

**SOKOTO STATE COVID-19 ACTION RECOVERY AND ECONOMIC STIMULUS (NG-CARES) PROGRAMME**

**DOMESTICATED OPERATION MANNUAL**

**REVISED:**

**MAY 2023**

**ECONOMIC SOCIAL GOVERNANCE LAW AND JUSTICE ENVIRONMENT**



**ACRONYMS**

AF: Additional Financing

AHQ: Administrative Headquarters.

BOD: Board of Directors.

CBOs: Community Based Organisations.

CCT: Conditional Cash Transfer

CDA: Community Development Association

CDD: Community-Driven Development.

CDO: Community Development Officer.

CDP: Community Development Plan

CoT: Cash on Transactions

CPRP: Community Based Poverty Reduction Project

CPS: Country Partnership Strategy

NG-CARES: Nigeria Covid-19 Action Recovery and Economic Stimulus

CWIQ: Core Welfare Indicator Questionnaire.

EIA: Environmental Impact Assessment.

ESIA: Environmental and Social Impact Assessment

ESMF: Environmental and Social Management Framework.

ESMP Environmental and Social Management Plan

ESP Economic Sustainability Plan

FADAMA II: Second National Fadama Development Project.

FCA Farmers Community Association

FGN: Federal Government of Nigeria.

FMF. Federal Ministry of Finance.

FMR: Financial Monitoring Report.

FPM: Financial Procedures Manual.

FCSC: Federal Cares Steering Committee.

FCSU: Federal Cares Support Unit.

GIS: Geographic Information System.

GM: General Manager.

HIV/AIDS: Human immunodeficiency virus/Acquired immune-deficiency syndrome

IBRD: International bank for Reconstruction and Development.

IDA: International Development Association.

IEC: Information, Education and Communication.

LEEMP: Local Empowerment and Environmental management Project.

LGA: Local Government Authority.

LGDO: Local Government Desk office.

LGRC: Local Government Review Committee.

MDAs: Ministries, Departments, Agencies.

MDGs: Millennium Development Goals.

M&E: Monitoring and Evaluation

MIS; Management Information System.

MoU: Memorandum of Understanding.

NAPEP: National Poverty Eradication Programme.

NBS: National Bureau of Statistics.

NC: National Coordinator

NCB: National Competitive Bidding.

NEEDS: National Economic Empowerment and Development Strategy.

NGO: Non-Governmental Organization.

NHIS: National Health Insurance Scheme.

NOA: National Orientation Agency.

NPC: National Planning Commission.

OOs: Operation Officers

OSGF: Office of the Secretary to the Federation.

PMC: Project Management Committee.

PO: Project Officer.

PRA: Participatory Rural Appraisal.

PIM: Project Implementation Manual.

PIU: Project Implementation Unit.

PMU: Project Management Unit.

PSU: Project Support Unit.

PRSP: Poverty Reduction Strategy Paper (Process).

RPF: Resettlement Policy Framework.

SA: State Agency.

SBD: Standard Bidding Documents.

SDR: Special Drawing Rights.

SOE: Statement of Expenditure.

SAB: State Agency Board.

TRC: Technical review Committee.

VGs: Vulnerable Groups.

VIP: Ventilated Improved Pit Latrines.

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**Preface**

The Sokoto State Covid –19 Action Recovery Economic Stimulus Programme (CARES) Operation Manual covers the period of Programme Implementation i.e 2022 – 2023 now revised to June 2024.

The Programme is an emergence intervention to mitigate challenges posed by the Covid -19 Pandemic to vulnerable members of the society. The Federal Government in collaboration with World Bank came up with a credit facility to support States Governments in providing relief to their citizen towards reducing covid 19 induced Poverty, Food shortages and collapse of Small and Medium Enterprises.

The NG-CARES Operational Manual provides broad guidelines for the implementation of Pragramme in Sokoto state. The participatory processes are fully elaborate with all Results Areas and other stakeholders participating in the process of reviewing this Manual to reflect emerging issues of flooding, Victims of Banditry, pricing as a result of inflation and restructure

The Manual sets out Results Areas Disbursement Link Indicators and targets including the newly selected DLI of 1.4 by the State under restructuring. The priorities activities identified in the document are quite broad, and reflect the emergency delivery of Results as the most economically impacted members of our society. The targets are measurable and directed at achieving results.

The State has in all instances complied with the Federal Government and World Bank Structural, institutional and documentations requirements of the Programme. The overall Operational Manual of the state was derived from the Generic Operation Manual (GOM), with some provisions to reflect the State Priorities.

The present Administration under the leadership of Dr**. Ahamed Aliyu Phd (FCNA)** recognized NG-CARES as a Performance for Result Programme (PforR) and it has limited time to show results in all the selected Results Areas. Hence, the political will on the part of Government to implement and adhere to the provision of the Manual is unnegotiable and expedient.

To this end, I commend all those that have contributed directly or in directly in the exercise of revising this Operation Manual “We are committed to the implementation of NG- CARES Programme in Sokoto State and In’sha Allah, we shall succeed”.

Acknowledgements

In revising this Domesticated Sokoto State Covid - 19 Action Recovery Economic Stimulus Programme (CARES) Operation Manual (GOM), we received help from several organizations and individuals too numerous to be mentioned here.

However, our special thanks go to His Excellency the Executive Governor of Sokoto State, Dr. Ahamed Aliyu Phd. for his prompt support and commitment to the Programme.

We are deeply indebted to the Federal CARES Support Unit, World Bank for their guidance and Technical support. We are equally indebted to all our Delivery Platforms heads and Staff for their efforts. No word can adequately express our deep sense of appreciation to all.

May we all live long to witness the actualization of the NG –CARES Programme Objectives in Sokoto State and Nigeria in general.

**Buhari Umar**

State Coordinator

NG-CARES Programme

**CHAPTER 1: BACKGROUND**

**1.1 Introduction (Programme Description)**

One of the challenges of the country is that public institutions are weak and unable to address the challenges of poverty. Regrettably, a greater proportion of the population who live in the rural and sub-urban areas is considered poor. Furthermore, Nigeria faces the daunting task of achieving growth rates of greater than 5% in the non-oil economic sector to significantly reduce poverty rates.

In the past decade, the growing spate of conflict and insecurity has negatively afflicted many parts of the country, in particular the North East. The endemic corruption and weak capacity of the public sector, and the low ranking on many human development indicators have made Nigeria to rank among the lowest in the world.

To realize its considerable potential and to fulfil Federal Government’s commitment to lifting 100 million Nigerians out of poverty over a period of ten (10) years, Nigeria is determined to make tangible progress on multiple fronts, at both the Federal and sub-national levels. A large proportion of the citizens are however poor and hence the need for the mobilization of community and government machinery to provide required infrastructure for Human Capital Development on a sustainable basis.

The NG-CARES seeks to promote human capital development of the poor and vulnerable people at the grassroots level using a CDD approach. It is within this context that the NG-CARES is set to contribute to the Federal Government overall goal of improving access to grants, economic and social services which are critical to the revitalization of the local economy towards a sustainable human development for Nigeria.

The NG-CARES Programme is an emergency operation designed to support budgeted Programme of expenditures and interventions at the State level – targeting existing and newly emerging vulnerable and poor households, agricultural value chains, and Micro and Small Enterprises (MSEs) affected by the economic crisis.

The Nigeria COVID-19 Action Recovery and Economic Stimulus (NG-CARES) Programme is an intervention that is built on the platforms of existing projects of the Federal Government of Nigeria. These include National Cash Transfer Programme (NCTP), Youth Employment and Social Support Operations (YESSO), Community and Social Development Project (CSDP), FADAMA, Government Enterprise and Empowerment Programme, (GEEP). These projects are operational at the Federal and State level.

NG-CARES Programme is designed to restore the livelihoods of the poor and vulnerable, maintaining food security, and facilitating recovery of MSEs are some of the key objectives set out in the Government’s Economic Sustainability Plan (ESP) to respond to the current economic crisis in Nigeria. The GON has proposed ambitious measures to cushion the poor and vulnerable against the negative impact of the crisis. The Nigeria ESP, approved by the Federal Executive Council (FEC) on June 24, 2020, and developed by the Economic Sustainability Committee led by the Vice President, outlines an ambitious NGN 2.3 trillion (US$6 billion) stimulus package to lift the Nigerian economy from the COVID-19 crisis. The key objectives of the ESP are to:

(a) Stimulate the economy by preventing business collapse and ensuring liquidity,

(b) Retain or create jobs using labour - intensive methods in key areas such as agriculture, facility maintenance, housing, and direct labour interventions,

(c) Undertake growth enhancing and job creating infrastructural investments in roads, bridges, solar power, and communication technologies,

(d) Promote manufacturing and local production at all levels and advocate the use of Made in Nigeria goods and services, as a way of creating job opportunities, achieving self-sufficiency in critical sectors of our economy, and curbing unnecessary demand for foreign exchange which might put pressure on the exchange rate, and

(e) Extend protection to the very poor and other vulnerable groups—including women and persons living with disabilities—through pro-poor spending.

The vision underlying the NG-CARES Programme is to ensure that best practices from existing CDD projects and Social Protection (SP) Programme are sustained and the structures already established are maintained. This is to ensure that poverty reduction strategies adopted by the Federal Government are strengthened with a strong desire and focus on service delivery to the poor and vulnerable people.

In this process, the Federal Government shall provide policy guidance and technical support to the State Governments to ensure that all activities are socially inclusive, environmentally sustainable and geared to creating the opportunity for poor and vulnerable in the communities to take charge of their own development agenda. To achieve this, the State Governments shall strengthen existing implementation units and create opportunities for complementarity and synergy among all the implementing entities through the State level coordinating mechanism.

The NG-CARES being an emergency Programme, requires a rapid response implementing teams as well as deep commitment and professionalism of the staff as a major element of success in the implementation of NG-CARES. The Federal Government recognizes that it is desirable to use existing structures to implement the Programme, hence the need for enhanced capacity building, peer learning and experience sharing to ensure seamless implementation and fast disbursement of the credit.

However, experience from implementation at the State level shows that commitment by the implementing agency to operate with very little bureaucratic controls and significant level of authority and decision making are critical to ensuring Programme success. A functional reporting mechanism to the FCSC through the relevant systems at the Federal and State Government levels especially the use of Independent Verification Agents (IVAs), Third Party Monitors and regular reports by the FCSU are put in place to ensure transparency in Programme implementation and compliance with the rules.

The Programme provides financial support to the States to fulfil objectives in three key results areas:

1. increasing cash transfers and livelihood support to poor and vulnerable households;
2. increasing food security and safe functioning of food supply chains for poor households;
3. preventing collapse and facilitating recovery of household/micro enterprises.

**1.2** **Programme Development Objective (PDO):**

*“To expand access to livelihood support and food security services, and grants for poor and vulnerable households and firms”.*

Progress towards achieving the PDO will be measured using three PDO results indicators:

* 1. Number of beneficiaries of targeted safety nets and with access to basic social services (disaggregated by gender),
  2. Number of farmers supported to increase food production (disaggregated by gender),
  3. Number of vulnerable and viable firms supported by the Programme (disaggregated by gender).
  4. **THE KEY PERFORMANCE INDICATORS (KPIs)**

The Key Performance Indicators (KPIs) would be developed based on the three (3) Key Result Areas (KRAs), and with reference to each of the interventions in each of the areas of emergencies response, and the activities undertaken by the implementing agencies. This is supposed to be jointly handled by each of the delivery unit together with the coordinating unit and then consolidated by the Coordinating Unit. The key indicators that would be measured in Sokoto State under the programme are as highlighted in column one of the table below.

|  |
| --- |
| **Intermediate Results Indicator by Results Areas** |

| **RESULT\_FRAME\_TBL\_IO** |  |  |  |
| --- | --- | --- | --- |
| **Indicator Name** | **DLI** | **Baseline** | **End Target** |
|  |  |  |  |
| **Increased social transfers, basic services, and livelihood support to poor and vulnerable households** | | | |
| Targeted beneficiaries receiving transfers and stipends disaggregated by gender and vulnerability profile (Number) | DLI 1.1 | 0 | 3,900 |
| Targeted female beneficiaries receiving transfers and stipends (Number) |  | 0 | 1,560 |
| Targeted beneficiaries with new income earning opportunities or household enterprises (Number) | DLI 1.3 | 0 | **5,751** |
| Female targeted beneficiaries with new income earning opportunities or household enterprises (Number) |  | 852.00 | 2,300 |
| **Increased food security and safe functioning of food supply chain** | | | |
| Farmers utilizing agricultural inputs and services (Number) | DLI 5 | **35,219.00** | **46,835.00** |
| Female farmers utilizing agricultural inputs and services (Number) |  | **5,879.00** | **10,525.00** |
| Farmers utilizing climate smart inputs and services (Number) |  | **46,835.00** | **46,835.00** |
| Farmers accessing improved agricultural infrastructure (Number) | DLI 6 | **35,219.00** | **46,690.00** |
| Female Farmers accessing improved agricultural infrastructure (Number) |  | **5,879.00** | **10,467.00** |
| Farmers accessing climate-smart improved agricultural infrastructure (Number) |  | **35,219.00** | **46,690.00** |
| Farmers utilizing agricultural assets (Number) | DLI 7 | **35,219.00** | **45,522.00** |
| Female farmers utilizing agricultural assets (Number) |  | **5,879.00** | **10,000.00** |
| **Facilitating recovery and enhancing capabilities of micro and small enterprises** | | | |
| Firms receiving operational support grants (disaggregated by gender and firms directing grants to mini solar panels) (Number) | DLI 10 | 0.00 | 7,700 |
| Female owned firms receiving operational support grant. (Number) |  | 0.00 | 2,310 |
| **Strengthened institutional support for coordinating and delivery** | | | |
| States CARES coordination office established and functional (Number) |  | 0.00 | 1 |
| Periodic verification of DLRs and DLIs and authorized disbursement conducted by Federal Support Unit (Number) |  | 0.00 | 144.00 |
| Staff participate in peer learning, experience sharing sessions and capacity building training. (Number) |  | 0.00 | 600.00 |

**Sokoto State Restructured Allocation and Selection of Individual DLIs**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **RESULTS AREA 1** | | | |
| **DLI 1.1** | **DLI 1.2** | **DLI 1.3** | **DLI 1.4** | **DLI 2.1** | **DLI 2.2** | **DLI 2.3** | **DLI 3.2** | **Total** |
| **Current Allocation** | **2.00** | **2.00** | **0.00** | **0.00** | **4.17** | **5.00** | **3.17** | **3.66** | **20.00** |
| **1st Earned Reimbursement** | **0.00** | **0.00** | **0.00** | **0.00** | **2.77** | **0.00** | **0.35** | **0.19** | **3.31** |
| **Available Balance** | **2.00** | **2.00** | **0.00** | **0.00** | **1.40** | **5.00** | **2.82** | **3.47** | **16.69** |
| **Balance Re-allocation** | **2.00** | **0.00** | **2.00** | **1.78** | **4.61** | **2.50** | **1.80** | **2.00** | **16.69** |
| **New Allocation** | **2.00** | **0.00** | **2.00** | **1.78** | **7.37** | **2.50** | **2.15** | **2.19** | **20.00** |

* 1. **BENEFICIARIES**

Beneficiaries of the NG-CARES Programme are expected to cut across the three key result areas especially those that were adversely affected by the impact of the COVID-19 pandemic. Beneficiaries are expected to be mined from the State Social Registers, Farmers Register and other State Registers generated or built through a transparent and acceptable process in line with the Key Performance Indicators (KPIs).

Grievances from the beneficiaries would be addressed by leveraging on the existing structures of the implementing platforms such as *FADAMA, SCTU, CSDA and State Enterprise Development Agencies etc. Communities, households, and individuals will be sensitized on the availability of the Grievance Redress Mechanism (GRM) and the contact information for grievance redress at the Community, LGA, and State levels. Redress on specific issues surrounding targeting and payments may take different forms depending on the specific* grievance submitted; possible redress could include information clarification, payment regularization, and registry update, among others.

* 1. **SCOPE OF THE PROGRAMME**

The proposed NG -CARES PforR Programme aims to support the Sokoto State Government in responding to the COVID-19 crisis by restoring the livelihoods and food security of poor and vulnerable households and promoting recovery of MSEs in Sokoto State**.** The objectives are in line with the Sokoto State Development (2020- 2025) using established platforms at the State level, the PforR will:

1. support the objectives in protecting the very poor and vulnerable groups through expanding coverage of the existing social assistance interventions at the State level and enabling the delivery of basic social services;
2. Stimulate the economy by supporting agricultural value chains, providing livelihood grants to prevent the collapse of informal enterprises, helping finance costs to help retain workers in MSEs, and enabling technology enhancements to allow businesses to adapt to COVID-19 induced constraints.

While the PforR will not support large infrastructure investments or manufacturing of goods and services, it will indirectly assist in stimulating economic activity in the short to medium term by addressing both supply- and demand-side constraints in the economy. State-level platforms active will be used to advance the objectives supported by the PforR, with the federal government providing supervision and monitoring, technical and capacity building support and helping in sound financial management and reporting.

**1.6 PROGRAMME COST FINANCING FOR NIGERIA (USD MILLIONS)**

|  |  |
| --- | --- |
| Government Programme Cost | 840.21 |
| Total Operation Cost | 750.00 |
| Total Programme Cost | 735.00 |
| IPF Component | 15.00 |
| Total Financing | 750.00 |
| Financing Gap | 0.00 |
| International Development Association (IDA) | 750.00 |
| IDA Credit | 750.00 |

**CHAPTER 2: INSTITUTIONAL ARRANGEMENT**

**2.1 Introduction**

The proposed PforR will be implemented in Sokoto State. The Programme is designed to run for a period of two years (2021–2023) and will be implemented using existing structures without creating any add-on project implementation structure.

The management of the Programme at the State level shall be based exclusively on the PforR framework for funding that will grant the government autonomy in decision-making. The State structure implementing DLIs will be responsible for delivering the results in partnership with other stakeholders and for achieving the Programme objectives. The NG-CARES PforR will place a strong emphasis on the CDD/equivalent organizational structures across the results areas and delivery platforms to promote community ownership of, and responsibility for, operations and maintenance of infrastructure investments, where applicable.

**2.2 Overview of Programme Implementation**

**The three results areas selected by Sokoto State will reinforce each other while avoiding duplication.** For example, poor and vulnerable households supported in Results Area 1 through consumption and employment support, and livelihood grants, can help boost demand for agricultural produces for farmers and food suppliers in Results Area 2 as well as goods and services offered by firms and enterprises in Results Area 3.

The public work schemes to upgrade agricultural infrastructure such as feeder roads and canals in Results Area 2 can be complemented with LIPW to align and upgrade other community assets that provide health; education; water, sanitation & hygiene facilities; and nutrition in the community in Results Area 1.

Many households in Sokoto State have members working simultaneously in the agricultural and non-farm sectors, with income from one sector boosting investments in the other sectors. Providing one-off grants to vulnerable and viable non-farm enterprises for maintaining employment allows the household to maintain its investments in agricultural activities during the planting season. Supporting vulnerable but viable firms also complements efforts to boost agriculture productivity under Results Area 2 through strengthening supply chains and reestablishing value chains.

Interventions designed to support poor and vulnerable households under NG-CARES are cognizant of whether households can offer labor to support recovery efforts during this crisis**.** Support to labor-sufficient households engaged in non-farm MSEs is provided through direct livelihood grants or through support offered in the form of grants to firms (with conditions imposed to cover operational costs and maintain their staff). Similarly, support to labor-sufficient households engaged in agriculture takes the form of, provision of agricultural inputs and services, agricultural infrastructure support or through upgrading markets with hygienic water and sanitation protocols enable farmers to sell their produce. Labor sufficient households engaged in food system enterprises are supported through grants, inputs, and transfers to keep the food supply chain functioning. Households who have limited labor to offer, such as households with aged, chronically ill, urban poor, or persons with disabilities, are supported through social transfers.

