 16-03-2020). Cashew sharecropping opportunity was however not reported as currently available to them in Akumadan.

Data gathered from Kotaa and Arkokrom during the survey also show the presence of migrant settlers of similar origins as the seven affected farmers. Data gathered from 35 randomly selected farmers in the two communities show about 54% percent were migrants from the northern part of Ghana (Figure 1). Since the reported social groups of the settlers were mainly ethnic based associations, this would have provided an important opportunity for the settlers with regards to an enhanced social capital in the Kotaa and surrounding communities.

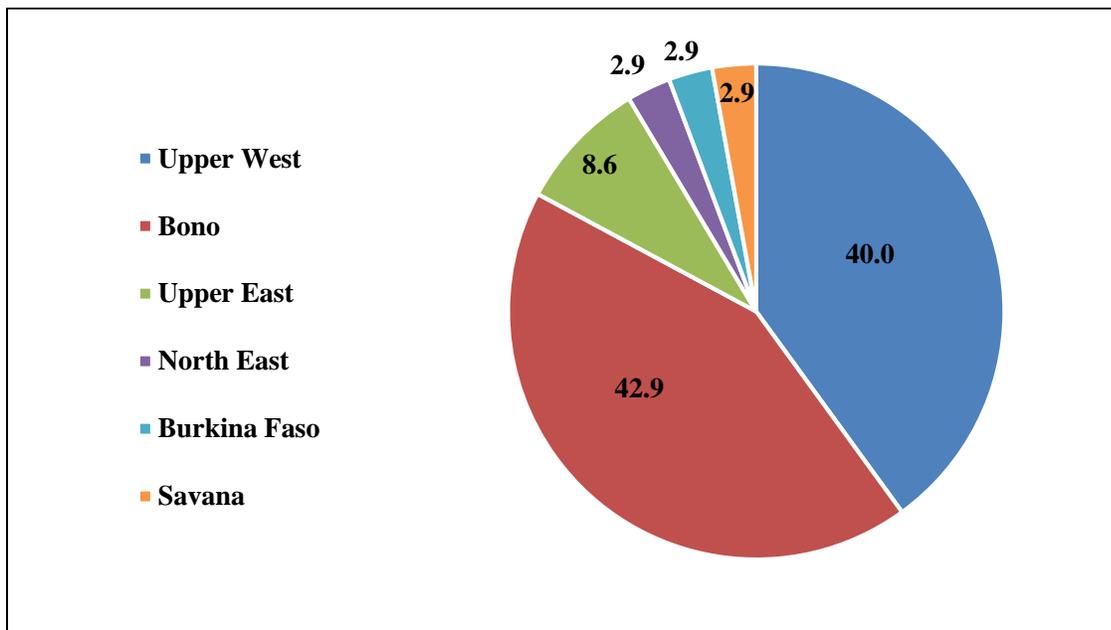


Figure 1 Percentage of respondents and the places of origin

The predominant occupation reported by these settlers is farming with maize as the dominant intercrop cultivated in agroforestry systems (mostly under cashew, teak and cocoa before canopy closure (Figure 2). Cashew cultivation was reported by about 49% of respondents while maize was reported by 34%. This confirms the cashew livelihood opportunity reiterated by the chief of Kotaa during the FGD as a potential agriculture venture for the settlers if they had stayed in Kotaa.

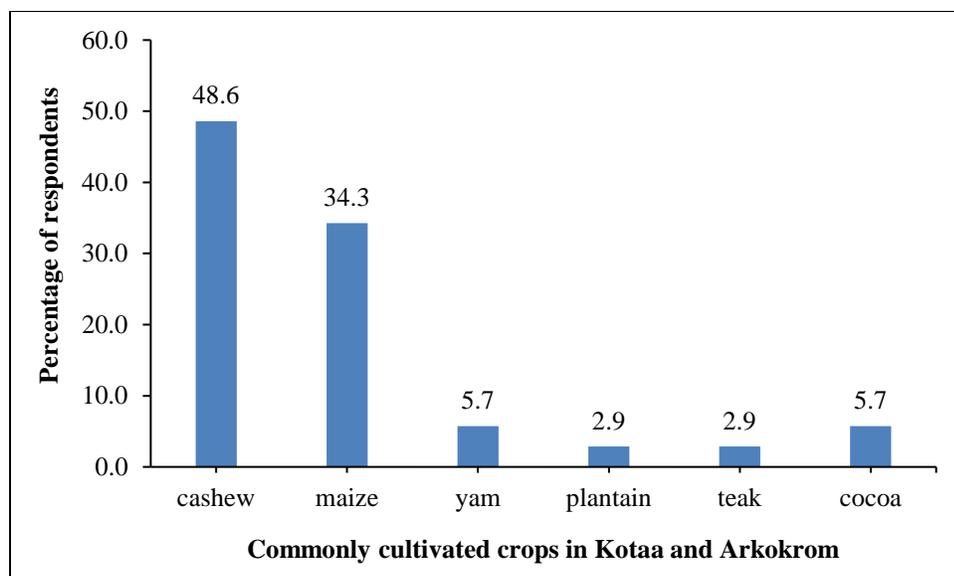


Figure 2 Commonly cultivated crops reported by respondents in Kotaa and Arkokrom

With regards to maize cultivation and the yield obtained from the new intensification system introduced by Form Ghana, twenty (25) out of the 35 farmers interviewed knew about the new intensification maize cropping system and were practicing it. With the 25 farmers, 28% reported greater than 6 to 8 bags per acre while 20% reported yield of 2 to 4 bags per acre. About 52% also reported maize yield of greater than 4 to 6 bags per acre (Figure 3).

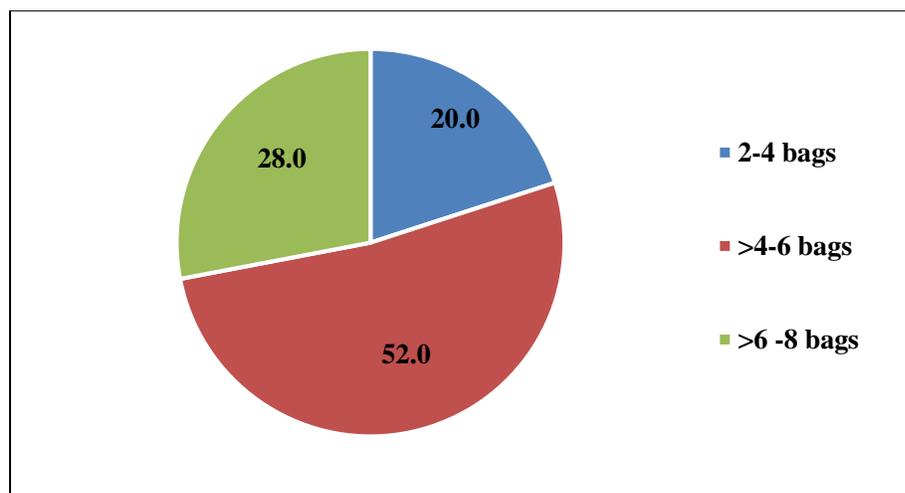


Figure 3 Percentage respondents and maize yield in bag/acre per growing season using intensification cropping system introduced by Form Ghana

Comparing these maize yields obtained by farmers in the area of Kotaa and Arkokrom with that of the settler farmers in Akumadan, it is noticeable the per acre yield of maize obtained by

farmers in Kotaa, the host community and its surrounding community is higher. It is evidently clear that Kotaa, as far as maize which is the major crop cultivated by the settler farmers is concerned, the host community would have presented a good livelihood opportunity for an enhanced financial capital for the settler farmers.

From the FGD with the settler farmers at Akumadan, it was revealed that they lack access to basic social amenities including quality drinking water, toilet facilities and electricity. However, from Figure 4, respondents reported access to social amenities in Kotaa and Arkokrom. This further indicates that the settler farmers should they have obliged to the resettlement agreement would have had an improved livelihoods in terms of physical assets (social amenities) though shared facilities at the community level. Figure 5 also shows annual income levels from farming reported by respondents at Kotaa and Arkokrom. This further provides an overview of likely income from mainly farming activities that the settler farmers could potentially obtained if they had remained at Kotaa.

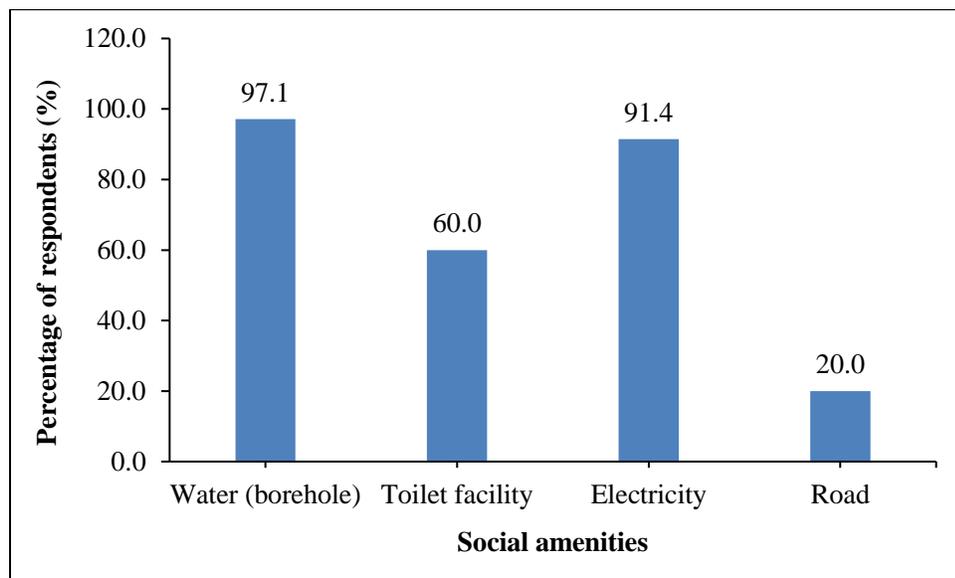


Figure 4 Percentage of respondents and their access to different social amenities in Kotaa and Arkokrom

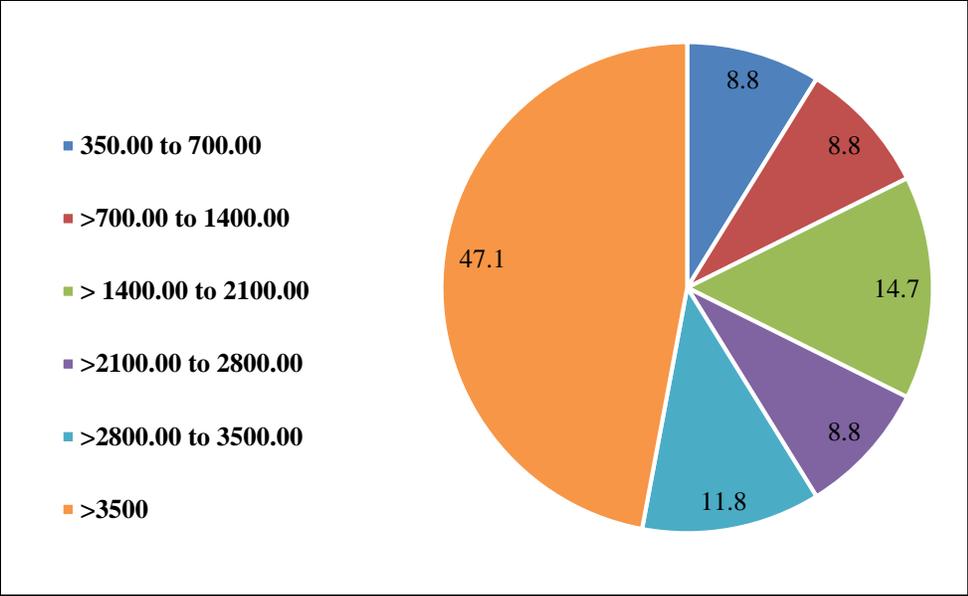


Figure 5 Percentage of respondents and annual income levels in Ghana Cedis (GHS) from livelihood activities

3.2.3 Livelihood challenges and remedial measures at Kotaa

It is important for the affected farmers/resettlers from Akumadan to have an idea of the livelihood challenges and the ways households at Kotaa and the surrounding communities cope with them. It is also important information for the Form Ghana internal monitoring on the impact of the project implementation on these communities. Figure 6 provides information on the livelihood challenges households in Kotaa and Arkokrom went through in the previous year (2019). Typical of poor rural communities in Ghana, illness, death of household member and funerals are the major challenges households encountered in the previous year. The reported theft in the Kotaa community was mainly the stealing of cashew beans on farm. The report on the poor/low yield of agricultural crops came mainly from the wrong time of planting. Farmers who reported this indicated i) a late receipt of plot of farmlands from land owners and ii) effect of excess rain on maize stored in the open on farmland due to inability to convey them to safe place at the time of harvest. Farmers, who reported this reason in Arkokrom, mentioned a yearly flooding of a river body on the way to their farms in the Form Ghana plantation site particularly at the time of harvest. This flooding makes it difficult for vehicles (tricycles) to get to the farms to help convey the food crops (maize) even at a fee. To address this challenge, Form Ghana has made provision for farmers to put up individual farmhouses on-site (Wanders 2020). These could be used to store the harvested crops (maize) against the bad weather conditions.