The NG-CARES PforR is designed to address challenges that are multi sectoral in nature.For example, Results Area 2 focuses on supply-side interventions to increase food availability, enable food supply chains to function safely for poor and vulnerable households, and lay the foundations for recovery. These interventions are complemented by cash transfers and grants provided in Results Area 1. In particular, the social transfers enable the poor and vulnerable households to meet various needs, including purchasing food. The complementarities between these results areas enable the Programme to mitigate the impact of the pandemic on food security from both the supply and demand sides, thus increasing food availability and accessibility. MSEs play key roles in food supply chains in Nigeria. In particular, the lower spectrum of MSEs in the food sector tends to serve the poor, either as primary producers who supply the MSEs or consumers purchasing food from the MSEs. Hence, Results Area 3 will support recovery and enhancing capabilities of MSEs, including those operating in food supply chains, thus complementing the food security objectives in Results Area 2. The support to MSEs will involve grants to retain jobs, ease financial constraints, and enhance the capabilities of the enterprises. This would enable the supply chains for food and non-food commodities to continue functioning while promoting the recovery of MSEs.

**2.3 State Implementation and Institutional Arrangement**

**The Programme will be implemented in all the States and FCT**. The Programme is designed to run for a period of two years (2021–2023) and will be implemented using existing structures at the level of the States government, without creating any add-on project implementation structure.

*Figure 1: State-level Institutional Arrangement for the Proposed CARES PforR*

The management of the Programme at the State level shall be exclusively based on the PforR framework for funding that will grant the State government autonomy in decision-making. The State structure implementing DLIs will be responsible for delivering the results in partnership with other stakeholders and for achieving the Programme objectives. The CARES PforR will place a strong emphasis on the CDD structures across the results areas and delivery platforms to promote community ownership of, and responsibility for, operations and maintenance of infrastructure investments, where applicable.

2.3.1 **State CARES Steering Committee**

A State-level Steering Committee comprising of Commissioners or Permanent Secretaries of the key sectoral ministries and policy heads of agencies will be constituted to provide oversight and policy guidance to the Programme. The Steering Committee will be led by the Commissioner responsible for planning and budget or finance, while the head of the SCCU shall serve as the Secretary of the Committee.

* 1. Composition: Each SCSC shall be made up of 7- Members, chaired by the Commissioner of the State Ministry responsible for Planning and Budget and Commissioners and political heads of relevant MDAs. They are,

1. Commissioner Budget & Economic Planning Chairman
2. Commissioner Commerce & Industry Member
3. Commissioner Women & Children Affairs Member
4. Commissioner of Finance Member
5. Commissioner of Agriculture Member
6. Commissioner of Social Welfare Member
7. Commissioner for MLGA Member
8. Secretary to the State Government Member

i) State CARES Coordinator Secretary

* 1. The Head of the State CARES Coordinating Unit shall serve as the Secretary of the SCSC**.**
  2. **Responsibilities:**
* Each SCSC shall be responsible for providing oversight and policy guidance for the implementation of the operation in the relevant Participating State, all in accordance with the Operations Manual.
* The SCSC shall meet quarterly (4 times in a year) to consider issues affecting the CARES Programme in the State as may be brought before it by the SCCU including the monitoring report of the SCCU for appropriate action.
* The SCSC shall consider and approve the annual work plan and budget of the SCCU and clear work plan and budget of the Delivery Platforms that are to be funded from the NG CARES resources.
* The SCSC shall provide update on the implementation of the Programme to the Governor of the State every six months or as may be required through the Chairman of the SCSC.

The funding for SCSC and SCCU activities including travels shall be from the NG-CARES fund.

2.3.2 **State CARES Coordinating Unit**

A small Unit for coordinating the State CARES Programme to be known as State CARES Coordinating Unit (SCCU) comprising mainly of four to five Planning, ICT, Fraud desk and Monitoring Officers will be housed in the State Budget and Planning Ministry as stated in the agreed Program Action Plan and financing agreement.

The SCCU shall interface with the selected State delivery platforms. The SCCU will be **responsible for:**

1. serving as the secretariat of State CARES Steering Committee (SCSC);
2. undertaking periodic collation of results from Delivery Platforms;
3. Monitoring progress of implementation and disbursements against results. and
4. Liaise and relate to all MDAs in the State that are relevant and responsible for supportive activities on the NG CARES Programme. Such MDAs include, Accountant General Office, Auditor General’s office, Ministry of Justice, Environment Women Affairs, and Security Services Unit. It shall also coordinate the relationship between the State DPs and FCSU (including the IVA).
5. Coordinating the reporting and investigation of allegation of fraud and corruption in line with agreed protocol.

**Composition:**

* The SCCU shall be a unit in the Ministry of Planning and Budget of the State.
* The Head of the SCCU shall be a minimum of an Assistant Director within the Ministry of Planning and Budget.
  1. All the officers shall have the necessary qualifications, experience and integrity, and their selection will be through the guidance of the SCSC.
  2. Fiduciary and other support services (Procurement, Accountant, Auditors, etc.) shall be provided by the relevant departments and units in the Ministry of Planning and Budget. Their services will be provided on a need’s basis.
  3. Composition membership by Responsibility,
     + 1. Director State Coordinator
       2. Deputy Director Head M&E
       3. Planning Officer Planning Officer
       4. Asst Director ICT Head ICT
       5. Planning Officer M&E Asst

**Approving Authority:**

The Head of the SCCU shall be the approving authority for all matters relating to the Unit as far as the CARES Programme is concerned. The Head of the SCCU and designated Accountant of the Unit shall be signatories to the Account of the Unit while the alternate signatories shall be a Director in the Ministry of Planning and Budget and the Head of the State Project Financial Management Unit (PFMU).

2.4.3 **State Delivery Platforms**

The SCCU shall work closely and relate directly with the delivery platforms for the three results areas for effective coordination and reporting**.**

1. **Results Area 1: Social safety nets and basic service delivery.** The SCTU will be responsible for implementation and delivery of the DLI 1.1 Social Transfers and DLI 1.3 Livelihood Grants supported by the PforR through a pro-poor activity in Sokoto State.
2. **Results Area 2: Food security and safe food delivery.** The Fadama unit of the State Ministry of Agriculture will be responsible for the delivery of the DLIs 2.1 Agricultural Inputs and Services, DLI 2.2 Labour Intensive Agricultural Infrastructure and DLI 2.3 Agricultural Assets for Production in this results area.
3. **Results Area 3: Facilitating recovery and enhancing capabilities of MSEs.** State-owned SOSMEDA working in close partnership with GEEP platform of the BOI, will take responsibility for the delivery of the DLI 3.2 Conditional Grant to MSE’s in this results area.

**Approving Authority within the Delivery Platforms**: The Head of the Delivery Platforms shall be the approving authority for all matters relating to the Platforms as far as the implementation of the CARES Programme within the Platform is concerned. The Head of the Platform and designated Accountant of the Platform shall be signatories to the Account of the Platform while the alternate signatories shall be a management staff of the delivery platform and assistant project accountant of the delivery unit or the Head of the State Project Financial Management Unit (PFMU). The State government procedure, law or guidelines for annual approval and supervision of delivery platform shall be used. Existing accounts are to be used by each delivery units.

2.4.4 **Productivity Allowance:**

Productivity allowance is an agreed payable allowance to the NG-CARES Staff based on delivery of result. The breakdown as per Sokoto State NG -CARES Staff which is below the National threshold. State is at liberty to consider as may be necessary by due period i.e,Monthly, quarterly, Biannual or annual, base on Results delivered or terms of engagement

|  |  |  |
| --- | --- | --- |
| **S/N** | **POSITION** | **PRODUCTIVITY ALLOWANCE** |
| 1 | Programme Coordinator/Head SCCU | 400,000 |
| 2 | Project Implementation Unit (PIU) Staff | 300,000 |
| 3 | Assistant PIU Staff/Field team | 250,000 |
| 4 | Facilitators/Desk Officers/LGA Leads | 200,000 |
| 5 | Support Staff | 150,000 |
| 6 | Field Agent/Enumerators | 100,000 |
| 7 | Drivers/Messenger/Security | 70,000 |

**CHAPTER 3:**

**NIGERIA COVID-19 ACTION RECOVERY AND ECONOMIC STIMULUS PROGRAMME PforR STATE LEVEL OPERATION: RESULTS AREAS**

**The NG-CARES PforR will support the Government to achieve the Programme objectives in the following three key results areas.**

* Results Area 1 will support scaling up existing safety net interventions at the state level. The safety net interventions supported by the PforR will expand the coverage of (a) social transfers; and (b) livelihood grants.
* Results Area 2 will support scaling up interventions that help farmers increase food production and facilitate smooth functioning of the food supply chain. The interventions supported by Results Area 2 include (a) provisions of seeds, fertilizers, and agriculture extension services to farmers; (b) LIPW opportunities to improve agricultural infrastructure and (c) provision of agricultural inputs for mitigating food loss.
* Results Area 3 will support scaling up interventions that help MSEs through (a) grants to support post-COVID-19 loans and (b) grants to support operational costs.

Each of the interventions supported by the results areas are described in detail below.

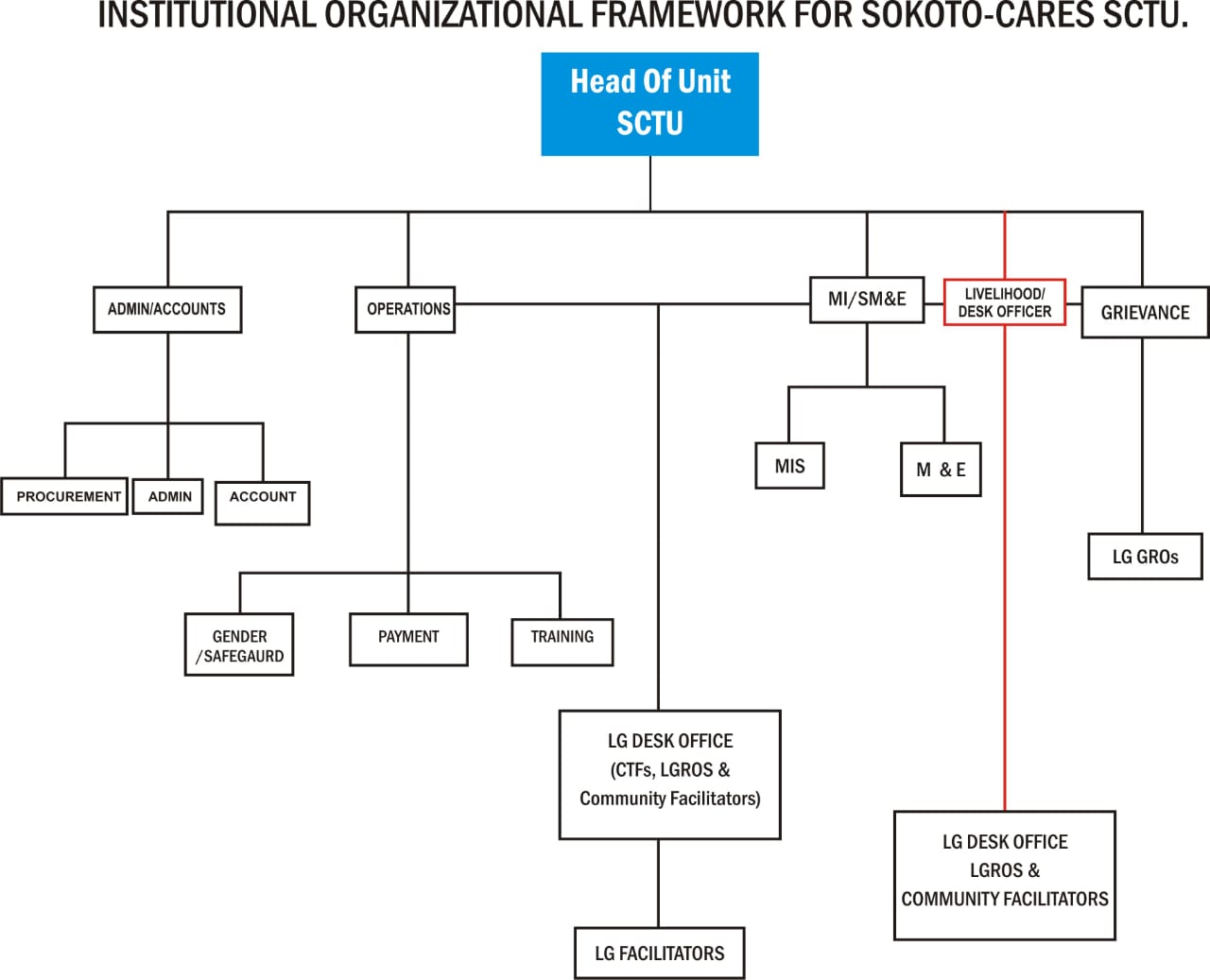
**3.1 Result Area 1: Increased social transfers, basic services, and livelihood support to poor and vulnerable Household**

**Disbursement Linked Indicators (DLIs) Description:**

Results Area 1 alarmingly low. This is in direct contrast to the objectives laid out in the national-level documents and despite evidence linking safety net Programmes to improved human capital outcomes for the poor in the country. Recently, however, several initiatives have been under way to reduce fragmentation aims to support the Government’s efforts in scaling up safety net services that provide consumption and livelihood support to the increasing number of poor and vulnerable Household. Nigeria spends less on social safety nets Programmes than every other lower-middle-income country and most of its regional peers—around 2.6 percent of the GDP on the three social sectors (health, education, social protection) combined and 0.3 percent of the GDP on social safety nets. Despite several social protection Programmes being launched in the last few years, coverage of safety net Programmes remains among smaller ad hoc safety net Programmes, and to create an institutional structure at the federal, state, and local government authority (LGA) levels to strengthen the coordination and implementation of interventions related to protecting the poor and the vulnerable. The NG-CARES PforR provides an opportunity to continue the process of consolidation and capacity building of these interventions at the state level.

**3.1.1Disbursement Linked Indicator (DLI) 1.1: State Social Transfers (SSTs)**.

The objective of the SST Programmes is to enhance consumption support to vulnerable groups: aged, persons with disabilities, chronically ill, and urban poor individuals. State Cash Transfer Units (SCTUs) with adequate staffing and capacity will implement the transfer schemes. Beneficiaries of the social transfer Programme will be targeted using clear and objective criteria drawn from the State Social Register (SSR). The SCTU will enrol and register all selected beneficiaries in a State NG-CARES Social Transfer Register. NGN20,000.00 will be paid bimonthly to selected beneficiaries using mobile money agents, card-based payments, or e-payment such as e-wallets. The SCTU, with support from Desk Officers and Cash Transfer Facilitators (CTF), will monitor the Programme at the LGA level. Monitoring indicators will include (a) total number of households receiving transfers, disaggregated by gender and disability profile and (b) frequency of the transfers. The SCTU will provide monthly, quarterly and annual reports to the SCCU.



**Responsibilities of Stakeholders**

There are two types of stakeholders in the STP: those directly involved in the delivery of the benefits, and those that indirectly support the overall operations.

The State Cash Transfer Units, Sokoto(SCTUs) is an existing establishment within The State Ministry for Women’s and Children Affairs. The Ministry should provide technical Oversight function to the SCTU.

SCTU shall report to the State CARES Coordinating Unit (SCCU) on a monthly, quarterly and annual basis.

**Table 3: Major Roles of State Cash Transfer Units (SCTUs)**

|  |
| --- |
|  |
| * Responsible for all the preparatory activities to launch the DLI1 1.1 and 1.3 component of RA1 * Manage the beneficiaries’ enrolment into the targeted social/livelihood Programme * Provide technical support to Cash Transfer Facilitators (CTFs). * Participate in information dissemination and community feedbacks on all Programme activities; * Ensure social safeguards are in place and adhered to when applicable * Undertake data collection for M&E; * Implement grievance procedure framework; * Prepare lists of beneficiaries eligible for payment and ensure transmission to PSP * Conduct a periodic review of implementation against pre-set targets; and * Submit progress report to SCCU monthly, quarterly and annually * Responsible for compliance monitoring, building beneficiaries’ capacity, gender & vulnerability, social safeguard, communication coordination and disbursement of grants to beneficiaries. * Responsible for financial management of the grants including preparation of budget, monitoring disbursement, timely replenishment of funds into special account, preparation of monthly, quarterly & annual financial reports and ensure adherence to financial management systems and procedures. * Also responsible for procurement of goods and services and auditing. * Providing short livelihoods and soft skills training |

**Institutional arrangement at the Local Government level**

Each Local Government Area (LGA) shall use the existing desk office for the social transfer and Livelihood support facilitations; the LGA facilitation team shall be responsible for the social Transfers implementation and livelihood support activities at the community level. Each LGA shall have a cash Transfer Desk Officer to oversee the daily social transfer and livelihood support Activities in the LGA, one Grievance Redress officer and two CTF.

**Table 4: Cash Transfer Facilitation (CTF) Team**

|  |
| --- |
| **Major Roles** |
| * Implementation of social transfers and Livelihood support activities at the LGAs and community level |
| **Membership** |
| * Cash Transfer Desk Officer * Grievance Redress Officer * CT Facilitators * Beneficiary representative |
| **Responsibilities** |
| * Organize and deliver sensitization activities to beneficiary. * Enrollment of beneficiaries into ST and livelihood support activities Programme. * Coordinate social Transfer and livelihood support activities at LGA * Ensure supervision and monitoring at the LGA; * Collect, discuss and possibly resolve reported grievances from communities over the ST process from community grievance persons in the communities; * Conduct periodic review of implementation against pre-set plans; and * Submit monitoring report to SCTU monthly using standard templates which would be provided by SCCU. * Community grievance person (CGP) shall receive complaints and transmit to LGA grievance redress officer. * Beneficiary representative who shall be elected or selected based on consensus will be the link between beneficiaries and the Programme. |
|  |

**ENROLMENT OF INDIVIDUAL BENEFICIARY HOUSEHOLDS**

NG- CARES PforR Operation – State Level

SCTU shall submit request on basis of established criteria to State Operation Coordination Unit (SOCU) for the purpose of mining eligible beneficiaries from the State Social Register (SSR) or other existing registers acceptable to the State and NASSCO. All households mined are eligible for the Social Transfer. These individuals shall be entitled to transfer of N20,000 bimonthly. The social Transfer aims at responding to deficiencies in consumption and welfare of poor and vulnerable individuals, critically ill, disabled, aged, Internal Displaced (IDPs), Flood victims and the urban poor with a view to enhance their immediate needs and income for consumption of food and basic services. The Programme focuses on the poor and vulnerable individuals in Nigeria as identified through a combination of geographic and community-based targeting mechanisms.

**Result Area Objectives (Social Transfer):**

It is expected that the Social Transfer meets the following objectives;

1. Timely and accessible social transfer to Poor and Vulnerable Individuals
2. Improving food consumption support
3. Preventing the PVIs from falling further down the poverty line
4. Building their resilience to withstand shocks

**Implementation Imperatives, Process and Arrangement (Targeting, Selection Criteria etc.)**

**Enrolment of beneficiaries into the Sokoto-CARES Programme.**

The SCTU shall determine the number of individuals to be covered during a budget year for number of beneficiaries per State, LGA and Ward. It is on this pre-determined benchmark and agreed criteria for selection of ST beneficiaries that SCTU shall send request to SOCU for data of poor and vulnerable individuals from the SSR. Consequent upon which, SCTU shall mine eligible ST beneficiaries from the SSR. The mined list shall then be subjected to matching with the data of beneficiaries receiving the FG cash transfer to avoid double dipping. The data will be submitted for approval by the Ministry for Women’s and Children Affairs, Sokoto.

The list shall contain the following information.

1. Location Details: Geo-political Zone, State, LGA, Ward, Community Type (Rural/Urban)
2. HH Details: Household Number, Head of Household, Household Address
3. HH Members Details: SSR Ref. Number, Names, Gender, Age, Marital Status, Work Type. Disability, etc.
4. Beneficiary member’ Health and Disability information
5. Beneficiary with aged Head of Household (HHH) aged 65 and above

The validated PVIs data is disaggregated according to LGAs, wards and communities by SCTU. Two copies of the PVIs list per community shall be produced using A2 paper for community disclosure and validation of selected individuals, particularly to verify their residency status or error of inclusion.

The SCTU MIS shall organize training for STFs on enrolment processes with focus on the use of mobile application for data capture and monitoring processes. Beneficiaries to be enrolled in two [2] batches and remain in the program for 12 months [6 payment cycles]. At the end of the time frame, evaluation shall be conducted to assess the impact of the Programme on the beneficiaries.

The processes of identifying and enrolling Sokoto-CARES beneficiaries after verification from the SSR, shall involve the following:

**Community Stakeholders’ Sensitization and beneficiaries’ Disclosure**

The SCTU shall facilitate the conduct of community stakeholder’s sensitization on the ST Programme by the STFs for the buy -in of the community. The STFs with the support of LGROs shall disclose the list to the community by reading out the names and displaying it at a central and easily accessible location in the communities. The aim of the disclosure is to enable the community members validate the list of selected individuals and minimize the case of any grievance and inclusion/exclusion error. If there are grievances, the community member channels their complaint to the LG GR officer for redress.

**Identification and collection of data of beneficiaries**

Mobile application template shall be used to capture the data on biometrics, location, guarantor’s phone number/NIN, etc; the STFs shall upload directly into SCTU MIS database via internet connection.

**Transmission of non-existent Beneficiaries and mismatched names**

The SCTU shall collate list of names mismatched and absentee individuals from STFs and forward same to SOCU for reconciliation of the SSR.

**Social Transfer beneficiaries’ orientation**

The beneficiaries as part of the total package shall be sensitized as to the purpose and objective of the Social Transfer and the role and responsibilities of each stakeholder particularly their own roles as beneficiaries in the Programme cycle. The orientation which shall be carried out by the SCTU in conjunction with the STFs in a cluster of contiguous communities shall not exceed three (3) days.

**Establishment of State beneficiary database**

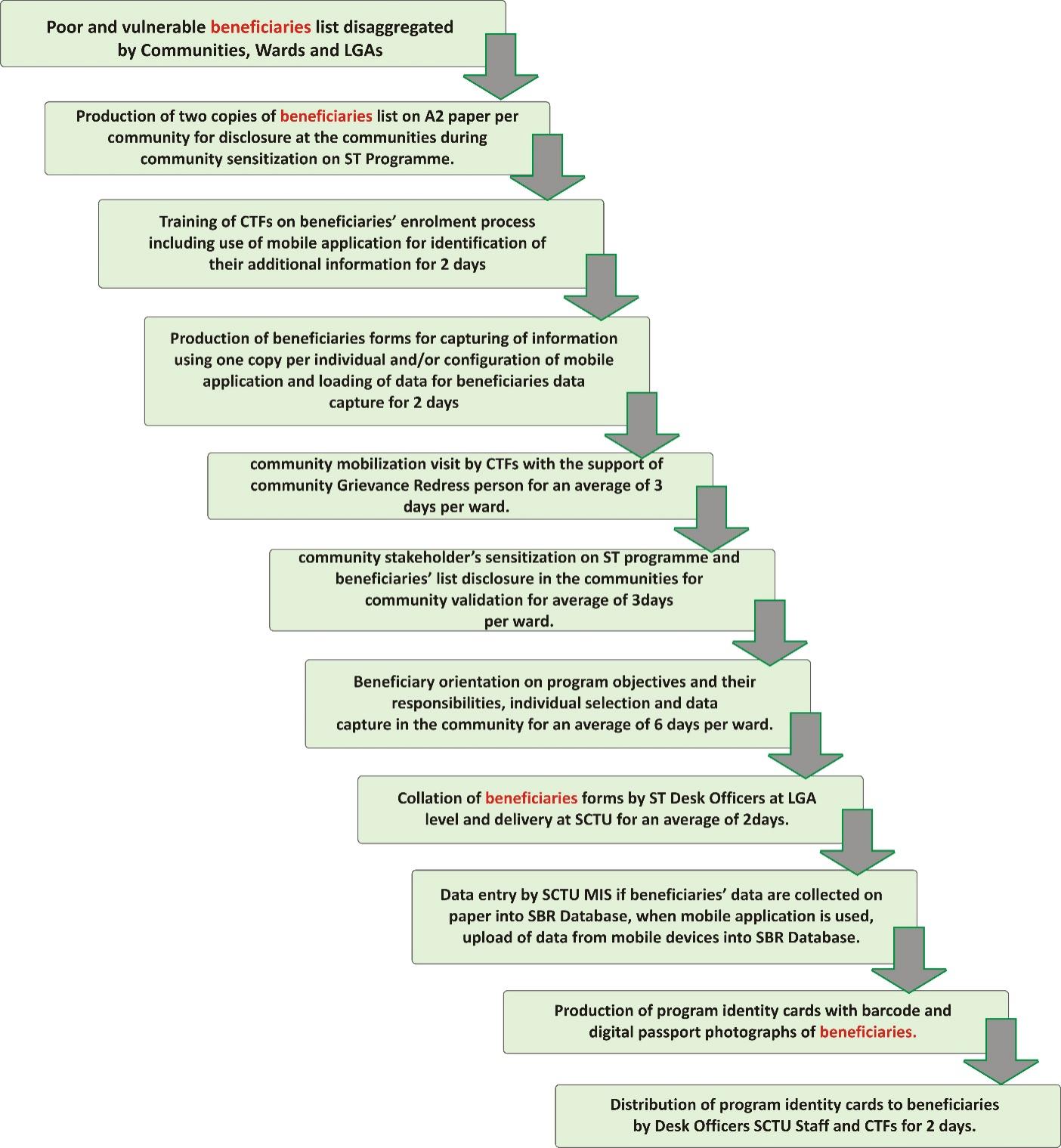
The SCTU MIS shall enter beneficiary data into the database system and shall generate barcode containing beneficiaries SSR Numbers, which is the unique identifier.

**Issuance of Programme Identity Cards.**

The SCTU shall issue Programme identity cards containing barcode to all beneficiaries enrolled into the Programme as a means of authentication. Below are the required standards for identity cards, roles of STFs and beneficiaries:

* 1. Generation of barcode (SSR Number and bio-data)
  2. Names of Beneficiary
  3. Digital passport size photograph of beneficiary
  4. Distribution of Programme identity Cards to the beneficiaries by STFs

v. Each beneficiary shall be expected to present an identity card at the point of payment and for any activities of the Programme. However, in the case where a beneficiary is unable to be present at a designated payment point, the ID Card shall be presented for validation before payment. Where banking service is not available, money agents are to carry out the payment.

**ENROLLMENT STEPS**

**PROCESSES FOR SOCIALTRANSFER**

The payment process aims to deliver the social transfer benefits of the Programme to beneficiaries bimonthly on a regular basis through a transparent and reliable payment process, using the Payment Service Providers (PSPs).

The PSP is responsible for ensuring delivery of the payment to these designated beneficiaries (last mile – the shortest geographical distance that must be covered to provide services to end-user customers) verifying the rightful beneficiaries through a two-factor authentication (identification using barcode containing NSR number, which is unique identifier and passport photograph).

The PSPs shall implement various payment system options that cover Electronic Payment (e-payment), Money Agent and Mobile Money, depending on the Beneficiaries locations within the state. The pay-out solutions may include, but not limited to the following: bank account, mobile money account with digital verification prior to pay out, prepaid card, or agents’ network which will be available at all communities to provide avenue for cash out.

The payment process is divided into four components:

1. Beneficiary preparation.
2. Disbursement.
3. Cash out.
4. Payment reconciliation, payment report and funds return.

**Beneficiary cash out**

Once individuals are selected and verified, the list of beneficiaries will be forwarded to the PSP servicing the state who will be procured by the SCTU and approved by the Ministry of Women’s and Children Affairs before beneficiaries are registered on the various financial platforms and a store-of-value account, which could be a bank account, mobile wallet, card account; depending on the delivery mechanism of the PSP is established for each beneficiary.

Once these accounts are created, PSP is required to forward the banking information, including the NSR reference number of beneficiaries to SCTU using an agreed electronic medium such as API integration, SFTP or email. This banking information is used to update the Payments database of the SCTU MIS.

**Payment Preparation.**

Per payment cycle and prior to the disbursement of funds to beneficiaries, a payment schedule shall be created highlighting beneficiaries and their total corresponding benefits. The payment schedule shall be created by the payment Officer of the SCTU, using beneficiary information made available from the SCTU MIS.

The total amount of funds available to each beneficiary per payment cycle is a total of multiple line-items on the payment schedule. These line items include:

1. ST benefit
2. Other amounts (the result of GRM case managements, shortfall from previous payments).

Once the payment schedule is generated and reviewed by the SCTU, it is forwarded to the Accounts unit to verify transaction volume, ensuring that all accounting calculations are properly done. Once reviewed by the Accounts unit, the payment schedule is forwarded to management for final approval and release, at this point the payment schedule is marked as activated.

**Disbursement**

During the disbursement process, the following takes place:

* Using the activated payment schedule, the Payment Officer will create a payment instruction to transfer cash benefits directly from SCTU to beneficiaries’ accounts via the payment switch.
* Beneficiaries’ accounts shall be credited with funds as specified in payment schedule.
* Results of credit transaction are sent to Payment Officer (in real time) through the payment information system.
* Schedule of successfully credited beneficiaries shall be forwarded to PSP.
* The PSPs are responsible for getting the cash to the beneficiaries via money agents in areas without adequate banking infrastructure.
* The PSPs inform SCTU on payment dates which shall be communicated to the beneficiaries through the Social Transfer Facilitators (STFs).
* At the point of payment, (in case of money agent’s payment), the beneficiaries are verified by the Money agents using the Programme and payment ID cards which have photographs of beneficiaries. After the identity of the beneficiary is verified, the money agent pays the amount due to each beneficiary based on the prepared payment schedule given to him by PSP.

**Payment reconciliation, payment report and funds return**

Disbursement schedules are forwarded from the PSPs, directly from their core banking applications, after each disbursement cycle, to SCTU. These disbursement schedules will be used to reconcile against the generated payment schedule by the SCTU payment, Account unit calculate commissions due to the PSP. Undisbursed funds will be investigated and depending on the outcome, appropriate action which could include discontinuing of benefits and the return of funds will be undertaken.

The payment reconciliation reports are generated and uploaded into SCTU MIS reporting module for use by M & E unit and other Programme stakeholders.

**GRIEVANCE REDRESS MECHANISM**

The GRM is a mechanism designed to address grievances that may arise in the cause of implementing the ST and Livelihood Grants. This will include but not limited to errors of exclusion and inclusion, gender related grievance, payment issues, and cases of double dipping across two DLIs; DLI1.1 (Social Transfer) and DLIs 1.3 (Livelihood Grants) and any other issues relating to the Programme.

Guidelines on process to handle appeals and complaints are as follows:

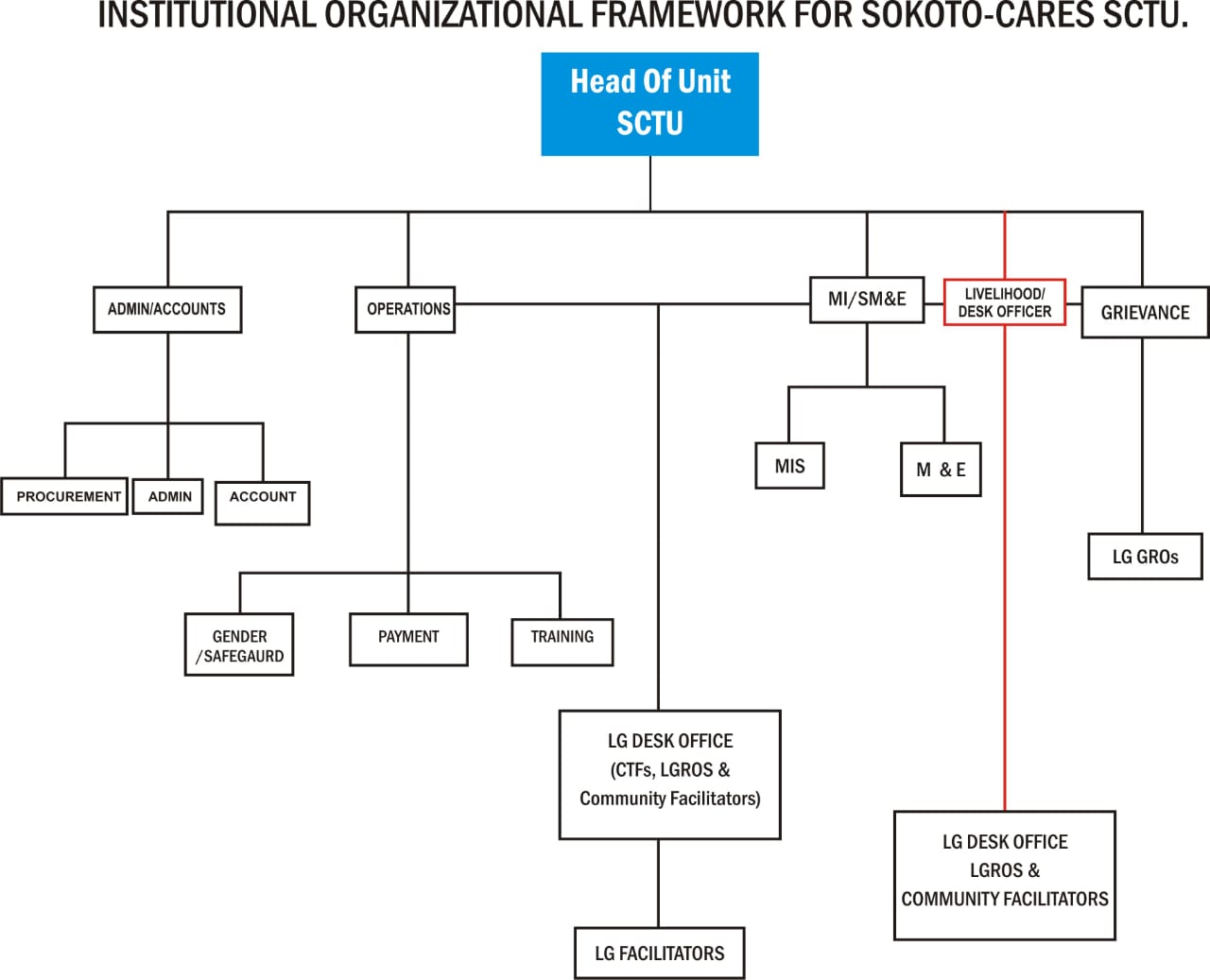
* The State Cash Transfer Unit (SCTU) has a Grievance Redress Manager who is to ensure that grievances emerging from all LGAs are investigated and responded to.
* Grievance Redress manager in SCTU will among others, coordinate complaints related to ST and Livelihood Grants. Basic roles and responsibilities of the Grievance Officers shall include receive, evaluate and redress complaints. He or she shall ensure linkages to appropriate bodies responsible for binding decisions, he or she also shall ensure the timely processing of feedbacks from complainants.
* At LGA office, a Local Government Staff has been assigned as Grievance Redress Officer (LGROs) to record grievances and forward to the SCTU Office. In selecting Community Grievance representatives, gender balance shall be ensured while creating opportunity for female and male beneficiaries and non-beneficiaries also to appeal or complain in an appropriate and un-coerced manner.

To ensure that direct beneficiaries or members of their communities have ability to make a complaint outside of their communities, Hot Line lines shall be provided for Grievance Redress. These numbers shall be disseminated to beneficiaries and their communities.

**3.1.3 Disbursement Linked Indicator 1.3: Livelihood grants.**

The objective of the livelihood grant component of Results Area 1 is to provide short livelihoods and soft skills training and one-off payments to economically active and self-employed youth and women in the State. Beneficiaries for the livelihood grants will be selected using State Social Register [SSR]. Household enterprises in the informal sector will be prioritized for targeted support. The household member to receive the grant must be productive and agile who is engaged in some form of micro enterprise. The SCTU Should shall approve and disburse grants size ranging from NGN 20,000 to NGN 200,000 based on the screening of micro- business plans submitted by individual enterprises. The SCTU shall facilitate the preparation of the micro-business plan.

KPIs to measure the success of grant activities will include number of recipients of the grant, number of recipients who have established a livelihood enterprise, and number of employment opportunities created, among others. The SCTU will submit quarterly monitoring reports on enrolment, training, and disbursements to SCCU.



**Guidelines for the operations of Livelihood Grant**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Component** | **Description** | **Responsible Party** |
| **1** | **Targeting –** Verification of Beneficiaries from the SSR or other State agreed registers acceptable to NASSCO | Where possible, Beneficiaries should be identified in associations or clusters. This provides the benefit of ease of aggregation, monitoring, post disbursement follow-up as well as M&E/sanctions where necessary. The target beneficiaries shall include self-employed youth and women with verifiable means of livelihood as listed in the table of trades below. | SCTU |
| **2** | **Enumeration –** Data Capture & Standardization | Deployment of Agent network and Field Officers to visit targeted Beneficiaries, physically and to capture all required data and information as forwarded by SOCU or SSR to high standards, for verification and M&E. | SCTU |
| **3** | **Verification –** Against defined & Approved RA-1 Criteria | Evaluation of Beneficiaries via multiple channels – phone interviews, physical visits & randomized fraud audits to ensure validity of KYC, authenticity, and eligibility for the Programme. | SCTU |
| 4 | **Facilitation, Preparation, and Review of the micro-business plan** | A simple micro-business plan prepared by the beneficiaries with the support of the facilitators shall be the basis of review by the Unit. |  |
| **5** | **Approval** | Compile all qualified and verified Beneficiaries and seek approval of the Supervising MDA. | SCTU |
| **6** | **Short-Term Training/ Empowerment Materials to Beneficiaries** | Provision of Vocational Short-Term (duration of the short-term training should be defined- weeks/months) Training and Empowerment Materials to the Approved Beneficiaries. | SCTU |
| 7 | **Payment to beneficiaries** | The payment to beneficiaries shall be one off not exceeding N200,000.00 and shall be done by the SCTU into a verifiable bank account. | SCTU |
| **8** | **Monitoring & Evaluation** | Periodic review of live reports; field visits and inspections; spot-checks dissemination across stakeholders. | SCTU |

**FOCUS**

The SCTU will focus on provision of Short Livelihood and soft skills Training/Empowerment materials to the core poor and vulnerable/ indigent in the State. This will help to support the Government effort in scaling up social safety net services that provides consumption and livelihood support to the increasing numbers of poor and vulnerable household in the state that has been affected by the effect of COVID-19 pandemic. As such the types of short Skills/ Vocational Training and Empowerment materials are as tabulated hereunder:

**TYPES OF TRADE**

|  |  |  |
| --- | --- | --- |
| **S/N** | **SHORT SKILL VOCATIONS** | **EMPOWERMENT MATERIALS** |
| 1 | Soap and Pomade Making | Chemicals, fragrance, cutting machines, sealing machines, containers, labels, |
| 2 | Catering/ Cake and Food Production | Oven, Camp Gas, kitchen utensils, baking materials |
| 3 | Barbing | Sterilizer, Clipper, Generator (Barbing Kit) |
| 4 | Artisans | As specified by the vocation |
| 5 | Asset giving to widows and other vulnerable groups | Popcorn Machine, Pepper Grinder etc as identified by the beneficiaries |
| 6 | Fashion Designing | Sewing machine, scissors, pressing Iron, work table, sewing tools, generating set. |
| 7 | Petty Trading | Vegetables, grains, nuts, fruits etc |
| 8 | Poultry | Feeder, water pot, Heater, laying nests, Egg handling Nest, Fensing, incuvator. |

**Geographical Coverage**

The Programme is designed to cater for ALL the LGAs as selected by the SCTU and approved by the Ministry for Women and Children Affairs Sokoto.

**RESULT AREA 2:**  *Increasing Food Security and Safe Functioning of Food Supply Chain*

Results Area 2 aims to mitigate the impacts of the COVID-19 pandemic on food security of the poor and vulnerable households and facilitate the safe functioning of food supply chains**.** The main impacts of the pandemic on food security and food supply chains include:

1. increase in price of major food commodities due to reduced availability;
2. disruptions to the input delivery networks have reduced availability of farm inputs and increased prices;
3. disruptions to food supply chains have created a wedge between smallholder poor farmers and the markets, leading to low farm gate prices received by farmers, increased food loss and waste at the farm-level and high food prices to consumers;
4. reduced operations of wet food markets – as part of measures to contain the spread of the virus – has affected incomes of poor farmers who sell produce in the markets and also made food less accessible to the buyers who are often poor; and
5. there is reduced supply of on-farm labour due to movement restrictions, social distancing and fear of morbidity.