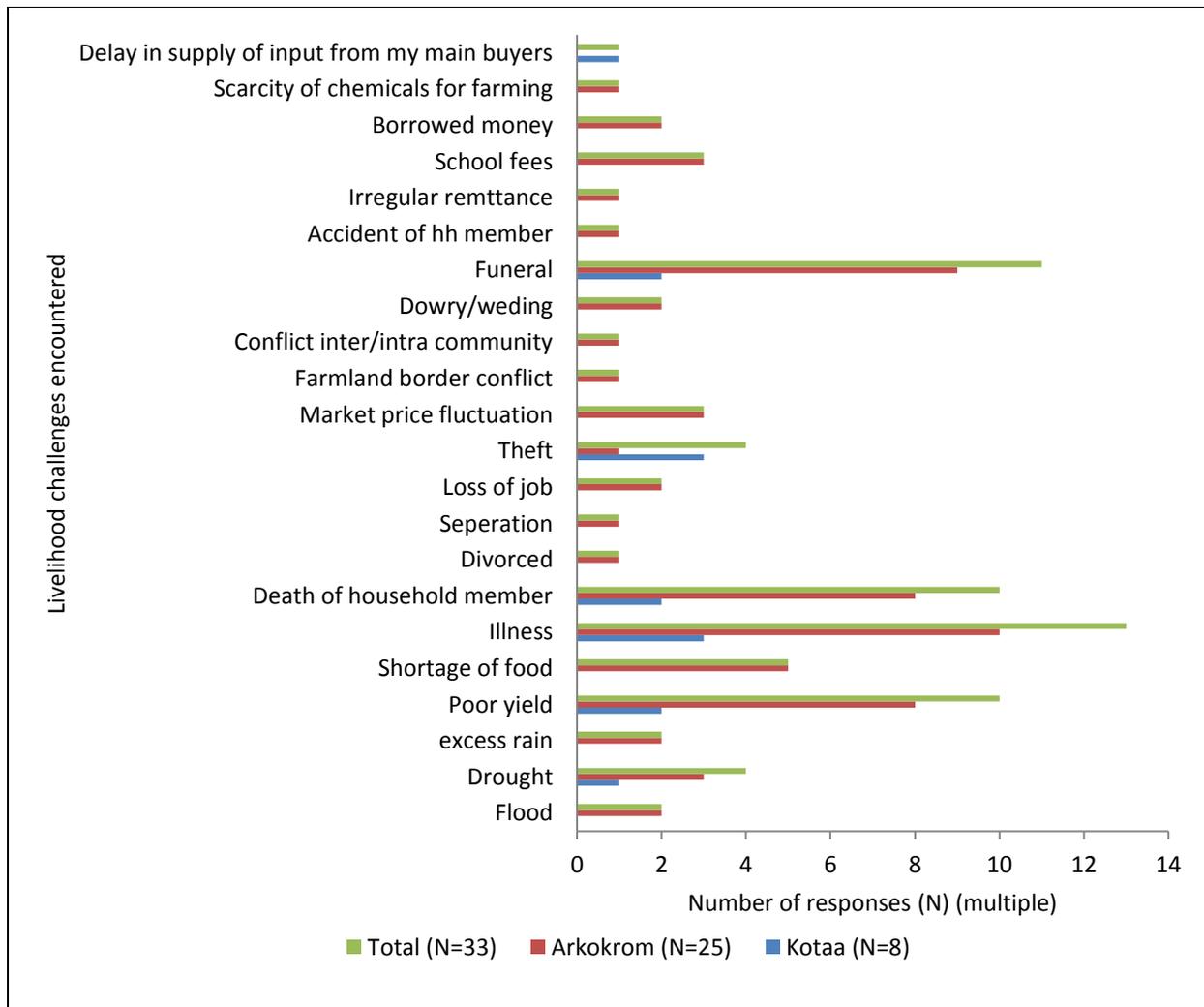


Figure 6: Livelihood challenges encountered the previous year (2019) in Arkokrom and Kotaa

Measures households employed to address the livelihood challenges encountered the previous year are varied (Figure 7). However, the main measure is the sale of agricultural crops (Maize) at low price. This measure is reported in both communities. The next most frequently mentioned measure is loan from money lenders and relatives. Respondents in Kotaa community have opportunity to get loans from their relatives which is not the case in Arkokrom. Respondents in Arkokrom have to rely on money lenders at commercial interest rates and unfavorable terms and conditions for such loans.

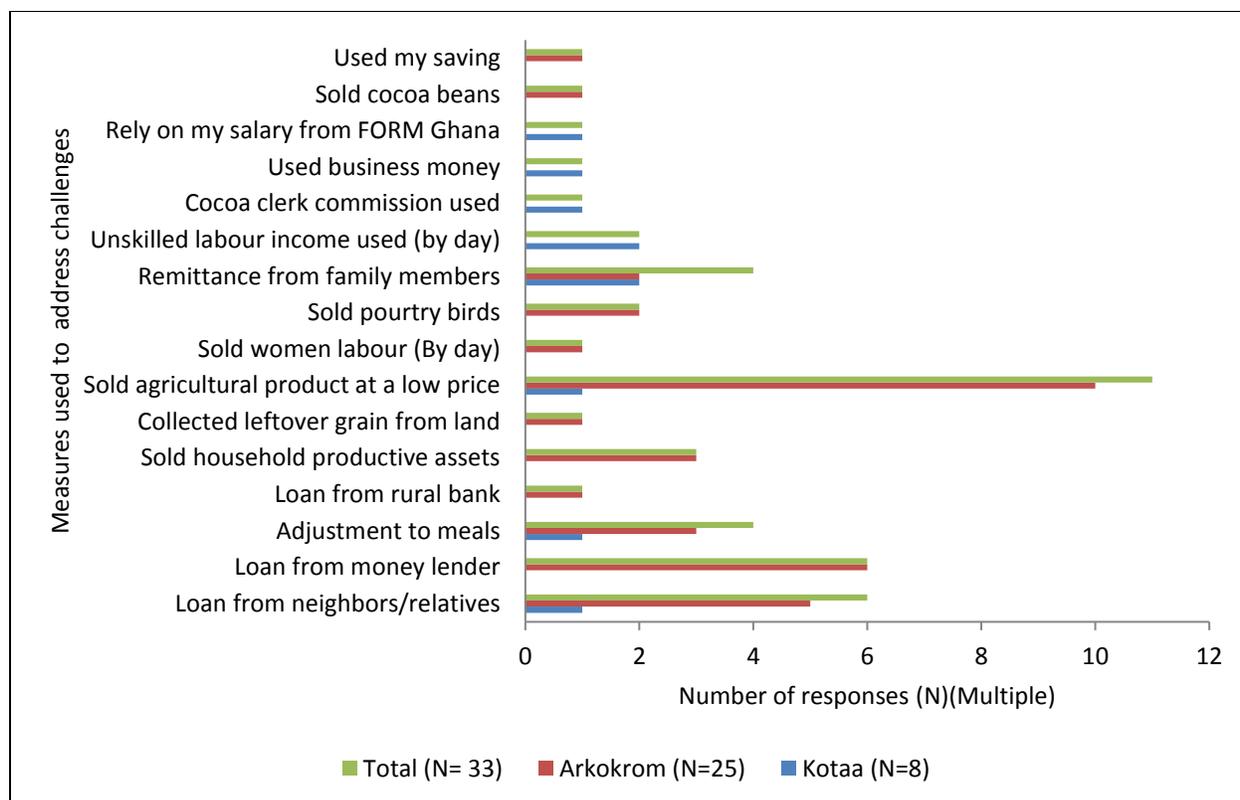


Figure 7: Measures employed to address/cope with livelihood challenges encountered the previous year (2019)

3.3 Status and compliance of actual implementation of Resettlement Action Plan

Form Ghana has been undertaking compensation and resettlement package activities since 2015. These activities were carried out within the framework of an elaboration of a Socio-Economic Impact Mitigation Action Plan (SEIMAP) to ensure no project affected people would suffer negative effects of project implementation. A **Resettlement Action Plan** (RAP) has been developed by Form Ghana to address the needs of people who were farming on the land in the Reserves, but are no longer able to do so due to forest growth and plantation expansion. Central to the plan is the possibility for farmers in the Asubima and Afrensu Brohuma area to move to the Tain II area to continue farming activities there. The RAP as a document was formally adopted in 2015. This section highlights the status of the implementation of the RAP. Table 5 provides the status and compliance of each of the RAP component.