## **The Programme will support the following sub-Programmes to increase food security and promote safe functioning of food supply chains for poor households:**

**3.2.1Disbursement Linked Indicator *2.1: Agricultural Inputs and Services:***

The Programme shall support groups of small-scale farmers to access various inputs and services for crops (Rice, sorghum, millet, sesame, tomato &onion), fishery and livestock production, including improved seeds, fertilizers, agro-chemicals, fingerlings and mechanization services for farmers facing Labour shortages, and extension and advisory services. The support for improved seeds will focus on varieties that are high yielding and resilient to effects of climate change, for example varieties that can tolerate drought, resist pests and diseases, and early maturing. The delivery of extension services aims to enable farmers utilize the inputs efficiently and apply good agricultural practices in on-farm production and post-harvest management. The support to increase production would be demand-driven following the Community Driven Development (CDD) approach. Farmers’ groups shall receive inputs support and extension services (including e-extension) for cops (Millet, Sorghum, Sesame, Rice, Tomato and Onion), fishery and poultry. These commodities are critical to food security needs, and value chains that are most affected by the pandemic. The extension and advisory services shall deliver Climate Smart Agriculture practices in farm operations to increase productivity and enhance resilience to impacts of climate change and variability, reduce Green House Gas (GHG) emissions through proper management of agricultural waste, and increase carbon sequestration primarily through soil conservation measures and efficient irrigation techniques. Women famers shall be specifically targeted within an emergency Programme context to address gender disparities on access to inputs and services, including by prioritizing women farmers in the provision of fingerlings and poultry. The expected outcome is increased access and use of improved inputs and services for crop and livestock production and aquaculture.

**3.2.2 Disbursement Linked Indicator *2.2: Labour-intensive agricultural infrastructure:***

The Programme shall support the rehabilitation or improvement of agricultural infrastructure to lay the foundations for recovery of agricultural production while creating short-term jobs in rural areas. The short-term jobs shall help absorb Labour released to rural areas, due to the economic downturn, into productive activities in the agriculture sector. The types of infrastructure targeted for rehabilitation and improvement are small scale irrigation (tube wells), rehabilitation of existing feeder roads and soil conservation measures (construction of culverts). The various soil conservation measures will help reduce soil erosion, improve soil quality, increase soil water infiltration and conserve soil moisture. The Programme shall support infrastructure selected through the CDD approach where farmer groups and their federations and community associations would be facilitated to prioritize and select infrastructure from a menu of eligible options. Contracts for rehabilitation or improvement of infrastructure would mandate the employment of specified number of people and Labour days, as per the norms established by the Programme. The expected outcome is increased access to improved agricultural infrastructure and short-term jobs.

**3.2.3 Disbursement Linked Indicator 2.3: Agricultural assets for production and mitigating food loss and waste.**

The Programme shall provide farmers with agricultural assets to increase capacity for food production and small-scale primary processing to mitigate food loss and waste. The support for assets shall be demand-driven and follow the CDD approach where farmer groups would be facilitated to prioritize from a menu of eligible options. The eligible assets to increase food production include replacement of small ruminants sold as part of household coping strategies to the pandemic and various physical assets for crop, livestock production (such as Sheep and Goats) and poultry. Women play a major role in small-scale processing of food and therefore support for these assets would prioritize women and youth friendly assets (grinding machines, milling machine, thresher, etc). The Programme shall place priority on assets that are energy-efficiency rated and those using renewable energy (e.g. solar powered water pumps) to reduce Green House Gas emissions. Assets shall be provided for individual use as well as common assets managed by farmer groups. In addition to delivering the physical assets, the Programme shall provide capacity building and training to the beneficiaries on the proper operation and maintenance of the assets. The expected outcome is increased access and utilization of assets to produce and process or preserve food.

**Implementation Arrangements**

The Sokoto State Fadama implementation platform shall be used to deliver the DLIs in Results Area 2. The Fadama implementation platform has been used to successfully implement the Fadama series of projects in the Sokoto for nearly three decades. The main approach used by Fadama is CDD where farmers and the communities are mobilized to identify and operationalize their development priorities through participatory approaches that are well understood by the beneficiaries.

The Programme shall utilize the existing institutional structure at the Sokoto State Fadama Coordinating Offices (SFCOs). The State Ministries of Agriculture will continue to have oversight for the activities of the SFCOs and Local Fadama Desks Offices (LFDO). However, under the NG-CARES, the reporting on activities and results achieved, shall be to SCCU for onward transmission to the SCSC and FCSU.

**A model organogram of the SFCO is below:**

**STATE CARES  
COORDINATING**

**UNIT**

**(SCCU)**

**STATE FADAMA**

**TECHNICAL**

**COMMITTEE**

**(SFTC)**

**DELIVERY**

**PLATFORM (SFCO)**

**SPC**

**HEAD MIS**

**HEAD M&E**

**TECH. HEAD**

**HEAD**

**SAFE GUARDS/**

**ENV. OFFICER**

**HEAD CD&G**

**ASST MIS**

**ASST MEO**

**3 TECH. OFFICERS**

**DLI 2.1, DLI 2.2 DLI 2.3**

**1 GRM. & ASST.**

**1 SOC. SAFE GUARD**

**& ASST**

**1 ASST. ENV. OFFICER**

**FACILITATORS**

**DESK.**

**OFFICERS**

**SUPPORT STAFF**

**ADMIN**

**PROC OFF**

**PIA**

**ICT**

**CO**

**ASST. CD&G**

**PROJ. ACCT.**

## **Overview of Project Implementation**

The State FADAMA structure shall be used in the implementation of the DLIs under the Results Area 2, they will be responsible for delivering the results in partnership with other stakeholders and for achieving the Programme objectives. The Delivery Platform shall provide technical assistance towards planning, designing and implementing DLIs activities, through a participatory method, the Community Driven Development (CDD) model and tools shall be engaged. The existing Fadama structures will be used to promote community engagement and ownership. These structures will be engaged under the NG-CARES Programme to promote community ownership and Local Government buy-in through the LFDO. The communities with support from the LGAs will be responsible for maintenance of infrastructure investments, where applicable.

The Community Action Recovery Plan (CARP) is the disbursement instrument for Result Areas 2 and will be used to implement activities under the DLIs. A strong focus will be on provision of technical assistance at the national and State level to guarantee effective system on data collection to track project activities and result.

## **State Level Project Coordination**

## **At the State level:** The State Ministries of Agriculture will delegate day-to-day implementation and coordination of Project activities in Results Area 2 to the SFCO. The SFCO will implement Project activities following the laid down procedures and approaches to ensure compliance with procurement, financial management, and safeguards requirements. The State CARES Steering Committee (SCSC) shall provide policy direction and oversight across all Programme results areas and will be responsible for reviewing and approving annual work plans. The SFCO will report to the SCSC through the SCCU. It also reports to the State Ministry of Agriculture and NFCO accordingly. The SFCO may use resources from the line ministries, including engineers and other consultant services to review, screen, and provide clearance on the technical viability of all subprojects submitted for funding where necessary. To implement the Programme with due diligence and economy, as required under the Financing Agreement (FA), State governments shall ensure that the SFCO adhere to proper guidelines and procedures on procurement, disbursements, auditing, and overall financial management, and ensure there is compliance with E&S requirements in both developing and implementing the activities.

## **Local Government Level**

**At the local government level,** the LFDO shall be mobilized to support on-the-ground implementation of the Programme. The LFDO shall review and approve the Community Action Recovery Plans (CARPs) that shall be prepared by farmer groups and apex organizations (Farmers Community Associations [FCAs]) to identify Project activities in Result Area 2. Support for preparation of the CARPs shall be provided to farmers by facilitators engaged under the Programme to mobilize farmer groups and assist them to prepare CARPs. The LFDO shall be supported by Desk Officers, who are civil servants with qualifications and experience satisfactory to the SFCO and seconded to the Programme from the department of Agriculture working closely with the State office in the implementation of the project within the Local Government Area to play the role of a clearing house for the CARPs. In addition, the Programme shall provide consultancy services, if necessary, to the LFDO to ensure the review and approval process in a timely and effective manner. The LFDO shall review and approve CARPs that meet the criteria, including demonstrating solid arrangements for operations and maintenance.

The Local Fadama Technical Committee (LFTC) shall endorse all CARPs to be implemented within the LGA and mainstream them into the Local Government Work plan and Budget. The staff of Agriculture Department at the Local Government shall be involved in all project activities at the community level. The existing LFDO at the Local Government shall serve as a Secretariat at the Local level with Local Fadama Desk Officer.

## **Community-Level Project Implementation: Farmers Community Association**

Critical community-level decisions shall take place within the community among the various beneficiaries / groups which constitute them. The FCA is a group of poor and vulnerable persons whose activities have been disrupted, indicate interest to be supported and who have been recognized by the Local and State governments. The FCA shall identify, prepare, implement, operate and maintain their sub-projects, assisted by Community Facilitators and technical specialists who have been contracted by the SFCO.

The number of FCA in a particular Local Government Area (LGA) will be between 4-10 depending on number of poor and vulnerable beneficiaries identified through a thorough assessment and the population of the area (also depending on the demand driven of farmers and the resources available, i.e, 4 – 20 FCAs per LGA). The role of the FCAs is to link the benefiting farmers with the Project to facilitate capacity-building, advisory services and investment financing of their recovery plans. To gain such access, FCAs must meet specific eligibility criteria and follow specific procedures as outlined in this operational manual. Once CARPs are endorsed by the SCCU, Subproject maintenance agreements (SMA) are signed between the SFCO and FCAs. These agreements spell out the terms and conditions for the funding, execution, ownership, operation and maintenance of the approved sub-projects. The SFCO and FCAs will now follow the procurement and financial management procedures in implementing the approved CARPs.

## **The responsibilities of Farmers Community Association are as follows:**

1. Identify community leadership who has legitimacy and authority to encourage inclusive participation through local committees.
2. Elect a management committee, including procurement sub-committee, monitoring sub-committee, Environmental and Conflict Resolution sub-committee;
3. Ensure that the subproject proposals to be implemented in the CARPs reflect beneficiaries needs and community priorities and concerns;
4. Ensure that all required procedural and substantive elements are contained in the CARPs, particularly to ensure that a broad range of constituents have participated in CARP preparation;
5. Ensure that all members receive appropriate trainings;
6. Ensure that the preparation of CARP, follows a participatory and socially inclusive process and ensure timely submission to the Local Government for review and approval;
7. Sign any necessary agreements with the Project;
8. Operate and maintain common user facilities/sub-projects, with responsibility for collecting user fees that ensure the resources needed for the operation, maintenance and future replacement of financed investments are in place; and
9. Keep records of activities and other relevant information for verification purposes.

Membership of the management committee of the FCA shall not exceed twelve (12) persons and consist of the following:

* a chairperson;
* a treasurer;
* a secretary;
* a Procurement /maintenance sub-committee (3 persons);
* a monitoring and evaluation sub-committee (3 persons); and
* Environmental and Conflict Resolution sub-committee (3 Persons).

The committee shall be transparently elected and include representatives of different groups. To ensure the representation of women in the committee, it is proposed that at least one third of the membership of the FCA management committee shall be reserved for women.

## **Community-Level Project Implementation:**

## **MEMBERS/GROUP**

The beneficiaries are poor and vulnerable members of existing groups or new groups formed along the line of economic interest. The selected beneficiaries from these groups will be profiled and organized into Farmers Community Associations. The profiling of beneficiaries will subsist for group registration for new members. Beneficiaries will be selected based on a given set of criteria. The size of a Farmers Community Association is projected to be poor and vulnerable members from 4 - 10 groups. The projected number of beneficiaries in a Farmers Community Association (FCA) is between 40 to 100 members for DLI 2.1 and DLI 2.3 and 200 members for DLI 2.2.

Each member will belong to an existing economic interest group. The responsibilities of a member/group include the following:

1. identify, through a consultative process, priority support they require;
2. provide necessary information to the facilitators assigned to work on recovery proposal that deal with members’ priority concerns;
3. carry out approved and agreed activities, with the member’s commitment to ensure sustainability of such activities; and
4. keep records of activities and other relevant information for verification purposes.

## **Results Area 2: Implementation Procedures**

**At the community level,** the SFCO will undertake information campaigns to raise awareness about the CARES Programme and explain the eligibility criteria which target poor and vulnerable households cultivating not more than 1 ha of land. Such households are likely to belong to various farmer groups, including groups established by NGOs, Agriculture development agencies under State Ministries of Agriculture, Fadama project, International Funds for Agricultural Development (IFAD) projects, and other donor-supported Programmes. Eligible households that are not members of groups will be encouraged to form new groups that will be registered by LGAs.

The proper mobilization of farmer groups is critical because many of the Programme decisions will be undertaken by farmer groups and the FCAs comprising clusters of farmer groups and various economic interest groups. These entities will employ CDD approaches to identify and prepare subprojects for the CARPs and will be responsible to execute, supervise, operate, and maintain the subprojects. A team of facilitators and other specialists will be deployed to provide related and necessary technical assistance and training support to farmer groups and FCAs. Once the CARPs are approved for financing by LFDO, they would be screened by the SFCO for technical viability, consistency with Programme design, and compliance with the applicable Programme guidelines. Upon successful screening, funds equivalent to the costs for design and implementation will be earmarked by the SFCO financial management unit for release against delivery of the contracted services/goods

The Project will adopt a phased approach to implementation of CARPs and associated sub-projects. The starting point of the CARP process is the Community Needs Assessment, using the Participatory Rural Appraisal (PRA) approach, which will describe the socio-economic setting of the community and the social-mapping, construct the livelihood profiles, identify the relevant technical, physical, environmental, and institutional constraints, leading to the development of a set of proposals designed to overcome these constraints. The Community Needs Assessment Report will be the source of information for the collective identification of the development priorities of the communities by the potential beneficiaries and the translation of those priorities into investment sub-projects and other activities to be funded under the Project. Only those sub-projects featured in the CARPs that have been prepared and approved in advance will be considered for implementation during the Programme life.

## **Targeting and Selection of Beneficiaries under Results Area 2**

Beneficiaries will be selected based on the following criteria. The procedure of selection must be transparent and accessible. The SFCO working with facilitators must ensure proper documentation and adherence to the Stated criteria.

Beneficiaries must be poor and vulnerable within existing Farmer groups. Please note the Programme definition of a poor or vulnerable.

1. **Poor** – a person within agricultural value chain whose livelihood has been disrupted by Covid-19 pandemic and living on or less than at least $ 1.25 per day
2. **Vulnerable** – a disable or physically challenged person who has no source of livelihood, or persons whose livelihood has been disrupted and eaten up by the effect of Covid -19 pandemic or flood affected victims
3. **Farm Size or Farm Holding:** The Results Area 2 shall support poor and vulnerable persons with a farm size of 0.5 hectares for crop production. This is to ensure accurate targeting of beneficiaries. Others include at most 20 poultry layers, 200 fingerlings for fish production, 2 number Sheep, 3 number Goats for livestock, one(1) bag of 50kg rice plus a gallon of groundnut oil per individual beneficiary.
4. **Size of Farmers Community Association/groups**: Size of a Farmers Community Association ranges from constituent members of four (4) to ten (10) groups within a community. Women and Youth are highly targeted, as they fall more into the category of the poor and vulnerable in the society because of lack of/limited access to finance and other resources.
5. **Relevant Enterprise**: Based on the selected value chains of each participating State, the project will support farming activities and downstream food supply activities of value addition, preservation/handling, processing and marketing that are mostly undertaken by the poor and vulnerable which have short gestation period, access to local and raw materials and manpower. Beneficiary should have been into an enterprise that is related to agriculture for this support. Beneficiary should have acquired skills that are relevant to the intended support e.g. Crop production, livestock and fish production, small-scale irrigation and other downstream activities of small scale support of agricultural produce handling, preservation and processing asset, etc.
6. Flood affected victims will be sourced from the Sokoto State Emergency Management Agency (SEMA)
7. **Socio-Economic Status of selected communities:** Beneficiaries shall live in the rural areas with limited or no access to social amenities such as Education, Road, Water, Health facilities, electricity, etc. However, beneficiaries living in semi-rural areas should have minimal access to social amenities due to lack of fund to obtain such facilities. Also, this would include relative poverty and urban poor people accessing amenities but naturally living below the expected standard of living in the urban areas.

6.**Level of commitment** – Beneficiary shall exhibit certain level of commitment such as availability of land but lack of inputs to use, shed for animal production and possess income generating ideas, assets /infrastructure that require support for optimal utilization, etc. and ultimately demonstrate sincerity and readiness to participate in NG-CARES.

1. **Level of Loss:** Members shall be affected by COVID 19 Pandemic, Flood or other crisis and have their source of living destroyed or disrupted with no means of daily sustenance or feeding.
2. Map out poor and vulnerable persons and those affected by flood in existing groups who are willing to participate in the Programme based on the following exercises/activities:
3. Focus group discussion and wealth/poor ranking;
4. Simple RRA with structured questionnaire on socio-economic status;
5. Acceptance of Physical Assessment.

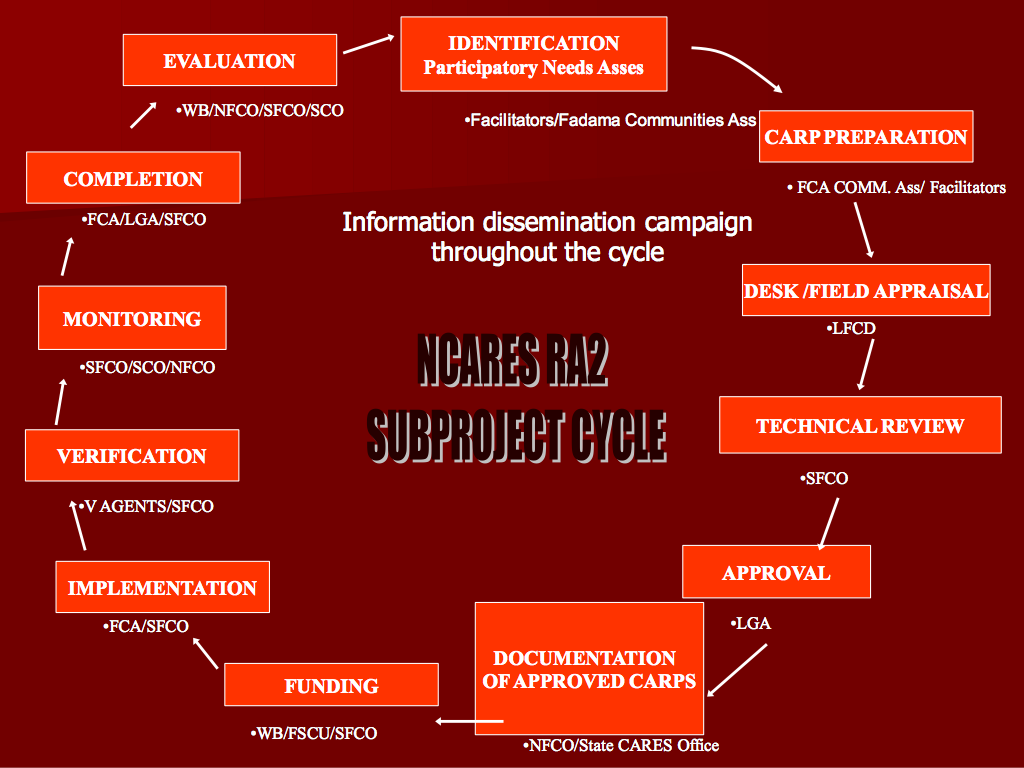
# **FACILITATION**

The participating Farmers Community Associations and beneficiaries shall require assistance in the preparation of CARP through facilitation during Participatory Need Assessment (PNA) and Participatory Rural Appraisal (PRA). Facilitators shall be engaged by and report to the SFCO. The Community Development and Gender Officer shall provide oversight function and guidance to the Facilitators. He/she shall oversee the community engagement and CDD procedures with facilitators and FCAs.

In order to enhance women involvement in the Programme and facilitate same, 30-40% of facilitators shall be female.

## **Participatory Rural Appraisal Procedure**

The development and implementation of CARPs shall be done through participatory approach which includes creating awareness among the beneficiaries and key stakeholders to ensure there is active participation at every stage, support and ownership of subprojects developed and hence guarantee sustainability. Preparation of DLIs fundable subproject proposals, CARPs and its implementation would consist of the following phases as summarized in figure below:

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**Subprojects Activities (DLI) Cycle**

## **Sensitization and Advocacy to the Local Government and Community**

Facilitators shall contact local government authorities to introduce and clearly describe NG-CARES Programme objectives, activities (Disbursement Linked Indicators – DLIs) and focus. They shall also explain criteria for participation, operations and grant provision for DLIs; the participatory process to be followed to prepare the Community Action Recovery Plan; identification and implementation of activities; roles and responsibilities of the FCAs, including preparation of Community Action Recovery Plans; implementation arrangements, flow of funds, financial management and procurement procedures; and expected outputs. The facilitators would also provide guidelines for CARPs preparations and guide on composition of the management committee.

## **Orientation of the Local Fadama Desk Office**

After sensitizing the Local Government authorities, the SFCO in consultation with the Local Government Agriculture Department shall. re-orientate the LFDO on: Project objectives, DLIs, approach, implementation and funding arrangements; roles of the team in facilitating the Farmer Community Association and mobilizing constituent Farmer Groups; participatory rural appraisal tools to be used during CARP preparation and field appraisal; and format for CARP grant request and attachments for approval.

## **Development of the Community Action Recovery Plan**

The Community Action Recovery Plan is the disbursement instrument for Results Area 2. The CARP is a detailed summary of the requirement for the community (target beneficiaries) to boost and recover their livelihood activities affected by the pandemic. The SFCO shall engage relevant facilitators to support beneficiaries to develop a community Action Recovery Plan (CARP). The SFCO shall engage and train facilitators to guide the community to go through community planning process leading to developing Community Action Recovery Plan (CARP) which shall be the basis on which activities will be funded.

The CARP shall comprise at a minimum: (a) agreed mechanisms for financing the operations and maintenance of Enterprise Recovery Plan (ERPs) (b) an agreed list of priority infrastructure subprojects that are technically and economically feasible, environmentally sustainable, and shall contribute toward raising the productivity and incomes of participating Groups; (c) a list of constraints and opportunities to be addressed through advisory services; (d) a list of assets for production and processing of agricultural produce, (e) a plan for training and building the capacity of Community members in financial management, community-based procurement, social and environmental impact screening of subprojects, conflict mitigation and management and other aspects of organization and management of the associations; (f) identification of beneficiary group and enterprise; (g) an agreed mechanism to manage and resolve conflict, mitigate environmental and social hazard within the community of intervention. The SFCO shall also finance information dissemination about NG-CARES and its guidelines to potential beneficiaries; and implementation of communications activities.

The Facilitator shall support the Farmers Community Association to develop their Community Action Recovery Plan (CARP) by using a planning matrix to articulate problems, causes, solutions, and proposed actions for recovery of enterprises affected by Covid 19 Pandemic; identify required support needed to revamp the economic activities of the poor and vulnerable in these groups, it shall also cover time to start and finish each activity, resources required and their sources. Facilitators shall guide the committees to ensure that the CARP shows the step-by-step implementation and costs involved and indicate contributions by various stakeholders. The CARP shall also show the financing plan and implementation, operation and maintenance arrangements. Once the CARP is completed and adopted as the collective investment priorities of the FCAs, the FCA Management shall fill the attached grant request forms and approval page and submit a copy of the CARP to LFCD and retain a copy with the FCA and subsequent groups that forms the FCA for their records. CARPs are submitted by FCA with the assistance of Facilitators and are screened by the LFCD for technical eligibility and approval. If cleared by the LFCD, the Head of Agriculture would sign-off, the CARPs are then sent to the SFCO for final technical review and to ascertain compliance with Programme objectives and applicable guidelines in the PAD and if cleared by the SFCO, is forwarded to the SCCU for endorsement. Subsequently, the FCA enters into a Sub-Project Agreement (SPA) with the SFCO. The SPA shall spell out the terms and conditions for the subproject funding, ownership, operation and maintenance of the approved subprojects. DLI 2.1 and DLI 2.3 shall be implemented by the FCA through community-based procurement procedures while DL1 2.2 and DLI 2.4 procurement activities will be coordinated at the SFCO. For the implementation of DLI 2.1 and DLI 2.3, the SFCO shall work with SPA and releases the necessary funds to the bank account of the Service Provider selected through competitive procedure by the FCA in tranches.

**Community Needs Assessment and Prioritization**

The community needs in terms of infrastructure will be taken into consideration at this point. The SFCO through the facilitator shall ensure that the critical stakeholders in the community are present and participated in the formulation of the Community Action Recovery Plan. The CARP shall serve the interest of the entire community beyond members of the FCAs. The Facilitator shall guide the FCA to identify all the needs of the community and prioritize needs while exploring all possible solutions. The community needs shall be listed and costed in line with the selected DLIs and within the confine of allocated costs. This shall be translated into a plan of activities with cost using the CARP template. All necessary attachment shall be provided by the FCAs as required.

## **Collation and Screening of CARP**

The submitted CARPs shall be collated at the LFDO for review and documentation. The LFDO shall undertake a desk and field review to ensure the CARP meet the Stated criteria. Successfully screened CARPs shall be forwarded to Head of Agriculture who approves on behalf of the Local Government Chairman. Approval shall be communicated by the LFDO to the SFCO and FCA through the Community Facilitator.

### Technical Evaluation of Screened CARP

The SFCO shall collate and technically screen CARPs to ensure its feasibility and adherence to Programme objectives, procedures and output. A committee shall be constituted by the SFCO to oversee this assignment. The FCA shall be informed of the outcome of the review, if there are adjustment to be made, this shall be done and an updated CARP resubmitted. After the approval is given by the local Government, details of the CARP shall be uploaded into MIS data base. The FCA shall be informed on the status of the CARPs and a clean copy shall be handed over to them for their information and documentation.

### Community Procurement Procedures

Community procurement procedure shall be utilized to implement DLI 2.1 and DLI 2.3 at the FCA level while SFCO shall handle the procurement of service under DL2.2 and DL2.4. (details under procurement section). The facilitators shall work closely with the FCAs, especially the procurement sub-committee to provide the necessary assistance and link among the FCAs, SFCO and Service Providers. The process includes signing of Subproject Maintenance and Implementation Agreements between SFCO and Farmers Community Associations, follow up payment of approved costs to Service Provider after due adherence to procurement guidelines and ensuring delivery of goods and service as Stated in the approved CARP. The SFCO shall notify the NFCO and SCCU on the commencement of procurement activities in the CARPs. The NFCO shall provide technical guidance on procurement and financial management to the States where necessary.

**Implementation of sub projects**

The SFCO shall guide the implementation of every activity in the approved CARP, the LFDO and the PIU must provide technical assistance to the FCAs in ensuring quality services and goods are delivered as Stated in the approved CARP. The technical officer, Community Development & Gender Officer, Procurement officer and other PIUs shall work closely with the facilitator and the FCA management to ensure compliance to the project guidelines and satisfaction by the beneficiaries. The SFCO shall liaise with FCA sub-committees in the execution of assigned responsibilities, which include environmental and safeguard measures and Grievance Redress Mechanism (GRM) in case of conflicts and dispute among members. Adequate documentation would be maintained at the FCA, LFDO and State levels. The NFCO shall provide guidance to States on CARP implementation where necessary.

## **Monitoring of DLI Activities**

The SFCO and LFDO shall regularly visit communities to monitor implementation of project activities. Facilitators are to reside in these communities as they are the project foot soldiers and must be available and accessible always. The PIU shall undertake field visit to the project site to track implementation and report to the SCCU, Ministry of Agriculture and NFCO periodically or as the need arises.

# **REVIEW AND APPRAISAL PROCEDURE AND CHECKLIST**

**CARP Subproject Checklist.**

The LFDO shall conduct desk appraisal to verify that:

1. The proposed activities are in line with NG-CARES objectives and mandate;
2. Evidence of FCA Existence,
3. List of Membership
4. Existence of elected management committee (Procurement, Environment and Conflict Resolution, M&E sub-committees etc.)
5. Provision for environmental mitigation measures
6. The Grant Request and Approval pages are correctly filled and completed;
7. Means of identification of members, proof of registration (for existing groups), etc.
8. Constraints identified that would be addressed by the proposed subproject;
9. Subproject design, supervision arrangements and costing;
10. Maintenance/operation funding arrangement and agreement;

- Itemized costs to operate and maintain infrastructure construction or improvement,

- Define contribution (user fees or individual contribution);

1. Availability of support services such as extension, advisory services, Capacity building, etc.;

The LFDO, after verifying and being satisfied would sign a desk review form, attach it to the proposal. If the proposal does not qualify, it will be returned to the respective FCA for improvement.

## **Field Appraisal**

The LFDO shall work with the facilitators to carry out the field appraisal to verify the information in the documents reviewed at desk appraisal and collect additional information through discussion with user group(s) and other stakeholders in the area during the field appraisal. The key points for the appraisal team to note during field would include:

* **Target Group:** The team should verify that the beneficiaries are the target groups, that is, the poor and vulnerable members of existing farmer groups; and that the subproject is located within the Local Government area where they are lacking the requested support or infrastructure.
* **User Groups Participation:** The team should review the minutes of meetings of FCA and, if necessary, directly interview the beneficiaries and establish whether the proposed subproject is a priority need, and if they have participated in the participatory planning process to identify the subproject in question and if the management committee is democratically elected Verify their commitment, capability and willingness to serve.
* **Technical Aspects:** The subproject design should comply with the expected appropriate standards, and the site proposed for the subproject should be suitable. Also check the availability of skilled and unskilled labour and other materials, etc., and the execution and supervision of the proposed subproject. States may develop prototype designs that meet their peculiarities.
* **Implementation Arrangements:** Discuss the implementation arrangements with the FCA and other stakeholders, the timing, mobilization and modality of contracting.
* **Gender:** Assess the level of women and youth involvement in planning and implementation, and whether the proposed subprojects would benefit them. 40% beneficiaries must be women.
* Establish that the subproject has been environmentally screened.
* **Sustainability:** Verify the capacity of the user group to operate and maintain the subproject after its completion in terms of technical expertise required and bearing the recurrent costs. In some cases, upfront agreement must be reached with the FCA/Cluster for the operation and maintenance of infrastructure investments made. Also identify the training required to ensure on-going maintenance and participate in the running of the subproject.

## **APPROVAL OF SUB-PROJECTS IN THE COMMUNITY ACTION RECOVERY PLAN**

The approval of CARP shall be at the LFDO. The LFDO will serve as a secretariat to the Programme at the Local Government and would present CARPs as approved by the Head of Agriculture Department of the LG and other relevant documents for endorsement to the SFCO.

The documents for the sub-projects approved by the LFDO would be compiled and a report submitted to SFCO with the following information:

1. Minutes of the FCAs meeting(s),
2. Grant Request form and covering letter,
3. Other relevant documents (BEME, beneficiaries’ mean of identification, desk and field appraisal report, etc.).

Within one week after the receipt of CARP approval from the LFDO, the SFCO shall inform the Farmer Community Association (s) on the decision made on their proposals.

**Implementation Imperatives, Process and Arrangements**

**Disbursement Linked Indicator 2.1: Support to increase food production**

The Programme will support government interventions that allow groups of small-scale farmers and those affected by flood to access various inputs and services for crops (Millet, Sorghum, Sesame, Rice, Tomato and Onion), fishery, poultry and food assistance including mechanization services for farmers facing labour shortages, extension and advisory services (including the use of e-extension).

**Mechanisms for operationalization of Activities**

A multi-prong approach would be used to implement the Component’s activities that would include but not limited to the following:

1. ***Generic***: this will involve the following;

* Workshops, meetings, publications, use of mass media and existing community information systems.
* Facilitation of farmer type, gender disaggregation, interest-oriented needs assessment, priority setting and planning.
* Use of consensus building and collaborative learning mechanisms to build farmers management capacity.
* Use of NG-CARES procedures and guidelines for contracting services.
* Conduct of community level needs assessment for farmers and elected leaders.
* Regular collection, analysis, simplification and dissemination of information to and from farmers and other stakeholders

1. ***Inputs and Mechanization Support*:** The project would utilize the local input and output marketing and distribution network to ensure sustained availability of inputs and services. The participating household members will receive agriculture packages based on their demand. The group would procure the inputs in accordance with the agreed community-based procurement guidelines.

* A harmonized Paper Voucher would be used in the delivery of input support for crops, livestock and fishery. Also, Mechanization support for eligible poor and vulnerable beneficiaries selected on the basis of the listed criteria, will utilize the same paper voucher approach in its delivery. The paper voucher printed in English language (which could be translated into local language where necessary) authorizes an FCA to receive predetermined quantity of inputs from a specified Agro-dealer. The voucher will be designed and printed with special markings agreed by the SFCO to ensure that it could not be duplicated easily. The FCA will be responsible for ensuring that the procured inputs are used for the intended purpose, and thus must oversee management of the procurement process.

***Instrument for Effective Implementation of the Input Support for Crops, Livestock and Fisheries***

* Input must be requested as a package based on technical recommendation (for example, a request for an improved variety of millet must be accompanied by the request for other inputs that form the package such as fertilizers and herbicides etc). Also, the crop variety must be one that is suitable for the agro-ecological zone;
* Mechanization support will target the elderly, women headed households, physically challenged and the very weak amongst the beneficiaries in the FCA;
* FCA will be guided in selecting agro-dealers that provide the inputs;
* SFCO will ensure enforcement of quality control regulations to protect farmers;
* Provision of market information and intelligence on input and output markets;
* The use of the voucher system in paying for input support.

***Application, Review and Disbursement Procedure for Inputs Support for Crops, Livestock and Fisheries***

The sequence to follow in requesting, approving and disbursing the inputs support for crops, livestock and fisheries would be as below:

* The application is initiated by the FCA based on the technical advice of the ADP extension agent (EA), Subject Matter Specialist (SMS) or Advisory Services and Input Consultant (ASIC).
* The FCA will produce a summary of FCA request for input in the Summary Form and submit same to the LFDO at the LGA.
* LFDO will review and approve the input support request applications.
* LFDO will forward the paper and/or electronic copies to the SFCO.
* SFCO will screen and/or verify the submissions to ensure conformity with the enshrined guidelines as stipulated in the Operation Manual and accordingly sign the subproject Agreement for inputs support with the FCA.
* SFCO will then generate the e-code for the voucher paper and give to the FCA the paper voucher that contained the generated e-code for the redemption of specified inputs from the specified Agro-Dealer.
* Upon receipt of the delivery note for the received inputs by the FCA, the SFCO will verify the Agro-dealer’s submission through a field report written by the ASIC/facilitators and/or relevant PIU officers and effect payment accordingly.

As much as possible, FCAs would be encouraged to aggregate their inputs requirements at community level for procurement purposes. This approach of aggregating and procuring of the entire FCA inputs requirement is to take advantage of economy of scale and reduction in the transaction costs.

The FCA will use community procurement to procure the inputs. To ensure quality, the Technical Officer/s will guide this process with support from ASIC through provision of specifications and verification of quality of inputs before and after delivery. The FCA will, using specifications drawn by the Technical Officer/s, undertake the procurement of inputs for all its members. As provided for under the composition of the Management Committee at the FCA level, three (3) members will be selected from amongst the benefiting membership to constitute the Procurement Committee (PC).

***Negative List of Activities Not Eligible for Inputs Support***

The following user groups’ activities will not be eligible for input support under the Project:

1. Use of fertilizer and agro-chemicals that would affect human health and encroach upon critical ecosystems, including riverbanks, residential and public houses.
2. Input supported farming activities that would have a high risk of disturbing the ecosystems such as agricultural expansion and pollution;
3. Input support for farm activities that would violate traditional and cultural norms and beliefs.
4. *Advisory Services and Inputs Consultants (ASIC) for Production Enterprises*: Lessons learnt from the implementation of the Fadama series showed that the relevance of the Advisory/Extension Services is so critical to the success of the Project. However, further analysis of the achievements revealed that this activity is more critical in the NG-CARES and the risks of not delivering the project expectation are high. These risks which comprise of collusion, under usage of inputs, mis-application of inputs, late/quick response time, poor understanding/uptake of new technology, inaccurate documentation of farm size and yield/output, etc., would be better mitigated by engaging an ASIC who would help put the project on a sound foundation upon which success/result could be guaranteed. The ASIC would be attached to 5 – 7 FCAs cropping about 50 -70ha, 30-50 Livestock Farmers and at most 20 Fishery Farmers. The ASICs are to raise red flags to draw the attention of the SFCO to critical issues that would militate against the project objective. FCAs will select the service providers among the registered and certified ASICs, sign a contract, implement and monitor the activities. The Result Area will also create awareness among the Nigeria Agro dealer Network in order for them to set up services in the intervention sites.
5. *The advisory and extension services as well as other proposed capacity building activities* of farmers and local communities, will be tailored with the goal to increase climate awareness and build an enabling skillset for the adoption of Climate Smart Agriculture methods and technologies. The training Programmes will build both technical (production, processing, agribusiness, business development) as well as practical skills related to delivery of extension (for example, participatory extension management, value chain-oriented, demand-responsive and ICT-driven agricultural extension and professional and social skills), in close partnership and collaboration with the ongoing ICT-driven advisory services under the parent project.
6. *Improving utilization/demand for nutritious foods in farming households*. Nutrition advice will be integrated to extension via multiple means, based on findings of a global good practice study. The options include for example, nutrition in the extension curricula, training of agents, nutrition via e-extension (such as community radio, media vans) and targeted nutrition advice to women EIGs, promotion of consumption of nutritious foods (to increase demand side for nutrition) especially by the most nutritionally vulnerable age groups (women and children). This would also include provision of basic information on infant and young child nutrition, communications on basic nutrition messages for rural families; incorporation of indigenous foods in family diets; improved water, sanitation and hygiene practices; Food Preparation techniques (nutrient preservation; new recipes); The module will identify and exemplify diverse delivery channels, for example, formal training of farmers, ICT based nutrition Programmes, coordination with health ministry and other concerned agencies.

**Disbursement Linked Indicator 2.2: Labour intensive Agricultural Infrastructure***:*

The Programme would support the rehabilitation or improvement of agricultural infrastructure to lay the foundations for recovery of agricultural production while creating short-term jobs in rural areas.

**Implementation Procedure:** The Agricultural infrastructure subprojects are to be identified by the community together with complementary services which would be reflected in the Community Action Recovery Plan (CARP). All infrastructure shall be administered by the SFCO with technical support by NFCO. Subprojects shall comply with the technical, economic, environmental and social safeguards criteria. Prioritized infrastructure would generally be rehabilitation activities, contracts would mandate the employment of a specified number of unskilled labour and labour days, as per the norms established by the Programme. The component will be scaled up to finance the interventions in the areas of:

Drilling of small scale irrigation (tube wells), existing feeder roads and soil conservation measures (construction of culverts). The project will support various soil conservation measures that will help reduce soil erosion, improve soil quality, increase soil water infiltration and conserve soil moisture.

**Eligibility criteria for Community Association to benefit under Labour Intensive Agricultural Infrastructure include:**

1. The community must be confirmed to have met the specified conditions for the existing and newly emerging community/vulnerable and poor households to have been affected by the COVID-19 pandemic.
2. The subproject to be implemented must be part of the approved CARP, and the site specific safeguard instrument must have prior approval of the World Bank.
3. The Community Associations must have received training on the following:
   * + Procurement and financial management procedures;
     + Safe storage of materials;
     + procedures for environmental impact screening,
     + recording and reporting of minutes; and
     + operation and maintenance of the infrastructure investment subproject;
4. The period for rehabilitation of the infrastructure subproject implementation should not exceed twelve weeks.
5. The Community Association must have a maintenance plan for the infrastructure and must have set up the appropriate sub-committees on procurement, monitoring and maintenance.