Table 5: Status and compliance of each Resettlement Action Plan component

RAP Commitment	Status (Y/P/N)	Comments	Remarks/Recommendations
<p><i>Plot of land for settler farmers:</i></p> <ul style="list-style-type: none"> • A plot of land will be assigned to each family, • Traditional ownership will be transferred to them. • The PAP will be allowed to construct a house on the selected area. 	Y	<p><u><i>The plots of land for house building were officially signed over to the settlers in October 2018</i></u></p> <ul style="list-style-type: none"> • Release and transfer of plots of land within the host community for settlers to put up permanent housing units has been completed; • Transfer of traditional land use agreement on the plot from the chief of the host community to settler farmers has been completed. 	Not all 27 affected farmers completed the RAP. This leaves enough available land for the 7 farmers who agreed to the settlement arrangement
<p><i>Temporary housing while they build a new home</i></p> <ul style="list-style-type: none"> • A guest house would be built to assist the settlers during the time needed to build permanent houses in Kotaa 	Y	<p><u><i>The temporary house was officially opened in May 2018 and settlers from Akumadan were officially welcomed and received in the Kotaa community on the 26th of October 2018.</i></u></p> <ul style="list-style-type: none"> • A 4-bedroom house to serve as a temporary accommodation for settlers while they put up their own structures has been completed. • connection to road network and access to host community facilities to encourage integration established • building remains the property of Form Ghana 	Since the temporary accommodation had only 4-bedrooms with no kitchen or cooking area attached, it provided a disincentive for the seven settlers to move their entire households to Kotaa. The affected farmers also noted they would have to do their livestock (animals) rearing in an enclosed environment in this new site compared to the opened environment rearing of livestock in the old place around their farmhouses
<p><i>Transport of goods from Akumadan to Kotaa</i></p>	Y	<p><u><i>Movement of goods of settlers took place in February 2019.</i></u> Provision of transportation and movement of the settlers' belongings from Akumadan to Kotaa by Form Ghana was accomplished</p>	Only the heads of the families moved part of their belongings to Kotaa. Their wives and children were left behind at Akumadan. These farmers indicated that they wanted to be settled first at Kotaa before moving their entire families
<p><i>Land for intercropping in Tain II reserve</i></p> <ul style="list-style-type: none"> • Access to land for intercropping in Tain II forest reserve for both settlers and farmer households at Kotaa • Farmers can choose a parcel of the size that they require and take 100% of crop revenues and no payments to the company are required. 	Y	<p><u><i>Form Ghana will assure intercropping possibilities for all intercroppers until at least 2027.</i></u></p> <ul style="list-style-type: none"> • All farmers have been or will be offered the opportunity to sign an intercropping agreement with Form Ghana to farm legally within the Tain II reserve until tree plantations reach canopy closure. • After canopy closure, farmers can choose to move 	Full establishment of the area in Tain II forest reserve is expected to take at least until 2027. This provides new intercropping opportunities for farmers for a period of about 2 years.

		<p>their farm to a place where the canopy is still open, so they can continue their farming practices.</p> <ul style="list-style-type: none"> • This opportunity is currently ongoing for interested farmers including the settlers, 	
<p><i>Access to borehole water and ablution facilities in Kotaa</i></p>	Y	<p><u><i>Borehole and ablution facilities officially handed to the Kotaa community on 17th of May 2018.</i></u></p> <ul style="list-style-type: none"> • Construction of a borehole in Kotaa has been completed to allow both the settlers and the existing Kotaa community to have access to clean water. • An 8-seater KVIP toilet block has been completed and handed over to the community. 	<p>These facilities were purposely sited within the community to promote of community integration and social cohesion among the settler farmers and the residents of Kotaa</p>
<p><i>People occupying the earmarked resettlement site</i></p> <ul style="list-style-type: none"> • Compensation payment for Kotaa farmers who were farming on land • Displaced persons should be compensated for their losses at “full replacement” cost prior to their actual move or before taking of land and related assets or commencement of project activities 	Y	<p><u><i>All compensation payments have been completed.</i></u></p> <ul style="list-style-type: none"> • Farmers that were farming the plot earmarked for resettling Akumadan farmers have been compensated financially and with cashew seedlings. 	<p>These farmers reported receipt of the compensation amount and time of payment. The farmers mentioned cash and in-kind (cashew seedlings) payment as compensation received</p>

Y: The commitment has been fully met;

P: The commitment is either still in progress, or has been partially met; and

N: This commitment has not been met. This is non-compliance.

3.4 Progress and full implementation of AfDB's recommendations on Resettlement

Progress and implementation of the AfDB's recommendations on the resettlement of the affected farmers from Akumadan is indicated in Table 6. Form Ghana made the effort to relocate the project affected farmers from Akumadan to Kotaa in the Berekum East district. A number of facilities have been put up in Kotaa to ensure their integration into the Kotaa community. The initial plan for the resettlement at Kotaa was to resettle two (2) affected households at a time. However, the affected persons preferred to move together. So on October 26, 2018, the heads of the affected seven households were moved, leaving their spouses and children behind at Akumadan. These family heads stayed in the new site at Kotaa for less than two weeks and returned to do their farming for the 2019 farming season at Akumadan.

Table 6: Progress and implementation of AfDB’s recommendations on involuntary resettlement

RAP Commitment regarding AfDB mitigation requirements	Status (Y/P/N)	Comments	Remarks/Recommendations
Set up a mechanism for monitoring the performance of involuntary resettlement programs	Y	Form Ghana had a bi-annual monitoring mechanism for the first two years. Key stakeholders of interest under the monitoring mechanism were: <ul style="list-style-type: none"> • Intercroppers • Settlers • Cattle headers • Former occupants of the land used for settlers 	
<p><i>Develop a resettlement plan where physical displacement and loss of other economic assets are unavoidable.</i></p> <ul style="list-style-type: none"> • The plan should ensure that displaced persons are provided with assistance prior to, during and following their physical relocation. 	Y	Form Ghana complied by developing a Socio-Economic Impact Mitigation Action Plan (SEIMAP) to ensure no project affected people would suffer negative effects of project implementation.	A resettlement action plan (RAP) was developed and executed fully.
<ul style="list-style-type: none"> • Settlers and host communities should be meaningfully consulted early in the planning process and encouraged to participate in the planning and implementation of the resettlement program 	Y	Throughout the implementation of the RAP, several meetings and consultations were held with the project affected people.	The FGD with all the stakeholders revealed all interest groups were duly consulted and involved in the planning and implementation stages of the RAP process. All stakeholders including farmers reported satisfaction with their level of engagement and consultation with the RAP process
Resettlers should be integrated socially and economically into host communities so that adverse impacts on host communities are minimized	P	<p><u>Ensuring social and economic integration</u></p> <ul style="list-style-type: none"> • The proximity of the plot of land within Kotaa for the resettlers to build permanent housing structures and the purposeful siting of ablution and toilet facilities within the community were all considered to promote settler-community integration and social cohesion. • The opportunity for all farmers to sign an intercropping agreement with Form Ghana to farm legally within the Tain II forest reserve offers an economic opportunity for both settlers and residents 	<p>Residents revealed during the focus group discussion that the intercropping arrangement had created a lot of employment opportunity for residents especially the youth thereby reducing petty theft cases and other social vices.</p> <p>Settlers have since March 2019 returned to Akumadan and intends to remain there. They currently farm outside Form Ghana’s allocation but</p>

		of the host community	still within the reserve
Any payment due to the hosts for land or other assets provided to resettlers should be promptly rendered	Y	Payments due to host community and economically displaced individuals were done as scheduled and contingent to the release of funding for the project	From consultations with Form Ghana, it was established that the long wait between the initial studies and the subsequent funding of the work led many people to lose faith and move away.
Conflicts between hosts and resettlers may develop as increased demands are placed on land, water, forests, services, etc., or if the resettlers are provided services and housing superior to that of the hosts...and adequate resources must be reflected in the budget for the mitigation of these additional environmental and social impacts	Y	Under the RAP, additional social amenities were provided to the host community (e.g. borehole, KVIP) to ease pressure on existing community facilities The RAP financial burden has been estimated and the budget for it made and included Form Ghana's over-all budget for implementation (FG, 2018)	No conflicts and dissatisfaction were reported by the settlers or the host community during the FGD with regards to housing structure, access to land and social integration

Y: The commitment has been fully met;

P: The commitment is either still in progress, or has been partially met; and

N: This commitment has not been met. This is non-compliance.