The Community Association then proceeds through the following approval processes in order to benefit from infrastructure services:

1. SFCO in collaboration with the LG shall validate the infrastructure submission in the CARP and prepare detailed engineering report and designs with cost estimates of the infrastructure required by the community association within the threshold.
2. The SFCO shall hire the service of an experienced Individual consultant on time based through a competitive process to provide the required site supervision for infrastructure subprojects within the period of subproject execution and ensure timely delivery. The details of the consultant engagement shall be contained in the TOR to be prepared by the SFCO with guidance from NFCO. The FCSU will provide general oversight functions.
3. For purpose of ownership and sustainability, the benefiting community Associations must fill out the subproject application form as required in the Guidelines for Subprojects), sign and submit to the Desk Officer at the LGA and a copy to the SFCO for screening and documentation.
4. Timeline for the execution of the subproject shall be Stated in the submission by the FCA and contract award agreement.
5. The SFCO shall issue contract award through competitive procurement process and certification at the completion of subproject. However, to ensure control and quality assurance, the desk officer at the LGA level will undertake day to day inspection of works and submit report with recommendation to the SFCO. The SFCO will carry out physical validation and certification on the report from consultant and Local Cares desk officer before payment.
6. The SFCO shall ensure proper documentation of all contract awards and processes.

**Disbursement Linked Indicator: 2.3 Agricultural Assets for Production and Mitigating Food Loss and Waste.**

The Programme shall provide farmers with agricultural assets to increase capacity for food production and small-scale primary processing to mitigate food loss and waste. The support for assets would be demand-driven and follow the CDD approach where farmer groups would be facilitated to prioritize from a menu of eligible options.

**Implementation Procedure:** Assets to be funded shall be selected through the CDD approach with complementary services and must be reflected in the CARP either as a group or individual asset. Eligible assets include replacement of small ruminants sold as part of household coping strategies to the pandemic and various physical assets for crop, livestock and fishery production. The procurement of approved assets shall be through community procurement by reliable service providers/Fabricators certified by the SFCO. The SFCO shall screen and compile the list of certified selected service providers with integrity and delivery capacity within the State to provide services to the communities. The assets package to be procured shall be combined with the required training on operations and maintenance and shall meet the approved technical specification by the groups and the CARES deck Officer at the LGA. Engaged service providers shall provide the groups with the needed training on operation and maintenance of the Asset and shall be willing to provide aftersales service in case of breakdown. The SFCO shall train the community and provide guidance on community procurement and documentation. Asset Voucher similar to input voucher under result area 2.1 shall be developed and would be used in the delivery of asset support for individual and groups. The facilitator contracted by the project shall work closely with groups/FCA to ensure assets supported are well utilized and shall submit report on asset utilization, operation and maintenance on quarterly basis to SFCO. The FCSU shall provide the oversight functions and harmonize report from participating States.

**Eligibility criteria for groups to benefit:**

* 1. The group must be confirmed to have met the specified conditions for the existing and newly emerging community/vulnerable and poor households to have been affected by the Covid-19 pandemic.
  2. The subproject to be implemented must be part of the approved CARP and the site specific safeguard instrument must have prior approval of the World Bank.
  3. The groups must have received training on the following:
* Community procurement and financial management procedures (ii) savings culture and financial literacy (iii) procedures for environmental impact screening, (iv) recording and reporting of minutes; and (v) selection of reliable service providers.
  1. The delivery time of Asset by service providers after award of contract should not exceed 4 weeks.

**Programme Target Beneficiaries**

1. Poor Farmer with 0.1-0.5 Ha for crop production
2. Livestock farmer and Fishermen with small farm holding
3. Widows/Widowers with large dependents and no source or meagre source of income;
4. Persons living with disabilities with no source of livelihood;
5. Youth with no source of livelihood and willing to engage in agricultural enterprise;
6. Upstream and downstream processor
7. Poor and vulnerable members of other economic interest groups in the value chain affected by COVID 19 flood affected victims.

**PRIOR RESULT**

The Sokoto State Government had made concerted efforts towards the improvement of agricultural sector in the State through various policies and interventions. The State Government in its continued efforts to encourage agricultural production, had implemented many laudable programs aimed at moving agriculture forward through its various Ministries and Agencies to increase agricultural output, ensure food security and poverty reduction of its citizen through job and wealth creation. The Government provide support annually to farmers through the provision of subsidized agricultural inputs and equipment, such as fertilizer, agro-chemicals, seeds and other support services, thereby fulfilling our obligation of supporting the needs of our farmers.

In view of this intervention, The Sokoto State Fadama CARES Program will consider all agricultural inputs support of the Sokoto State Government to farmers as prior result.

**DUTIES AND RESPONSIBILITIES OF PROGRAM IMPLEMENTING UNIT STAFF**

***State Programme Coordinator***

**Duties:**

* be responsible for the overall coordination of NG-CARES for Result Area II in the State;
* manage the activities and personnel of the Result Area II;
* provide implementation guide to the PIUs/LFDOs as may be agreed from time to time by the Federal CARES Technical Committee.
* develop yearly work plan and financial budgets for the State Result Area II of the NG-CARES;
* manage project funds and resources in line with Bank’s guidelines and procedures;
* conduct periodic monitoring and evaluation visits to LFDOs and communities across the State;
* ensure that the Project is focused to achieve the goals stated in the Result Area II annual work plan and budget;
* prepare and deliver all required Programme reports and yearly audited accounts to the Chairman of SCSC, relevant government agencies and the World Bank and as may be required;
* Reports to the Chairman of the State CARES Steering Committee.
* Carry out any other duties as may be assigned through the Chairman of the State CARES Steering Committee.

**Technical Officer**

**Duties:**

1. Provide technical support to Result Area 2
2. Liaise with MDA’s to provide support to Result Area 2 for synergy
3. Provide technical support in formulating TOR for service providers for quality delivery
4. Ensure that seeds varieties that are higher yielding, early maturing and resilience to climate change are provided.
5. Ensure that the agro- advisory/ extension service providers deliver on climate smart agricultural practices.
6. Report to State Program Coordinator.
7. Carry out any other duties as may be assigned by the State Program Coordinator.

**Procurement Officer**

**Duties:**

1. Be responsible for the maintenance of Procurement data base on correct and current prices of required goods and services
2. Be responsible for the collection of bidding documents for goods, works and Consultancy services
3. Be responsible for the issuance of job order, local purchase order (LPO) as many be directed by the procurement at the State level.
4. Prepare and submit procurement status reports on a quarterly basis as part of financial monitoring report at State level
5. Maintain comprehensive and up to date information on all procurement at the State level
6. Preparation of Procurement Documents (Inclusive technical Specifications) for the acquisition of Goods and Services
7. Prepare Evaluation reports for all evaluation of goods and services
8. Ensure that Procurement Plans are implemented as scheduled
9. Effectively manage all contracts and ensure that deliveries (quality/quantity/time) are in line with contract provisions
10. Evaluation and Selections of consultants and suppliers within agreed Procurement regulations and processes
11. Maintenance of procurement data base on correct and current prices of required goods and services
12. Be responsible for market price analysis
13. Be responsible at State level including procurement planning design, implementation, management and training.

**Community Development and Gender Officer**

**Duties:**

1. Ensure the integration /participation of vulnerable groups and gender in the work plan and budget as well as Carp beneficiary groups in the Sokoto NG-CARES programme.
2. Assess the capacity and training needs of beneficiary groups of Sokoto NG-CARES on gender Integration and mainstreaming.
3. Analyze actions, traditions and cultural aspects hindering women participation in the programme or uptake of programme output (e.g new knowledge, improved practices, technologies, etc) and stimulate strategic approaches to improve participation.
4. Develop approaches based on national and international standards and good practices in combating GBV, SEA and SH effectively.
5. Assist programme team to design and incorporate appropriate vulnerable groups (including gender) issues into programme activities.
6. Stimulate strategic approaches in the subject practice area taking into account needs of location and equal opportunities to all beneficiaries, especially the gender and vulnerable groups to exploit all-encompassing public goods.
7. Facilitate in complementing mainstreaming strategy with targeted intervention to promote social inclusiveness.
8. Liaise with technical committee and other relevant heads to identify needs emerging from NG-CARES programme especially as it relates to inclusiveness in facilitation and implementation.
9. Promote the adaptation of risk-based approaches that aim to identify key programme related risks of GBV/SEA/SH and contribute to putting into place measures to prevent or minimize at a minimum risk.
10. Prepare monthly, quarterly and annual reports of the department unit.
11. Prepare and cost yearly work plan for mainstreaming gender and vulnerable groups’ activities into the NG CARES programmes.
12. Develop, Maintain and disseminate comprehensive knowledge base on vulnerable group perspectives to promote staff awareness in the area and provide information as may be required for different purposes.
13. Revise and ensure that the standardized procurement documents outline the key SEA/SH requirements including the bidders code of conduct (CoC), contracting NGO CoC at community level and other relevant documents.
14. Maintain links with and update knowledge of other relevant agencies’ programmes on mainstreaming vulnerable groups into development agenda.
15. Influence processes through adoption of good practices learned from inter-agency collaboration.
16. Provide support to SCCU in collaboration with state GBV sub sector working groups in the identification of GBV service providers (Including NGOs CSOs, women groups) with support from state Ministries of Women Affairs.
17. Coordinate activities with relevant desk officers of the State Ministry of Women Affairs to develop measures to address programme GBV risks.
18. Support SCCU and implementing platform/State GBV subsector working group to reassess the SEA/SH risks as programme implementation progresses and ensure that the mitigation strategy is updated for newly identified risk.
19. Using a survivor-centric approach as the main guiding principle, strengthen the GRM of the programme with SEA/SH sensitive reporting channel to ensure effectiveness in the recording, processing and referring complaints to service providers, while engaging with project beneficiary communities as well as systems to protect them from SEA.
20. Ensure that at the LGA level, the LFDO is well organized to support implementation of the pogramme.
21. Ensure that sensitization and awareness campaign to raise awareness about the NG-CARES programme and explaining the eligibility criteria which target poor and vulnerable household’s is in place.
22. Ensuring that a team of facilitators and other specialist are deployed to provide related and necessary technical support to farmer groups and FCAs.
23. Ensures proper documentation and adherence to the stated criteria when selecting beneficiaries.
24. Providing oversight function and guidance to the facilitators and also oversee the community engagement on CDD procedures.
25. Ensure that facilitators are trained to guide the community to go through community planning process leading to developing Community Action Recovery Plan.
26. The CD&GO will work closely with other PIUs, facilitators and FCAs management to ensure compliance to the programme guidelines and satisfaction by beneficiaries.
27. Undertaking field visit Together with the PIU to the programme site to track implementation progress.

**Head Safeguard**

**Duties:**

* Report to State Programme Coordinator
* Organized local level capacity building and interaction programme on contemporary issues to be tracked by social safeguard
* Monitor and report on the social performance of the programme and the implementation of the programme Action Plan as documented in the ESSA
* Support the programme (including participating LGAs) in the development, adoption and implementation of the voluntary land donation protocols.
* Prepare tool and notes for use in the programme based on the relevant social policies acts and regulations/ directives of the Government of Nigeria and the World Bank’s Environmental and social frame work and ESSA
* Provide leadership /build capacity of community facilitators and desk officers the delivery platform in the state to carry out social screening of micro project activities as provided by ESSA,PAPand VLD
* Support the programme in the development of guidelines and manuals for mainstreaming stakeholder’s engagement process, environmental and OHS issues (Including training on the use of PPE and adherence to basic safety protocols) into implementation of the programme.
* Coordinate and guide consultant to be engaged to prepare specific social safeguard instrument (EIA, ESMP, ESSP, ) for consultant and studies
* Visit and access various sites under the project to monitor the progress of social improvement activities and compliance with World Bank’s Environmental and social framework
* Access the adequacy of implementation of safeguard s and mitigation measures and the capacity of the institutions and responsible for social safeguard, as they relate to the beneficiary group responsibilities
* Provide technical problem – solving support and selective training to individuals and stakeholders responsible for implementation of safeguard process and mitigation measures
* Train programme staff on how to identify necessary social requirement for the programme
* Produce monthly, quarterly and annual reports in manner understood by non – technical people for effective dissemination purpose
* Developed internal social guidelines for the preparation and implementation, monitoring and reporting of various instruments
* Review from a social safeguard point of view –safeguards screening report, ESMPs mitigation actions, OHS and other social safeguard document prepared by the programme to ensure compliance with relevant policies of the Government and the World Bank’s Environmental and social framework
* Coordinate field visit to ascertain if the grievance redress mechanisms established for the

Programme is operationalized and functioning appropriately and the individual subproject are implemented in socially sustainable manner

* Facilitate the implementation of the project’s grievance redress mechanisms (GRM)

by monitoring the status of grievances, maintaining documentation and reporting through monitoring reports

* Responsible for evaluation processes (social aspect) at community level through community facilitators for consultants and contractors
* Coordinate the development of security needs assessment (security plans) terms of reference and implementation of security plans
* Other activities assign by the State Programme Coordinator

**GRM Officer**

**Duties:**

* Report to the head of safeguard
* Ensures proper coordination in GRM implementation between state and FCAs through community facilitator
* Provide technical guidance for GRM implementation including field visit
* Received summary reports and summary sheets on the GRM implementation from all participating FCAs
* Responsible for resolving escalating issues from participating FCAS
* Ensures review of information from FCAs emails, phone calls, and text messages and follow up on the resolution / feedback complaint through community facilitators
* Ensures that GRM strategies include in the work plan
* Provide technical guidance to participating FCAs in the GRM implementation through the community facilitators
* Ensures that escalated grievance is tracked, resolved, feedbacks provided and resolution documented
* Coordinate grievance uptake channels ensuring they are adequately resourced at all levels from FCAs to state PIUs
* Provide support in the roll out of GRM approach in implementing FCAs through community facilitator
* Received and document report on GRM activities and implementation from participating FCAs through community facilitator
* Keep record of escalated grievance at FCAs level
* Operate dedicated phone for grievance
* Publicize GRM channels, structure I collaboration with the programme communication team to ensure awareness of GRM at the FCAs level through community facilitators
* Provide monthly, quarterly report on grievance to the state programme coordinator

**Head, Monitoring and Evaluation Officer**

**Duties:**

1. Be responsible for overseeing the monitoring and evaluation of the NG-CARES;
2. To utilize Programme M&E framework, which is web-based, to guide tracking of Programme activities within the context of its objective;
3. provide input, for the implementation of a Programme M&E framework;
4. ensure compliance of Desk officers/FCAs/Facilitators on the use of the approved formats for capturing appropriate data;
5. Organize periodic (quarterly) monitoring and evaluation visits to Desk Offices/FCAs and meetings with State other stakeholders to review performance vis a vis target;
6. facilitate mid-term and end-of-period review to assess overall performance/ impact of the Programme on targeted and unintended beneficiaries;
7. provide a feedback to stakeholders through preparation of quarterly and bi-annual reports Result Area 2;
8. provide technical guidance for related studies on the Programme;
9. be responsible for formulating TORs and supervise delivery by service providers as they relate to M&E activities;
10. facilitate and supervise the activities of third-party monitors under Result Area 2;
11. assists the State Program Coordinator in the preparation of annual work plan and budget.
12. organize and conduct monitoring and evaluation (PME) workshops and training for project staff including Desk officers and community facilitators;
13. Carry out any other duties as may be assigned by the state program coordinator.

**Monitoring and Evaluation Assistants**

**Duties:**

1. Report to the Head, M & E in monitoring and evaluation of Result Arae II;
2. provide input, related to the assigned states, for the implementation of a Programme M&E framework;
3. assist in ensuring compliance of Result Area II on the use of the approved formats for capturing appropriate data;
4. assist in organising periodic (quarterly) monitoring and evaluation visits to states and meetings with RA II PIUs to review performance vis a vis targets;
5. assist in ensuring regular collection and analysis of Programme assessment data for Result Area II;
6. assist in facilitating mid-term and end-of-period review;
7. prepare and submit to the Head, M&E monthly, quarterly and annual reports on activities the FCAs;
8. Carry out any other duties as may be assigned by the National Coordinator.

**Management Information System (MIS) Officer**

**Duties:**

1. Be responsible for overall information system management
2. Advise on hardware network design and hardware (technical specification) acquisition.
3. Maintain the database information documentation
4. Analyze the entire project data for use by management in guiding decision
5. Coordination of data entry and file uploads into system to be used by the FCAs on a regular basis.
6. Coordinate Management of Electric Data Pertaining to the Result Areas II FCAs including Soft Copies of letters, Reports, and Numerical Data. This may involve conversion of data and report in hard copy to electronic form as well as storage in an organized filing system.
7. Establish and regularly update GIS poverty Map for the LGAs under Result Area II benefitting from the NG-CARES intervention.
8. Work with facilitators to ensure consistency and comparability of information formats for collection and dissemination of data.
9. Regularly provide technical support to facilitators and Desk officers on data capture.
10. Support the Transition of digital based automatic system with data of all registered beneficiaries uploaded into the central database. This comprise the documentation of beneficiaries’ identity (pictures, bio-data, coordinates of farm/enterprise and biometric means of identification)
11. Processed all collected information (including the profiling of the beneficiaries) to generate Identification Slip (with unique features and numbers), for all the beneficiaries of the programme linking all groups and associationto both he records of their association and their actors and thereby providing additional evidence to the IVAs
12. Provide relevant and timely geo spatial information for facilitators and farmers to capture coordinates and information from project sites by means of GPS and create a Geo database with the aid of GIS Software.
13. Prepare and Submit Monthly and Quarterly and Annual reports performance
14. Any other additional responsibility as may be assign by the state programme coordinator.

**Duties of Communication Officer**

**Duties:**

1. Be responsible for advocacy, sensitization and communication activities of Result Area 2.
2. Design communication strategies to improve stakeholders buy-in and support for state Result Area 2.
3. Prepare budget estimates and annual work plan for communication at state PIU of Result Area 2.
4. Lead overall information management and public relations of the state Result Area 2.
5. Lead the implementation of the stakeholder’s engagement plan for Result Area 2.
6. Assist in maintaining links with and update knowledge of other agencies programme on advocacy, sensitization, awareness and communication for Result Area 2.
7. Assist in communication strategies and other materials for Result area 2.
8. Coordinate media tour and related events for state programme office.
9. Monitoring and coordination of information, Education and Communication activities.
10. TO develop and ensure consistent and timely delivery of communication output for reaching the specific target groups.
11. Community outreach through community leaders, household heads, religious leaders, town criers and town hall meeting adhering to the NCDC and state applicable covid 19 protocols.
12. Conduct social media campaign on (facebook, Twitter, You tube and WhatsApp).
13. Carry out any other duties as may be assigned by the State Programme Coordinator.

**Administrative Officer**

**Duties:**

1. Report to the State Program Coordinator of Result Area II
2. responsible for management of all personnel matters such as annual leave, training, discipline, recruitment, welfare and general services;
3. serve as secretary to all meetings of the SFCO including Management, General and Ad hoc committees;
4. responsible for supervising all junior staff including clerical staff, drivers, cleaners, security and interns, NYSC among others;
5. responsible for ensuring appropriate record keeping, filing and documentation of all SFCO mails and correspondences;
6. Managing office assets, including vehicles, plans, office premises, etc.
7. responsible for maintenance of equipment, furniture and goods in SFCO;
8. responsible for collection and processing of utility bills for the SFCO;
9. coordinate and collate monthly, quarterly and annual reports of SFCO activities; and
10. Cary out any other duty as may be assigned by the State Program Coordinator.

**Project Internal Auditor**

To be seconded from Accountant General

**Results Area 3: Facilitating recovery and enhancing capabilities of MSEs**

**3.3.1 Background/Disbursement Linked Indicators Description**

Results Area 3 aims to support government Programmes that allow MSEs to resume activities that may have been hampered since the start of the COVID-19 pandemic. The pandemic has placed the MSE sector in Sokoto State, a major contributor to the State economy—contributing to 50 percent of State’s GDP and about 85 percent to employment—under severe stress. The sector, which employs about 3 - 5 million people, is facing acute strain due to the disruption in the markets and supply chain. The sector was already grappling with low credit growth in 2019 and the early part of 2020, which has been further exacerbated by COVID-19 and the phased national lockdown and various restriction measures across the state. Women-owned firms may also be especially vulnerable to the adverse effects of the crisis given that even before the onset of the pandemic they faced more binding constraints than men in accessing capital and participating in higher value-addition activities.

**Results Area 3.2 will selectively support government interventions that have potential to enhance the ability of local enterprises to fully resume economic activities during and potentially beyond the crisis period.** Table 5 shows one category of government interventions that will be prioritized for CARES PforR support through Results Area 3.2 for MSEs support on operational costs through limited time grants (for example, for utilities, alternative energy & staff costs). This area of support is consistent with the response to COVID-19 across many States in Nigeria where relevant MDAs including MSME support agencies of the State governments. SOSMEDA and Ministry of Commerce and Industry are designing and implementing Programmes and initiatives on facilitating enterprise recovery and enhancing capabilities. Furthermore, Results Area 3.2 will prioritize government interventions in supporting conditional grants.

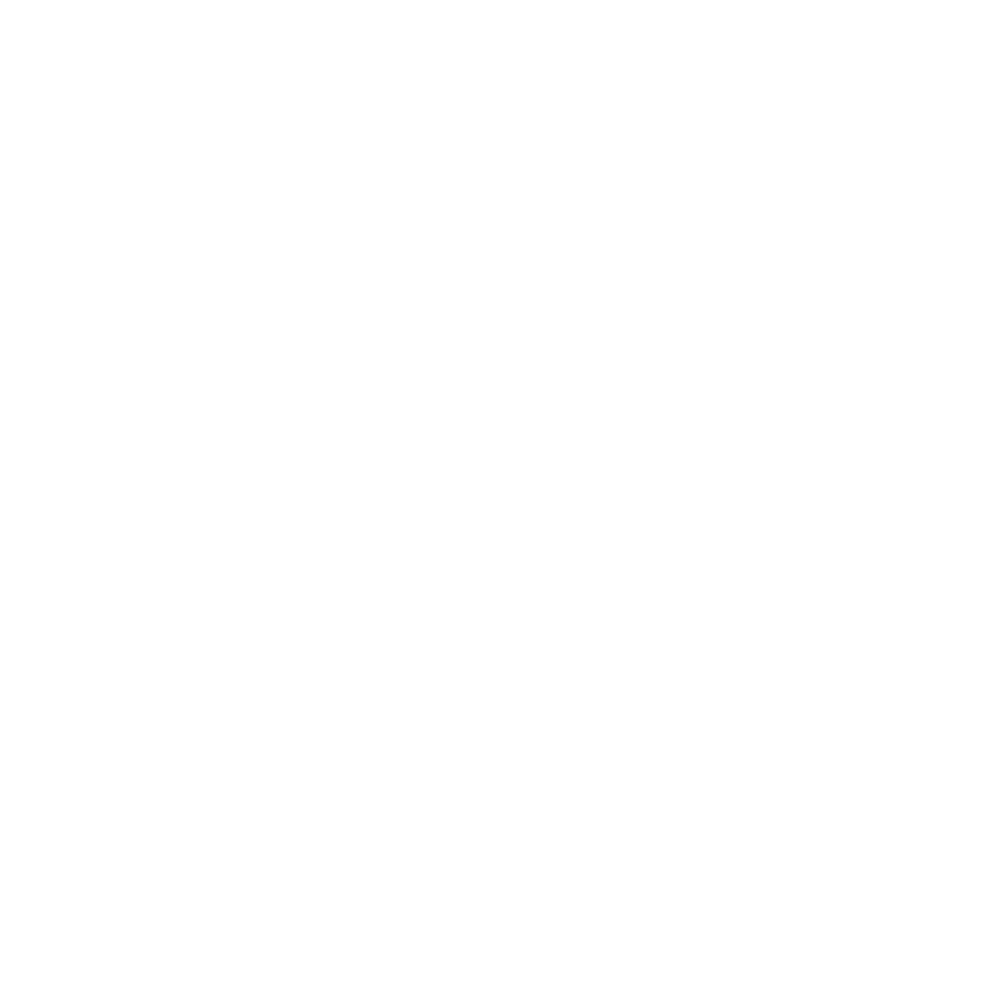
**Disbursement Linked Indicators Description**

|  |  |  |
| --- | --- | --- |
| Disbursement Linked Indicator | State MSE Support Objectives | Proposed CARES PforR Results Area 3 |
| DLI 3.2 Operations Grant | Employment and Job Creation Grants | * Grants to support operational expenditure post COVID-19 to incentivize employment retention * Operational costs including rent, utilities, private security (for fragile, conflict, and violence [FCV] States) as well as acquiring solar panels to secure sustainable access to energy |

**Retaining employment and jobs in MSEs.** Result Area 3.2 will support government interventions that help MSEs retain their staff and operational costs. With reduced working and operating investing capital available, enterprises struggle to pay their staff, suppliers, lenders, and settle utility bills. If left unsupported, the economic slowdown related to COVID-19 and liquidity constraints could put many MSEs at risk, with many facing viability issues in the current environment. This type of support is particularly critical for women-owned MSEs given that women operate firms with significantly less capital than those operated by men. On average, the value of the equipment owned by women-operated firms is only 16 percent of the value for firms operated by men.

**Sokoto State will leverage on BOI GEEP platform in implementing the interventions under Result Area 3.2. Already, a Memorandum of Understanding between the state and BOI has been signed.**

**PROGRAMME MANAGER**



**State Team Organogram (RA 3.2)**

**EXECUTIVE GOVERNOR**

**SCSC**

**PROG. ACCOUNTANT**

**PROCUREMENT OFFICER**

**SCCU**

**PROG. SUPPORT STAFF**

**HEAD OF ADMIN**

**HEAD OF M & E**

**ASST. PROG. ANALYST**

**PROG. ANALYST**

**DATA PROSS. OFFICERS**

**STAKEHOLDER MGT.**

**MEDIA & P.R OFFICER**

**MEDIA ASSISTANT**

**FIELD OPS. OFFICER**

**L.G DESK OFFICERS**

**FIELD AGENTS**

**GRIEVANCE OFFICER**

**GENDER OFFICER**

**ENVIRON.**

**OFFICER**

**Implementation Modalities**

**Target Recipients**

The grants will be targeted at formal and informal MSEs involved in commercial activities within the State and have been affected or made vulnerable by the COVID-19 pandemic and its resultant economic effects. They will also have gender inclusion, environmental and social policy systems. Businesses can apply for grants under DLI 3.2 provided all disbursement requirements are met.

**BUSINESS CATEGORIZATION AND CRITERIA DLI 3.2**

SO-CARES RA3.2 has a post restructuring programme circle budget of **Three Billion One Hundred and Seventy Million Naira** **(N3,170,00,000.00)** with **13,535** Target Beneficiaries as per the following breakdown.

1. Nano Category 8,876
2. Micro Category 3,328
3. Small Category 1,331

**Grant size**

Nano Enterprises Category- N100,000

Micro Enterprises Category- N200,000

Small Enterprises Category- N500,000.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| CATEGORY | Category A  - NANO | CATEGORY B MICRO | Category C  - Small |  |
| no. of STaff | 0 – 3 employees | 3-9 employees | 10 – 100 employees |  |
| grant size for DLI 3.2 (Amount to depend on business size) | ₦100,000 | ₦200,000 | ₦500,000 |  |
| No of businesses to benefit | 13,535 |  |

**Grant Delivery Process – DLI 3.2**



**START**

**FINISH**

BVN verification (automatic)

Confirmation of application/ fraud detection

Call centre based KYC verification

Physical visit

Transfer into mobile wallets or bank accounts verified to belong to the MSME

Leverage multiple channels:

* Commercial Banks
* MFBs
* Mobile wallets
* BVN verification (automatic)
* Enable on-field cashouts by agents

Agents enumerate candidates in their clusters/associations

Collect key data points

* KYC
* BVN
* Driver’s Licenses etc.



**Beneficiary Journey**

**Cluster map-out:**

* + Identify and document key

MSME/trade/market clusters state-wide

**MSME onboarding:**

* + Collect and load database of state accredited associations/cooperatives comprising of MSMEs
  + Where possible, tie each to an existing cluster
  + Otherwise, activate new clusters and cooperatives

**Cluster/Association Onboarding**

**Enumeration**

**Verification**

**Disbursement/**

**Payments**

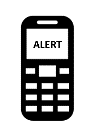
**Post-Grant Support**



**Approval**

System presents verified for first review and approval

**Final approval by States**



**Monitoring & Evaluation**

**Technology & Field Infrastructure**



Step 1: Cluster/ MSE On boarding

* Map-out the key clusters of operations as advised by state stakeholders,
* Identify relevant MSEs located therein (refer to data inputs provided by Ministry of Commerce and Industry, SOSMEDA and other relevant stakeholders.
* Collect and load database of state accredited associations/cooperatives comprising of MSEs
  + Where possible, tie each to an existing cluster
  + Otherwise, activate new clusters and cooperatives.

Step 2: Enumeration

* Attach agents to specific clusters and deploy to enumerate candidates in their clusters/associations,
* Collect key KYC data points, which include:
  + Formal MSEs:
    - Business Data (i.e. Business Name, RC Number, Date of registration etc.)
  + Informal MSEs
    - Owner’s Bio Data (i.e. Name, DOB/Age, Address, Trade type etc.)
  + Principal’s BVN
  + Formal ID (NIN, Passport or Driver’s License to facilitate access to additional information via legacy databases.)

Step 3: Verification

* Perform BVN verification (automated via NIBSS integration)
* Confirm application details (to prevent fraudulent registrations)
  + Call centres-based KYC verification
  + Physical visit

Step 4: Approval (2 step Workflow)

* 1st level Review (by BOI operating department)
  + System presents physically verified for preliminary review
  + If eligible, approval is granted
* 2nd Level Review (by State representative)
  + Final review and approval of KYC data by States

Step 5: Disbursements/Payments

* Funds are transferred into mobile wallets or bank accounts verified to belong to the MSE
* Payment/cash-out is done by leveraging multiple channels:
  + Commercial Banks/MFBs
  + Mobile wallets
  + BVN verification (automatic)
  + On-field cash-outs by agents

**Implementation Imperatives, Process and Arrangement (Targeting, Selection Criteria etc.)**

**Implementation process**

Sokoto State will leverage on BOI GEEP platform in implementing the interventions under Result Area 3.2. Already, a Memorandum of Understanding between the state and BOI has been signed.

The implementation will commence with targeting and selecting the beneficiaries. This will involve five main activities to be carried out differently by the BOI and the States as follows:

1. Identification and selection – Where possible, MSEs should be identified in Associations or clusters for ease of aggregation, post disbursement follow up and M&E/Sanctions where necessary. This should be the responsibility of the State.
2. Enumeration – This involves data capture and standardization by deploying agent network and field infrastructure to visit targeted business and to capture all require data and information to high standard for verification and M & E.
3. Verification – This involves evaluation of MSEs via multiple channels i.e. phone interviews; physical visits; record checks via automated connections to the national databases of BVNs, FIRS (TIN); CAC and other state platform; fraud audits to ensure authenticity of KYC of businesses owners and eligibility for the Programme. Where a State uses its own platforms, it should also have these capabilities as have been confirmed on the BOI platform.
4. Approval – The Supervising MDA views all qualified and verified SMEs on provided systems in real-time and approve for disbursement.
5. Disbursement – Funds transfer will be made into the verified beneficiary MSE account or mobile wallet after State approval.
6. Monitoring and Evaluation – This involves periodic review of live reports, field visits and inspection.

Sokoto State to implement the BOI platform, BOI’s role is to facilitate actual execution, as well as develop key program frameworks and assets to support consistent and qualitative program delivery with the following responsibilities:

1. Provide technical support and guidance for RA 3.2 program implementation, while also serving as a clarifying channel regarding the provisions of the Program Appraisal Document and RA3 Operations manual to guide field operations.
2. Support Sokoto State with the localization and adoption of the Generic Operations Manual and other implementation guide documents as specified by the WB for RA3.2.
3. Oversee programme preparatory activities to ensure delivery readiness and drive project performance.
4. Setup of State Command Center to facilitate real-time reporting through the use of localized dashboards with embedded analytics to track implementation progress.
5. Provide operations support to ensure that Sokoto state has standardized and effective systems/processes/tools for project execution and delivery, including:

Delivery Unit setup, Capacity Building, Beneficiary Mapping tools and guides, Agent Network setup, Financial Planning, M&E Tools and guides (post-implementation verification, impact measurement etc.)

* 1. Product Design Support for program implementation includes Applicant enrolment and eligibility criteria, Verification procedure for existing loans and financial institutions etc.

Governance

To maintain the identity of CARES RA3.2 as a state-owned Programme, BOI will restrict her role to centralized oversight and coordination, while ensuring that the states can leverage the banks current micro-credit infrastructure and capacity to enjoy timely and qualitative support, thereby guaranteeing a successful Programme.

The conditions for governance and delivery of the CARES RA3.2 Programme will be as identified below:

1. State is in control
   1. The State will have full control of identifying and providing MSEs that will go through the process of receiving the CARES RA3 benefits. Every intending beneficiary/cluster of CARES RA3 in each state will be nominated by the State.
   2. The State will also be responsible for selection and allocation of MSEs, from the verified/qualified list, for disbursements.
2. Full Transparency of Process and Information
   1. BOI’s infrastructure will include real-time systems and dashboards showing full details (including KYC, biodata, location, images) of every single MSE going through the State’s CARES RA3 process, their status through assessment and verification, eventual disbursement to qualified MSE beneficiaries, and status of use of funds for disbursement.
   2. These real-time dashboards will be available to all State-nominated stakeholders on their phones, tablets, and a Command Centre at the State CARES RA3 office is they so desire.
3. Real Time Monitoring and Evaluation
   1. Monitoring and Evaluation (M&E) will be CENTRAL to the operation of CARES RA3 and enshrined at all levels. BOI will provide the tools, data, and access to its field infrastructure and agent network to support M&E at the State and Federal levels.
4. Grow Capacity of the States
   1. BOI, while leveraging its infrastructure for delivery, will work with the State to grow its internal capacity for long term success. e.g. BOI will train state-supplied youth to serve as enumeration agents on its field infrastructure, supplementing existing BOI enumeration agents who are also residents of the state.

### Organizing Structure

To facilitate seamless execution of the RA3.2, Sokoto state has its own SMEs Development Agency, the Sokoto State Small and Medium Enterprises Development Agency (SOSMEDA), which will serve the delivery platform.

State CARES RA3.2 Unit Organogram

**ENVIRON. OFFICER**

**HEAD OF M.&.E**

**PROG. ACCOUNTANT**

**PROCUREMENTOFFICER**

**FIELD OPS. OFFICER**

**STAKEHOLDER MGT.**

**PROGRAMME MANAGER**

**GRIEVANCE OFFICER**

**GENDER OFFICER**

**PROG.**

**ANALYST**

**ASST.**

**PROG.**

**ANALYSTS**

**MEDIA & P.R OFFICER**

**MEDIA ASSISTANT**

**HEAD OF ADMIN**

**PROG. SUPPORT STAFF**

**DATA PROSS.**

**OFFICERS**

**L.G DESK OFFICERS**

**FIELD AGENTS**

**Operations Management Framework**



**Roles and Responsibilities**

|  |  |  |  |
| --- | --- | --- | --- |
|  | Component | Description | Responsible Party |
| **1** | Targeting – Identification & Selection of Businesses to Apply | Where possible, MSEs should be identified in associations or clusters. This provides the benefit of ease of aggregation, monitoring, post disbursement follow-up as well as M&E/sanctions where necessary. | SOSMEDA |
| **2** | Enumeration – Data Capture & Standardization | Deployment of agent network and field infrastructure to visit targeted businesses physically and to capture all required data and information to high standards, for verification and M&E. | SOSMEDA/BOI |
| **3** | Verification – Against defined & Approved RA-3 Criteria | Evaluation of MSEs via multiple channels – phone interviews, physical visits & randomized fraud audits to ensure validity of KYC, authenticity and eligibility for the Programme. | SOSMEDA/BOI |
| **4** | Approval | View all qualified and verified MSEs on provided portal and approve for disbursement. | SOSMEDA |
| **5** | Disbursement – Into Verified Accounts & Mobile wallets | Transfer of value to verified MSEs after final approval by the states. | SOSMEDA/BOI |
| **6** | Monitoring & Evaluation | Periodic review of live reports; field visits and inspections; dissemination across stakeholders. | SOSMEDA/BOI |

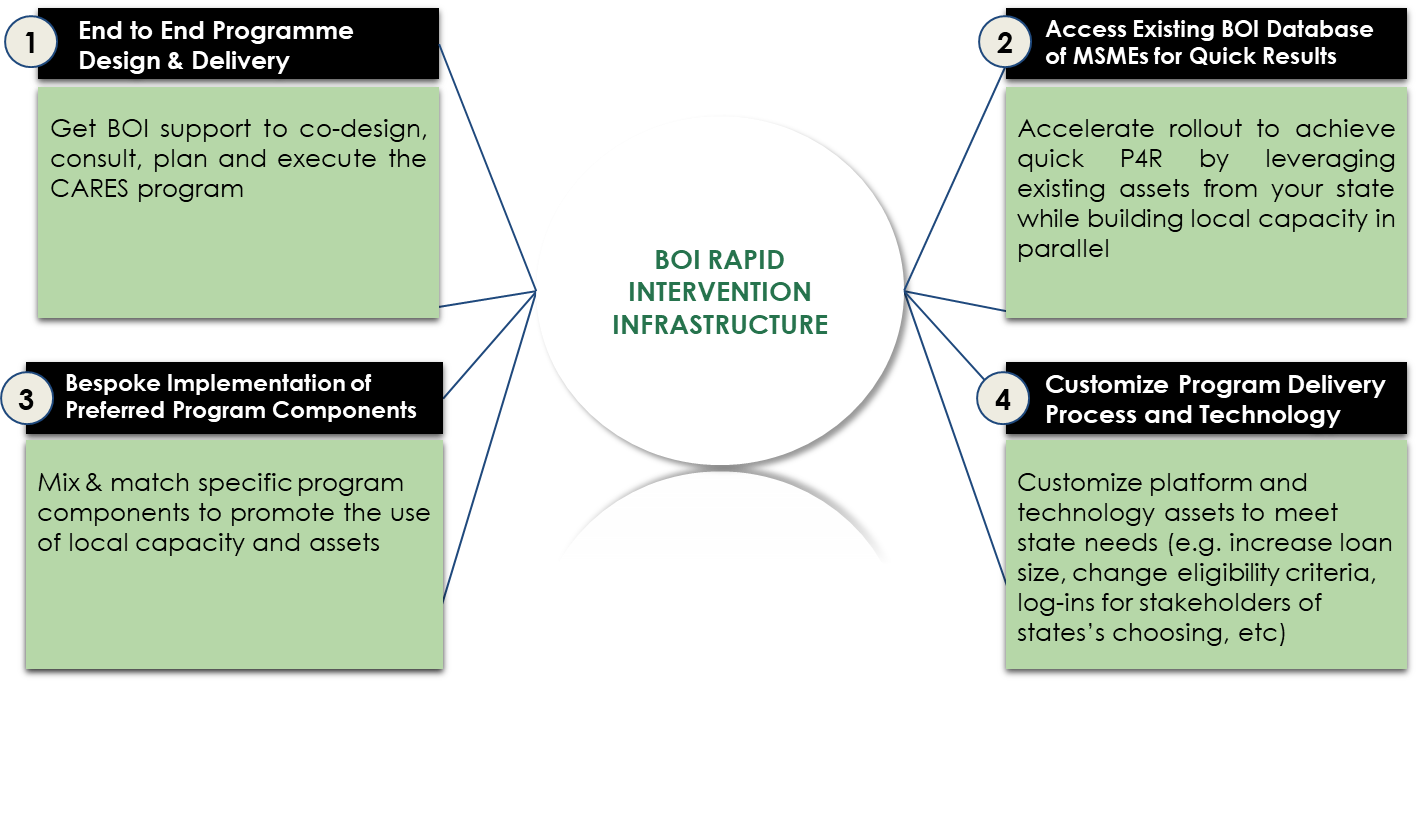
**Description of Costs**

|  |  |  |  |
| --- | --- | --- | --- |
|  | Cost Items | Description | Pricing |
| 1 | Beneficiary Enumeration | To onboard and register beneficiaries in assigned locations; done by agents (BOI or state-supplied) resident in the State on the field; the data from this exercise is also critical for verifications, and full accountability on every eventual beneficiary on this initiative, their locations, group/cluster they belong to, how much was given to them, and when. | **10%** |
| 2 | Beneficiary Verification | Using three key platforms: BVN verification, Call Centre Agents to verify all data submitted; Field Visits; GPS location validation to ensure that beneficiaries are situated in the areas that have been specified for the Programme. This is particularly critical for ensuring validity, Programme spread, and inclusion across all LGAs. |
| 3 | Wallet/Account Creation and Management | Usage of our Accounts Management Engine; includes candidate assessment platform and decision-making engine; enables beneficiary bank or wallet account opening; loan monitoring (where applicable), and automated reporting on Programme performance. Critical for accurate disbursement and real-time visibility into funding. |
| 4 | Fund Disbursement | For automated disbursements in any commercial bank, MFBs, and mobile wallets across Nigeria. |
| 5 | Fund Cash-out | For Mobile Wallet beneficiaries; field agent enabled cash outs. Also helps give the Programme visibility as events can be structured around this activity depending on the state’s preference. |
| 6 | Fund and Project Management Costs | This is usually taken as a percentage of the Programme funds on an agreed basis. *Supplements* internal setups and overall BOI backbone deployed to support project in State. | **2%** |

## **Contracting Procedures**

### States with BOI

Sokoto state shall define the extent of partnership and support required from BOI in the implementation of the CARES RA3.2 Programme. Some of the broad components of the engagement are as outlined overleaf:



Specific procedures for contracting BOI as a delivery partner for implementing the CARES RA3.2 Programme include:

1. SOSMEDA visited BOI Command Center to understand the systems, infrastructure and operations that drive impactful last-mile credit delivery.
2. The State Government chooses DLI 3.2 under GEEP platform of the BOI in the implementation of roles/responsibilities.
3. MOU has been signed between the Sokoto State Government and Bank of Industry.
4. The engagement model is programme execution and managed fund agreement between State Government and BOI.
5. The State Government, SOSMEDA and BOI have commenced joint Programme planning and implementation.