3.5 Assessing Compensation payments and delivery of entitlements

Under the Bank's Involuntary Resettlement Policy (IRP), 'only displaced population having formal legal rights to land or assets and those who can prove entitlement under the country's customary laws are considered and will be fully compensated for loss of land or other assets' (AfDB, 2003, p. ii). For a third category of displaced persons without any recognizable legal right or claim to the land they occupy in the project area, the Bank's IRP specifies resettlement assistance in place of compensation for land. Following from this, the affected farmers in Akumadan do not qualify for compensation, but rather resettlement assistance, which FG has duly provided for.

Based on the Bank's IRP requirement, individuals in Kotaa community whose lands were taken by Form Ghana have been assessed on the replacement cost basis. These displaced/affected farmers were 6 and the Queen mother (Female traditional leader). These individuals were indigenes with the exception of one who is a native from another town (Techiman); meaning the lands they occupied before the takeover are legal ones. This implied an assessment has to be done by Form Ghana in order to compensate these individuals before the takeover of the lands. The value of the compensation was to be equal to the value of the activities on these lands that the individuals undertake before the takeover (i.e. replacement cost basis).

To ensure a fair estimate of the compensation, Form Ghana consulted the Berekum East District MOFA where Kotaa community and the affected farms are located to undertake the valuation. A team of extension services, traditional leaders and the affected farmers under the direction of the acting director of the district conducted the valuation on the earmarked farmlands. The affected individuals' farms (Cashew and cocoa) were visited by the constituted team. In the process, the individual farmers led the extension officers to trace the farm boundaries with a Global Positioning System (GPS) and the area of the farms (in ha) determined. Together the farmer and the extension officer counted the individual trees on the farms. An average of 8kg of cashew and cocoa beans per tree for the yield and the prevailing prices per kilo of these beans were used to compute the total value per tree. The tree value was then multiplied by the total number of trees on each affected farm to get the total value. The measurements of the farm size, tree count and value were done on per hectare basis and extrapolated to get the total value of the farms. The Berekum MOFA staff did this estimation together with the farmers whose lands were affected and the report given to the Form Ghana to effect the compensation to the affected individuals in the Kotaa community (Personal communication, Acting District Director, MOFA, 25-03-2020). On the question of if he followed up to the affected farmers in Kotaa to see if they actually received the compensation per his calculation, the acting MOFA Director indicate 'My field officers [agricultural extension officers] would have informed me if the affected farmers were unhappy with the compensation payment...if the compensation were not received at all the chief in the area would have informed me because I am very free with him' (MOFA acting Director, Berekum, 25-03-2020)

On the opinion of RAP and compensation from the district forest manager (DFM) in Sunyani, (One of FG stakeholders), in the first instance, there is no issue about compensation to such farmers who occupy degraded state forest reserves unlawfully. This reaffirms Ghana's laws on occupation of state forest reserves and the AfDB policy requirement where such farmers are entitled to resettlement assistance (AfDB, 2003). According to the DFM, these affected farmers

in Akumadan should have been driven out in the portion of state land given to Form Ghana for the plantation establishment. The respective district forest manager in the area should have been informed to help drive these people out before the FG plantation establishment. If such farmers claimed rights to the portion of lands they occupy in the degraded forest reserves, the respective district forest manager would have been able to account for this claim-whether they are admitted farmers, Modified taungya farmers, the FSD manager would have the digital plots of their farmlands in his office. According to the DFM, when such farm lands are detected in the degraded forest reserves earmarked for restoration, they are demarcated and taken out of the private plantation developer's allocation before the start of work. Further, the manager indicated the RAP is a good idea once the company [Form Ghana] has decided to resettle or relocate these farmers in a different area. To him, if such relocation is successful it will be a good lesson for the forestry officials to emulate because in managing such encroachers in these degraded forest reserve by forest managers it has been challenging. Their crops are cut down and their farmhouses destroyed, but because they are mostly migrant farmers, they only relocate to different places (including different degraded forest reserves) when they cannot contain the attack mounted against them (Person. comm. Forest District Manager, Sunyani, 25-03-2020)

3.6 Perception of entitlement delivery to Project affected people (PAP)

The opinions of project affected people (PAP) and other relevant stakeholders were sought on delivery of entitlements to them. Specifically, the opinions of settlers from Akumadan and the farmers that were occupying the resettlement land at Kotaa were sought on compensation payment, resettlement housing and livelihood-restoration measures provided by Form Ghana. All the settlers from Akumadan confirmed the specific amenities that were contained in the resettlement package provided for them at Kotaa. They recounted the content of the physical infrastructure included in the resettlement package as i) a temporary house, ii) land for building their individual housing units, iii) access to land for farming, iv) boreholes for water supply, and v) ablution facilities. It was confirmed that two mechanized boreholes and a toilet facility have been provided in the community not far from the temporary accommodation on the resettlement site in order to promote the settlers integration into the Kotaa community.

In their opinion, the settler farmers reported the resettlement package was generally good for them. This is because their current situation at Akumadan had worsened over time resulting from the lack of access to farmlands at Form Ghana plantation site due to canopy closure, harassment from the forestry officials who destroy their farm produce because they illegally occupy forest reserve land, and decline in yield due to low fertility of current farmlands. The settlers acknowledged that at Kotaa they have been offered access to land offered for farming, employment opportunity from FORM Ghana, and an opportunity to farm on the new Form Ghana plantation site. The settlers from Akumadan were asked to state their opinions on the degree of satisfaction of entitlement delivery on a 3-point Likert scale (1= not at all satisfied; 2= satisfied; 3= highly satisfied). The mean for the level of satisfaction on a 3-point Likert scale was 2.28 indicating that the settlers from Akumadan were satisfied with the resettlement package and entitlement delivery.

Concerning compensation payment, it was noted that economically displaced farmers, i.e. farmers who were originally farming at the resettlement site at Kotaa needed to be compensated. During an interaction with these farmers, it was confirmed that the chief of Kotaa assisted them

to negotiate with Form Ghana on how their crops and the land should be compensated. The economically displaced farmers confirmed receiving financial payments as compensation from Form Ghana. In addition, each of these farmers received cashew seedlings to start cashew farming at their new farms. All the affected farmers attested to willingly giving out their land to resettle the settlers from Akumadan.

As mentioned earlier, Form Ghana provided temporary housing to assist the settlers during the time needed to build their own houses at Kotaa and each settler was allocated a plot of land for their house project. While the settlers expressed appreciation for the temporary housing arrangements, they also mentioned a number of challenges that confronted them at Kotaa. Commenting on the temporary accommodation, one of the settlers noted that they would have preferred having a kitchen or cooking area attached to the building. The settlers were also concerned that the period of three months to one year stay at the temporary accommodation that was granted to them was not long enough to allow them finish building their own housing units. In addition, the settlers indicated that, although not included in the resettlement package, to be able to put up their permanent housing units they needed assistance/support in terms of roofing materials (sheets and wood/lumber), and bags of cement. With the provision of these materials the settlers indicated that they would each mobilize the remaining resources to raise the expected housing units.

Other concerns or opinions were raised by the settlers on the resettlement package. First, the settlers mentioned lack of training and capacity building in livelihood activities. The settlers from Akumadan acknowledged that training in livelihood activities was not part of the resettlement package but it would have been appropriate for their wives and other vulnerable groups. A female farmer in the FGD noted that assistance to the women (wives of settlers) in the form of support for petty trading, or training for soap making, etc. would have been helpful to get them establish at Kotaa. Second, the settlers indicated that they lacked an initial provision or resources to enable them survive on before the first harvesting season at Kotaa.

Concerning livelihood restoration measures, Form Ghana was expected to develop livelihood support packages to meet the needs of each category of PAPs. This is in line with the AfDB standards on resettlement that requires the borrower or client to offer land-to-land compensation and/or compensation in-kind in lieu of cash compensation where feasible (AfDB 2003). The farmers at Kotaa confirmed that Form Ghana has offered them the opportunity to carry out intercropping within Form Ghana plantation site in the forest reserve until tree plantations canopy closure. In the farmers' opinion, this opportunity allows them to gain free and legal access to land for farming where they take 100% of crop revenues. The farmers further indicated that Form Ghana assists them with marketing of their farm produce, particularly maize. In addition, Form Ghana offers job opportunities to members of fringing communities.

The female-headed households that have settled on Form Ghana land have been identified as one of the vulnerable groups. Hence, they have been earmarked to receive assistance with the construction of their houses in the host community, if they are unable to construct these themselves. This way they can have equal benefits from the resettlement program. Disabled headed households are considered individually, because situations are too different to generalize

the needs of these households. Form Ghana will assess if assistance is necessary and find a suitable approach for each household (FG 2018).

3.7 Grievance redress mechanism

The fact that economic activities and livelihoods of individual farmers have been affected and would have to adjust to the living conditions of a new community has the potential to generate some form of discontent among the resettled farmers. Such discontent can stir disaffection and resistance to the resettlement plan and the notion to feel unfairly treated in the resettlement arrangement. This perception could potentially lead to complaints about individuals' expectations not being met as had been anticipated and that can result in conflicts and grievances. Form Ghana has a procedure to deal with grievances and conflicts as stipulated in protocol 7 "grievance and redress mechanism" that applies to complaints and grievances that may arise between Form Ghana's settler population and their host community. The grievance and redress protocol is operationalised in four steps: (1) Administering grievances and complaints (2) Written response (3) Mediation by a complaints and grievances committee, and (4) Appeal in court. However, any complaints will first be discussed between the settlers and the host community.

In Kotaa (the host community), it was noted that the chief, together with Form Ghana, had set up an informal/ad hoc committee to ensure smooth integration of the seven farmers into the community and to address any complaints and grievances these farmers may have. The main function of the committee was to offer an opportunity for the resettled farmers to air their complaints arising from the resettlement arrangement and to fast-track addressing their issues. Thus the committee was to receive complaints from the farmers, and would try to address them to the satisfaction of the farmers or would bring it to the attention of the chief who would either address them or present the issues to Form Ghana for redress. During consultations and interactions with the chief and project affected farmers at Kotaa, it was reported that there has been no dissatisfaction among the affected farmers at Kotaa due to Form Ghana's project activities in the area. Hence, there were no records of complaints or grievances from the Kotaa community. It was also noted that the resettled farmers were aware that if and when they had any complaints or grievance, they could approach the committee members who were mostly with them during their short stay at Kotaa. In addition, Form Ghana set up an external grievance redress mechanism to enable members of fringe communities and other stakeholders to channel their complaints or concerns to Form Ghana. This was to enhance effective way of resolving concerns from the fringing communities and other stakeholders. Form Ghana further indicated to PAPs and other community members that concerns and/or grievances could also be channeled through other Form Ghana staff such as supervisors, foremen and other management members. Several other stakeholder meetings were also organized between the settler farmers and Form Ghana. Thus, the lines of communication were always kept open between the settlers, host (and fringing) community, and Form Ghana.

During discussions with the seven farmers, they reported that the resettlement package was generally good for them and would be willing to be resettled at Kotaa. However, they expressed some concerns and challenges that caused them to return to Akumadan and are preventing them from being resettled at Kotaa. The main challenges, as expressed by the farmers are first, the long distance from their resettlement housing units in Kotaa community to the land made

available in FORM Ghana's plantation site for farming. The farmers mentioned that they made a plea for motor bikes from Form Ghana to assist them to cover the long distance. It was however, noted that the (native) farmers at Kotaa commutes the same distance on a daily basis, mostly on bicycles. Second, the difficulty associated with new maize planting technology introduced to them for farming at the Form Ghana plantation site. The farmers acknowledged that the new technology would likely results in increased yield, but complained that the new technology requires planting in rows at shorter distances, is labour intensive and is new to the farmers and hired labourers mostly refuse to adopt it. It was however, noted that this challenge was not officially brought to the attention of Form Ghana. Consequently, there are no records of grievances and how these have been managed.

3.8 Internal monitoring and reporting procedures

Form Ghana (FG), has developed its socio-economic impact mitigation action plan (SEIMAP). This plan examines how the physical, social and health environments are likely to be impacted by its reforestation project. This plan document represents the Resettlement Action Plan (RAP). It has been prepared in line with the Integrated Safeguard System of the African Development Bank (FG 2018)

The first version of the SEIMAP was produced in 2015 with the purpose of ensuring that no project affected people suffer from negative effects of the reforestation project implementation. Over the years, monitoring activities for the project has been carried out and reported. The social and environmental impact monitoring (SEIM) for 2019 for Form Ghana (FG) is available for the social monitoring for the Asubima, Afrensu Brohuma forest reserves site and the Tain II forest reserve site (Wanders 2019, 2020). The social monitoring provides a description of the surrounding communities to the Form Ghana plantation sites. The description/report cover indicators including community's access to i) electricity, ii) drinking water, iii) church/mosque; iv) water sources, v) hospitals; vi) primary and secondary schools; vii) market; viii) dirt and paved roads for both sites. The impact of the project on the community is also monitored and reported. This monitoring report covers i) positive and the negative impact (concerns of affected communities). These concerns cover mainly the needs and requests the surrounding communities require from Form Ghana to improve on their living conditions. The needs and requests of some of these communities in Akumadan site in 2019 include i) assistance with grading of roads linking community and plantation site, ii) assistance with construction of speed ramps through community etc. In the Tain II plantation site, some of these requests for 2019 include i) plead for more harvesting huts for maize crops; ii) construction of more harvesting huts on field as facilities for maize storage; ii) constructed maize harvesting huts should be relocated closer to the farm (Maize field); iii) assistance with borehole for community; iv) reduce dust produced by Form Ghana's moving trucks through the community. The communication of Form Ghana with these communities is also reported as one indicator of the social monitoring. This indicator covers i) accessibility of Form Ghana to the separate communities and ii) information transfer that individual communities receive from the Form Ghana.

Further, occupational and health safety involving workers engaged in the Form Ghana project is also reported. In this section of the report, a brief on the project's social responsibility to surrounding communities is reported. On 01-02-2018 in Akumadan, update on project affected people (PAPs) on resettlement progress in Kotaa was held. On 26-10-2018, in Kotaa, a

community meeting was held to officially hand over a transit quarters to 7 households Project affected people from Akumadan. A function was held at Kotaa palace for the resettlement of the project affected people (PAP). Those who attended included elders, chief, Queen mother and community members of Kotaa (Wanders 2019). This monitoring report is produced to comply with the requirements of reporting of the African Development Bank. These monitoring indicators in the area of social monitoring have been an improvement on the first indicators developed in 2010 (Wanders 2011). The 2010 social monitoring indicators included i) number of people (partially) depending on Form Ghana plantation for their livelihood (employees, inter croppers and out growers), ii) training and capacity building for employees, inter croppers and out growers, iii) information for the public and iv) worker health and accidents on the work floor.

Following from these, the monitoring indicators are gathered per the commitments of RAP that seek to ensure that project affected people do not suffer from negative effects of the implementation of the reforestation project of Form Ghana. To achieve this long term goal of the RAP, Form Ghana strive to ensure continuous, open dialogue with the host families, PAP, traditional council and local government as part of its monitoring of resettlement after implementation (FG 2018).

4.0 CONCLUSION AND RECOMMENDATIONS

4.1 Conclusions

The RAP compliance audit was carried out to i) assess the level of compliance of RAP implementation with the applicable requirements; ii) evaluate the effectiveness of the mitigation measures recommended and implemented; and iii) draw lessons for future projects. Based on the findings of this compliance audit, it can be concluded that the RAP commitments have largely been met by Form Ghana. The RAP was developed with the active involvement and participation of all relevant stakeholders. Efforts have been made to resettle project affected farmers from Akumadan to Kotaa. A number of facilities, as agreed upon in the RAP, have been provided at Kotaa community to ensure the successful integration in the Kotaa community. Livelihood-restoration measures have been implemented to ensure that the standards of living and livelihoods of project affected households would be restored or enhanced. During the audit, all project affected people confirmed the specific amenities that were contained in the resettlement package provided for them at Kotaa. In their opinion, the settler farmers also reported that the resettlement package was generally good for them.

Form Ghana has a procedure to deal with grievances as stipulated in protocol 7 “grievance and redress mechanism” that applies to complaints and grievances that may arise between Form Ghana’s settler population and their host community. In addition, the chief of Kotaa, the host community, together with Form Ghana had set up an informal/ad hoc committee to ensure smooth integration of the seven farmers into the host community. Other mechanisms and processes were put in place to address any complaints and grievances these settler farmers may have. However, there are no records of grievances that have been lodged and how these have been managed. Hence there is no evidence of any significant noncompliance or recurrent poor performance in the resettlement implementation or grievance management. Form Ghana has largely met all requirements including AfDB’s recommendations on involuntary resettlement.

Thus, the project affected people have received everything from Form Ghana as stipulated in the Resettlement Action Plan.

However, these settlers have all returned to Akumadan and have started farming activities at Akumadan as a result of some concerns and challenges of the settlers. The main challenges, as expressed by the farmers are long distance from their resettlement housing units in Kotaa community to the land made available in FORM Ghana's plantation site for farming; and the difficulty associated with new maize planting technology introduced to them for farming at the Form Ghana plantation site.

4.2 Lessons learnt and Recommendations

Even though the project affected people (PAP) have received everything from Form Ghana as stipulated in the Resettlement Action Plan, they expressed concerns and challenges that caused them to return to Akumadan. These concerns and challenges together with implementation of the RAP contain lessons for future projects. Firstly, supporting settler farmers to build their own houses will enable them to relocate and stay in the host community. The settlers indicated that, although not included in the resettlement package, to be able to put up their permanent housing units they needed enough time and assistance/support in terms of roofing materials (sheets and wood/lumber), and bags of cement. Given enough time and with the provision of these materials the settlers would be better placed to mobilize the remaining resources to put up their own houses. Secondly, skill capacity building/training for the vulnerable members (e.g. wives of settlers) is critical to enhance the livelihoods of settler farmers' households. Thus, assistance to the women (wives of settlers) in the form of support for petty trading, or training for soap making, etc. could have been helpful to get them established at Kotaa. Thirdly, the settlers indicated that they lacked an initial provisions/resources to enable them survive before the first harvesting season at Kotaa. Thus, an initial provision to assist with the daily living of settler farmers would enable them to stay at the host community. There is also a need for practical training through farm field demonstration on the introduced maize intensification planting technology for improved yield.

Movement of rural communities, particularly migrant farm households farming on degraded forest reserves to a different location is not straight forward. It cannot be done within a short period of time (e.g. within one farming season). Such farmers would require adequate information on the livelihood opportunities and challenges in the new site to compare with that of the old place before a decision is taken. The knowledge of such information cannot be gained within a short time visit or by education from a third party (officials) that do not live in the communities earmarked for the permanent stay; but stay in the new site by themselves (at least the family heads) and interacting with the residents and the environment there for at least one or two farming seasons. The important point to note is that these migrant farmers are not in these degraded forest areas for a permanent stay which they themselves are aware that it is not allowed. They do this to acquire livelihood assets to take care of themselves, children and dependents. They relocate to different places including going back home (home town and region) when such opportunities are not available. At their old age such farmers go back to their home towns to stay because they cannot do any effective farm work. By then they would have built livelihood assets including building of permanent homes at their home towns and educated their children to a level that would enable them to take care of themselves and offer support to them

too. So, it is important Form Ghana note that these migrant farmers ultimate goal in life is not the relocation to the new site, but anywhere that they can achieve these livelihood objectives.

To support and enable the affected farmers in Akumadan who would genuinely want to resettle in the new place at Kotaa, Form Ghana may try to meet their plea for initial provisions to support their livelihoods, housing materials, etc. After all the AfDB resettlement policy stipulates that such farmers are offered resettlement assistance and not compensation, but the quantum/level of this assistance is not specified except the number of 200 affected persons that is mentioned in the policy document. In this particular situation, the numbers of affected persons are only 7 and their household members. It is probably because of these unforeseen and genuine requests from such resettlers that the AfDB requires that adequate consultation and budgetary allocation are made.

Further education about the livelihood opportunities and challenges about the resettlement areas (Kotaa and the surrounding communities) may be required for these Akumadan affected Farmers to motivate them to move. This education may be done through introducing them (in the form of field visits) to surrounding communities (include Kotaa) of the Tain II project site at appropriate times. On these occasions, focal persons (Chief, tribal, church or identifiable group/association leaders) may be identified in these communities to assist them. In doing this, Form Ghana should not try to move these farmers at all cost and within the shortest possible time period. It is possible that some may genuinely want to move if the additional support is given and some may not even want to move with this additional support, though they have signed on to the program.

5.0 REFERENCES

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APPENDIXES

Appendix 1: Semi-structured Questionnaire

Introduction

Understanding the living conditions of local community’s members is the starting point to providing the relevant interventions that will improve their living condition and ease the pressure on the environment and also make them committed to the management of the environment.

Name of respondent:.....Phone contact.....

Demographic features

- 1. Region of your home town (origin)
- 2. Ethnic background
- 3. Residence status a. indigene (native), b. Settler (Permanent) c. Migrant (Temporary)
- 4. If settler, for how long (years) have you lived in this community.....
- 5. Position in the family
- 6. Gender: a. Male () b. Female ()
- 7. Age:
- 8. Educational level: a. Formal () b. Informal () c. No formal education ()
- 9. If formal, mention highest level attained a. Primary () b. Junior High School ()
c. Senior High School () d. Middle School () e. Tertiary ()
- 10. What is the size of your household?
- 11. Main occupation.....
- 12. Secondary occupation a) farm laborer, b) petty trading c) others (specify)....

Farm characteristics

- 13. Mention the number of farmlands that you have
- 14. How many years have you been cultivating these lands (average)
- 15. How did you acquire your farmlands a. family owned b) purchased, c) inherited, d) rented/hired, e. shared cropped, f. free (explain), g. other sources (specify).....
- 16. Indicate the crops you cultivate on these farmlands

Farm Unit	Main crop	Other crops	Size (Acres)
1			
2			
3			
4			

17. Total income of household (respondent) (previous year 2019)

Total cash income	Qty(unit of measure)	Unit price	Total income
Crop income(sale)			
a) Maize			
b) Cassava			
c) Plantain			
d) Beans			
e) Groundnuts			
f) Garden eggs			
g) pepper			
Livestock income			
a. goat			
b. sheep			
c. Chicken			
f.			
Unskilled labour income			
Skilled labour income (teaching)			
Crafts and small-Scale enterprise			
Remittances (money from relatives/friends)			
Miscellaneous income			
Total net gifts/transfers			
Gifts and transfers received			
Gifts and transfers given out			
Total own produced goods			
Consumption of owned produced goods			
Input used for own goods production			
Total income			

Livelihood assessment

Access to facilities in community that enhance livelihood

18 Mention facilities in the community that you have access to a) water, b) toilet, c) clinic, d) electricity, e) good road f) bank/savings and loans g. others (specify)

19 Mention the sources of your water a) river, b) borehole (manual), c) borehole mechanized, d) spring, e) poly tank. e) hand-dug well f) others (specify)...

20 Type of latrine used a) free range, b) pit latrine, c)KVIP, e) Water closet type of toilette

19 Access to electricity a) yes, b) no

21 Type of housing facility a) mud, b) brick, c) cement block, d) wood, e) bamboo f) mud with cement plaster

22 Type of roof for the housing facility a) zinc, b) bamboo, c) thatch

23 Nature of floor of the house a) cement, b) mud, c) tiles

Indicators for assessing situation before and after (Form Intervention on livelihood)

24 list the assets you have now that support you and household living condition

Physical Assets ^a	Natural Assets ^b	Financial ^c	Social Capital ^d	Human Capital ^e

^aPhysical assets (percentage of the total household respondents in the survey indicating that they have basic household assets i) farm implements (a hoe and cutlass, b. Weed spraying machine), ii) jewellery, iii) means of transport (a. bicycle, b. Motor), iv) cooking utensils v) clothing (kente/smock for ceremonies)

^bNatural assets (average no of trees(commercial) on farmlands aged 2years>...).....

^c**Financial assets** (measured as the average income earned from forestry activities in a year by the household members that are surveyed).....

^d**Human capital** (measured as the average annual expenditure on education by household members that are interviewed) (spending on education of children in the form of the secular training and learning of trade)

^e**Social capital** (measured as the average annual expenditure on social and religious activities by household members interviewed)

Household crisis and coping strategies

Purpose: i) to show trouble community members go through; ii) to point out fact that short, long term, as well as multi sectorial interventions might be required to improve the livelihood of these community members; iii) to compare the coping strategies in Akomandan and Kotaa-May be if Akomandan affected farmers are able to move they would be able to cope better?)

26 Crisis household encountered in previous year

Crisis	Tick	Crisis	Tick
Flood		Theft	
Drought		Forceful takeover of asset	
River bank erosion		Market fluctuation	
Excess rain		Farmland border conflict	
Wind damage		Conflict inter/intra community	
Poor production		Loss of land	
Shortage of food		Loss of livestock/poultry	
Illness		Dowry/wedding	
Death of household member		Funeral	
Arrest of household member		Accident of HH member	
Divorce		Irregular remittance	
Separation		Others	
Loss of job			

27. How household dealt with crisis in previous year(Coping strategies)

Coping strategies	Tick	Coping strategies	Tick
Loan from neighbors/relative		Sold small animals	
Loan from money lender		Sold jewelry	
Grain loan from kin		Sold standing crop	
Adjustment to meals		Sold agricultural products at a low price	
Loan from bank		Sold farmland	
Loan from rural bank		Sold household utensils	
Farmland mortgage out		Sold women labour	
Farmland leased out		Sold poultry birds	
Sold household productive assets		Occupation change	
Taken relief/refundable help		Sold fruits in advance	
Collected leftover grain from land		Others (specify)	
Taken court action against a thief			

Uptake of FORM Ghana's planting technique for food crops

25 Do you know of the FORM Ghana's prescribed planting (in rows) technique of food crops?

a. yes, b. n o

26. If yes in q25, have you applied this planting (in rows) technique in the planting of food crops (maize) on your farmland a. yes b. no

27. If yes in q26, tell me the yield (maize) you obtained per acre in the previous farming seasons (two)

Appendix 2: Checklist

Audit Tasks	Checklist points
<ul style="list-style-type: none"> • Assess overall compliance of the actual implementation of the land acquisition and resettlement with the RAP and ESMP objectives, commitments and national and AfDB applicable requirements • Consult and interact with a statistically representative number of project affected people and other relevant stakeholders to: (i) assess the extent to which the standards of living and livelihoods of affected households are being (or have been) restored or enhanced; (ii) measure whether households have been sufficiently and adequately informed and consulted with; (iii) gather their opinions on entitlement delivery, including compensation payment, resettlement housing, livelihood-restoration measures and grievance management; • Review if entitlements were delivered and implemented on time (as set out in the RAP implementation schedule); address all categories of project affected persons in the review, including women and other relevant groups • Assess whether compensation is at full replacement cost based or whether updates to compensation rates may be necessary, based on quantitative price surveys done internally by the project • Review any issues associated with delivery of entitlements to vulnerable people, where applicable including whether vulnerability factors such as disability or health issues have been taken consideration of in the resettlement site and housing design • Review internal monitoring and reporting procedures for conformity with the RAP, particularly whether indicators are gathered per commitments in the RAP • Review grievance records for evidence of any significant noncompliance or recurrent poor performance in resettlement implementation or grievance management 	<ul style="list-style-type: none"> • What are the RAP and ESMP objectives and commitments? • What are the national and AfDB applicable requirements • Identify how they have been affected by project implementation (e.g. physically removed; economically affected-loss of livelihood; environmentally affected-loss of water, etc) • Asset lists of those interviewed • Identify key livelihood activities • Identify livelihood restoration measures and how these were delivered • Identify impact on standards of living and livelihoods <ul style="list-style-type: none"> - Income levels (before and after project implementation) - Access to land • Perception/opinions on <ul style="list-style-type: none"> - Entitlement delivery - Compensation payment - Resettlement housing - Grievances and mechanisms for addressing grievances (how fast are grievances addressed?) • Participation in negotiations. How satisfied are you that your opinions were considered • Timelines for delivery of entitlements <ul style="list-style-type: none"> - Were entitlements delivered on schedule? • What is the compensation supposed to replace. • Livelihood expenditures of projected affected people? • average household income of the project affected people before and after the project implementation • Observations (Disability and/or health issues at resettlement sites and housing design) • Internal monitoring and reporting procedures/records • Records on grievances • List of aggrieved individuals • Information on types of grievances and mechanisms for settling grievances

<ul style="list-style-type: none"> • Meet a cross-section of aggrieved individuals with different types of grievances (both ongoing and closed) and check on the fairness and transparency of the grievance management process; • Assess whether there has been adequate resources to implement the RAP and any training or capacity building requirements, including in relation to assistance to vulnerable people and livelihood restoration; • Carry out a comparison between baseline and post resettlement/compensation situations using both qualitative and quantitative tools • Verify progress and full implementation of any AfDB's recommendations 	<ul style="list-style-type: none"> • Identify types of grievance reported to the office • How these are handled (management process) • Is feedback/response communicated and on time? • Existence of clear channel for reporting grievances • Any barriers for reporting grievances? • Identify any training or capacity building activities that have taken place • Desk research to assess resources made available for implementation • How do you see your livelihood situation before resettlement after the resettlement • Compare baseline and post resettlement/compensation situation. What livelihood activities were people doing before and after? • Is there baseline report of the livelihood activities of the project affected people? • What are the indicators before and after. [Use radar diagram (quantitative) and verbatim reporting of livelihood situation by one or two project affected people before and after
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