### States with Beneficiaries

As part of the conditions for accessing a grant from the CARES RA3.2 Programme, MSEs will be required to enter into a binding agreement with the state, which can be as simple as accepting well defined Terms & Conditions during on boarding.

This contract between the states and beneficiaries will be delivered by field enumeration agents, who serve as the Programme touch point to the beneficiaries.

## **Reporting**

Reporting will be fully automated with dashboards that provide visibility on MSE applications, their verification status and disbursements. These dashboards and data will be accessible via web, mobile phones and/or from a Command Center, if preferred by the state,

The state will retain the right to grant access to its data and results, either in full or in part, to any stakeholder of choice including the World Bank.

## **Financial Administration and Governance**

As already indicated by the World Bank, the Programme-for-Results financing model will be used for financing the expenditures of CARES RA3 as a state development Programme, with a view to promoting sustainable development and improve the efficiency and effectiveness of disbursed funds.

Some of the fund management principles to be adopted on the Programme will include:

1. Disbursement on the basis of the achievement of key results (including prior results) under similar Programmes.
2. Strengthening internal systems to provide assurance that funds are used appropriately and that environmental and social impacts are adequately addressed.
3. Strengthening of institutional capacity necessary for the achievement of proposed outcomes and intended results.

### Financial Governance

The Programme will operate a fund management governance framework that has been designed to:

* Maintain a focus on transparency and accountability across fund draw-down, utilization, and reconciliation.
* Ensure fund allocation is restricted to MSEs beneficiaries who have overwhelmingly met the eligibility criteria.
* Set out clear and transparent assignment of roles and responsibilities for the BOI Supporting Unit and the State CARES DLI 3.2 Unit.
* Ensure strategic and operational decisions comply with relevant World Bank policies, and guidelines.
* Ensure performance is monitored and reviewed, while feedback drives continuously improvement as required.

### Key Operating Principles

The key operating principles of the financial governance model will include the following:

1. Efficiency and Effectiveness: Fund assets and liabilities will be managed as efficiently as possible with a view to maximizing value to both sponsors and beneficiaries alike.
2. Transparency and Accountability: Information on financial asset and liability management plans, activities and outcomes will be actively monitored and evaluated.
3. Risk Management: Risk monitoring and oversight will be independent of financial asset and liability management operations.
4. Fiscal Prudence: Fund assets and liabilities will be managed in a cost-effective manner that mitigates the potential negative impact of management risks on the fund’s fiscal position.

## **Monitoring & Evaluation Procedure**

The CARES RA3.2 Programme will be adopting a Results based M&E system approach, which is designed to provide feedback on the actual outcomes and goals of intervention actions by answering the following questions:

* What are the goals of the intervention?
* Are they being achieved?
* How can achievement be proven?

Results-based M&E systems have been successfully designed and used to monitor and evaluate at all levels—project, Programme, and policy. Some of the elements of our Results Monitoring Approach are outlined below:

* Baseline data to describe the problem or situation before the intervention
* Indicators for outcomes
* Data collection on outputs and how and whether they contribute toward achievement of outcomes
* More focus on perceptions of change among stakeholders
* Systemic reporting with more qualitative and quantitative information on the progress toward outcomes
* Done in conjunction with strategic partners
* Captures information on success or failure of partnership strategy in achieving desired outcomes.

### M&E Implementation Steps

Monitoring and evaluation of the CARES RA3 Programme will be evident throughout the life cycle of a project, Programme, or policy, as well as after completion to ensure the addition of value at every stage from design through implementation and impact by leveraging continuing streams of data and feedback. Our M&E methodology will involve the following critical steps:

• Step 1: Formulate outcomes and goals

• Step 2: Select outcome indicators to monitor

• Step 3: Gather baseline information on the current condition

• Step 4: Set specific targets to reach and dates for reaching them

• Step 5: Regularly collect data to assess whether the targets are being met

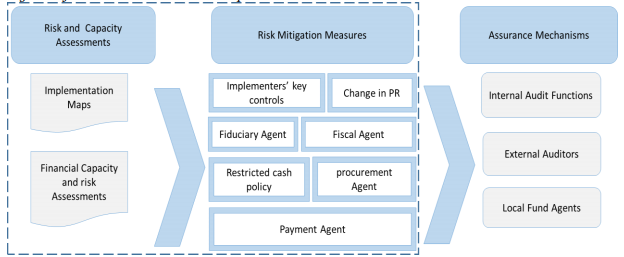
• Step 6: Analyze and report the results.

Source: Ten Steps to a Results-Based Monitoring and Evaluation System (World Bank)

## **Risk Management Procedure**

BOI’s implementation of the CARES RA3 Programme will adopt a standard Financial Risk and Assurance Framework for development fund management, which defines the general approach to managing financial and fiduciary risks and the related mitigating actions including implementers’ key controls, as well as identifies the possible mechanisms of assurance of grants.

As the fund implementer, BOI will maintain financial control over the NG-CARES RA3 Programme by implementing risk management mechanisms and ensuring ongoing assurance that demonstrates the effectiveness of these financial controls/ mechanisms.



Source: Global Fund Risk Management Framework

**CHAPTER FOUR:**

**RESULT FRAMEWORK, TARGETS, INDEPENDENT VERIFICATION PROTOCOLS AND MONITORING & EVALUATION SYSTEM**

4.0. **INTRODUCTION**

The primary purpose of monitoring of NG-CARES implementation is to track the progress made by State DUs towards attainment of the PDO and to adapt operations to realities by generating Programme specific information on processes and performance. The Programme shall engage Independent Verification Agents (IVAs) to carry out verification of achievement of the DLIs in the different Result Areas by the States. The M&E Department at National Level and M&E units at the SCCU shall oversee the activities of the IVAs.

The Programme shall finance the establishment of a Results Based M & E mechanism that is contingent with a web-based Management Information System at the FCSU. It shall also finance operating costs for monitoring activities such as collecting and analyzing data on physical parameters of project activities, conducting consumer survey and generating data for impact evaluation. Specialized studies, impact assessment at mid-term and end of project will be financed by the Programme. In addition, annual implementation/outcome reviews of Programme qualitative and quantitative achievements will be undertaken.

**4.1 RESULTS FRAMEWORK**

The result framework provides the guidelines for monitoring the performance of DLIs. It sets targets and KPIs for each DLI to achieve project objectives.

The specific arrangements for results monitoring, stakeholder roles and responsibilities as well as other related issues is detailed in the M&E Manual.

**4.2 M&E SYSTEM**

Monitoring and Evaluation will be participatory and involve key Stakeholders (FCSC, FCSU, SCSU, line ministries and World Bank). There shall be regular (Monthly, Quarterly) monitoring at State level, while FMFBNP and World Bank would undertake bi-annual joint monitoring. In undertaking the monitoring, efforts shall be made to review progress of activities in relation to the IFR, procurement plan, training plan, annual budget and work Programme (Plan) as approved at the beginning of the year. Two broad types of indicators would be used for M&E of the NG-CARES intervention are DLI-derived and Outcome-derived indicators. The choice of indicators to be used in the NG-CARES shall be guided by the expected levels of monitoring, activities or group of activities to be monitored, and inputs and outputs of the specific activities.

The M&E system to be adopted for the NG-CARES will reflect the project development objective and also provide information that would not only monitor project implementation progress but equally assist the States in ascertaining the extent to which the project is contributing to address the Sustainable Development Goals (SDGs). The overall M&E will be anchored on a baseline scenario and documented by the SCCU at the commencement of the project. In order to ensure adequate data capture, the M&E system would be supported by a Web-based Management Information System (MIS), which should be capable of providing information on project activities, sharing the information with State MDAs responsible for data collection and also providing an interface for data exchange between the SCCUs and such MDAs. The M&E system will be anchored on the results framework of the NG-CARES.

In view of the need to have baseline information in place, the Implementation Completion Report (ICR) of closed projects participating in the NG-CARES shall be adopted as baseline.

**Independent Verification Protocols and Third-Party Monitors**

Under the NG-CARES Programme, each of the participating States shall be assessed independently by Independent Verification Agents (IVA) in line with the verification protocol. Given the importance of having a credible and objective verification process, the performance-based financing disbursements per State will be determined by the number of verified DLIs achieved. The IVA will work with the FCSU to conduct a maximum of four Biannual Performance Assessments (BPA) to be held once every six (6) months over the 24 months’ period. It is proposed that the FCSU will subject the report of the IVA to a technical review by a selected team of experts to ensure quality assurance and fairness across board. This is recommended cognizant of the volume of work which cannot be accomplished by a single consultant and the need to institute quality assurance mechanism to reduce grievances and petition.

The FCSU shall avail the IVAs and NGF Secretariat M&E reports from the State SCCU as the basis for carrying out their verification processes and peer learning activities respectively. The reports of the IVAs are expected to be submitted to the FCSU not later than 30 days after the end of the period of assessment.

The Third-Party Monitors shall be engaged by the FCSU to provide more supporting documentations to the FCSU on the achievement of the DLIs by the States. The report of the Third-Party Monitors shall be taken into consideration during the overall assessment of the report of the IVAs.

**Monitoring**

Monitoring is concerned with the continuous and routine measures enshrined to ensure that activities required for successful completion are adopted and followed. A system of M&E will be established by the SCCU and each Delivery Unit which will involve the Stakeholders and beneficiaries in routine feedback and reporting. Routine reporting will cover progress on activities, adherence to procedures, financial record keeping and challenges, Means of Verifying reports (MoVs) given.

Financial reports with the relevant supporting documents (receipts and payment vouchers), shall be used to justify the advances made to beneficiaries and to check expenditure against progress and targets. These shall be complemented by quarterly monitoring visits conducted by the M&E unit of the DP and relevant officials of the LG.

**Evaluation**

This is a process of systematically and objectively determining the relevance, efficiency, effectiveness and impact of interventions. During this process, a Participatory evaluation involving all stakeholders shall be maintained throughout the Programme implementation. Furthermore, an independent evaluator can also be engaged to assess implementation status.

**Supervision**

On-site supervision of the micro-project shall be conducted by the community and relevant officials of State MDAs. The officials of LGA shall work closely with the community to transfer skills to the members of the community.

**Participatory Monitoring, Evaluation and Reporting.**

The responsibility for M&E of community micro-projects rests with community members, LG officials, SCCU, FCSU, Federal Supervising Authorities, World Bank, external evaluators, the Media and Civil Society. However, the specific roles of community level stakeholders are highlighted below:

**A. Community Level**

1. Community members and existing groups (CBOs) – serve as watchdogs, monitor and report implementation progress.
2. CDA and Traditional Institutions – shall provide oversight functions of the implementation of sub-projects in the communities.

There are several measures taken to ensure that communities play an important role in monitoring their own project. These steps include:

1. Describing a community M&E plan on the project application form.
2. Requiring all project accounting documents to be available for inspection by the community.
3. Going over the contents of the Financing Agreement before the entire community at field appraisal and launch.
4. Requiring management of the various groups and associations implementing the project to report to communities regularly;
5. Review of reports of progress.
6. Visits by various stakeholders to project site.
7. Ensuring that mitigation measures are carried out or put in place to address possible environmental and social impacts.

**B. Local Government Level**

1. LGA - monitors implementation of micro-projects in communities and the extent of synergy with LGA plans.

The benefitting communities, groups and associations shall be obligated to produce report to the DPs on a regular basis. This report will include a description of the physical progress of the micro-project, a financial review indicating how funds received have been used, and problems encountered, and solutions undertaken during the reporting month. A Project completion report duly signed by the executives of the benefitting communities, groups and associations shall submit at the end of the project. This report shall contain detailed information on all aspects of the micro-project, including lessons learnt and recommendations for improving community development planning.

**Monitoring and Evaluation.**

**Levels of Monitoring**

(a) Third Party Monitoring (CSO as independent monitors),

(b) Independent Verifier

(c) community

(d) State

* State Oversight SPS Committees
* State line ministries/agencies
* PIUs

(e) Federal.

* FCSU
* Line Ministries (FMITI, FMARD, FMFBNP, Federal Ministry of Humanitarian Affairs)

1. World Bank

**4.2.2 Activities to be monitored**

(a) Third Party Monitors (CSO)

* Public enlightenment and sensitization;
* Participatory process
* Skills development;
* Payment process
* Enumeration of business grant and starter-pack beneficiaries
* Community mobilization

(b) Independent Vérifier :

* Result Area 1 DLIs
* Result Area 2 DLIs
* Result Area 3 DLIs

(c) State

* Information dissemination ;
* Environmental quality;
* Adherence to environmental guidelines/regulations, including improved enforcement capacity;
* Project Management and Implementation; focusing on outcome of the Result Area 1,2&3 DLIs assessment and beneficiaries’ satisfaction
* Monitoring and Evaluation

(d) Federal.

* Programme Support performance;
* Policy related work;
* Capacity Building; and
* Monitoring, Evaluation and Impact Assessment;

(e) World Bank

* Technical Support; and
* Supervision.

**4.4 Management Information System**

A management information system (MIS) shall be established in partnership with State governments. Periodic Programme performance reviews shall be coordinated by the FCSU and the SCCU MIS, with the active participation of the State entities implementing the results areas. This unit will support the overall M&E framework by improving the quality and consistency of the M&E datafor the NG-CARES PforR including oversight for the activities of the IVAs in all the participating States and across all results areas. The IPF component shall also benefit from this as all components of the NG-CARES are linked to provide timely data generation and sharing amongst stakeholders.

**4.4.1: Establishment and Linkage of Database**

The transition to digital based automated system by the Management Information System Unit with data of all registered beneficiaries uploaded into a central database is one of the major deliverables of this unit. The database with a window for linkage to other stakeholders for data sharing comprise of documentation of beneficiaries’ identity (picture, bio-data, coordinates of farm/enterprise locations and biometric based means of identification, etc.), linking all groups and associations to both the records of their activities and the respective actors.

**4.4.2: Generation of Inputs and Asset Vouchers**

Essentially for Result Area 2, DLIs 1 and 3, NG-CARES shall build on the success already recorded in the Fadama series on the use of input vouchers where unique codes are generated for each transaction for groups and associations. The e-voucher platform leveraged on the Management Information System (MIS), where all supported beneficiaries and groups were profiled, uploaded and linked. This facilitated the easy generation of random voucher numbers specific to each transaction and thereby ensuring improve transparency, accountability and traceability of the inputs and assets delivered to beneficiaries.

**4.4.3: Beneficiaries Identification Slip**

One critical deliverable of the MIS is the processing of all collected information (including the profiling of the beneficiaries) to generate identification slip (with unique features and numbers) for all beneficiaries of the project and thereby providing additional evidence to the IVAs.

**4.5 Geographic Information System**

GIS is to provide relevant and timely geospatial information for farmers, to capture the coordinates and information on project sites by the means of GPS and to create a geo-database with the aid of GIS software. To show locations and data in form of map for easy virtualization and understanding, this can be represented on a Paper Map, Digital Map and Web Map.

Based on the categorization of the delivery indicators of the activities in Result Area 2.

The following spatial information would be needed;

The other result areas 1 and 3 will need additional information apart from the under-listed dataset

**DLI. 2.1 Distribution of Inputs and Service Provision**

* Spatial information of all farmers to be reached, farmers group and cultivated areas/hectares
* Spatial Information and mapping of value chain actors: input suppliers, aggregators, small scale processors, wholesalers, and retailers

**DLI.2.2 Labour Intensive Agricultural Infrastructure**

* Spatial Information of location of rehabilitated existing tertiary irrigation canals, feeder roads, and where soil conservation measures would be carried out.

**DLI.2.3 Farm Agricultural Assets**

* Spatial information of location of all provided farm assets and equipment, biogas units, micro power generation, small scale irrigation schemes, fishponds, production pens, houses of livestock, aggregation Centre’s,

**DLI. 2.4 Food supply chains and mitigating food loss and waste**.

* Spatial Information of location of wet markets, upgraded water and sanitation infrastructure in existing wet markets, location of small-scale Processors, storage facilities, farmers and farmers group.
* Mapping of market sheds and market-system linkages between input suppliers and farmers, farmers and traders or aggregators, aggregators and end-market processors, or wholesalers and retailers (incorporating gender dynamics);

The spatial information is to be captured at the point of location only, while coordinates of roads are to be collected at 200m apart for length of road that are less than 5km but for road that are above 5km, coordinates should be captured at 500m apart. This will then be recorded on an excel spreadsheet for easy analysis, mapping, creation of geodatabase and integration into the Project Management Information System.

The following procurement, subscription and services would be required;

**Software**

* **GIS Desktop:** This will be used for map authoring, design and analysis during and after the project.
* **GIS online Package:** Five users ArcGIS online subscription per year will be required, all data coming from field will be monitored real time on this platform. Necessary coordination and directive as regard to data quality and integrity will be given to field personnel/facilitators through this means. Data to be collected will be published into this online platform and make it accessible to the mobile data collection application (collector for ArcGIS).
* **Collector for ArcGIS:** This is a mobile application that will be used for field data collection by facilitators. To be downloaded and installed on all Android field data collection devices. Training on how to use Collector for ArcGIS mobile application needs to be conducted.
* **Data**: Satellite images, Aerial photos, Cadastral map, Coordinates, Demography data etc Cartographic embellishment, working with layouts and creating reports to be conducted.

**Hardware**

* **GPS:** Global Positioning Systemwould be required as a means of data capturing, this provides users with positioning, navigating and timing services. A Step-by-step guide on the collection of field data using GPS, aligning geographic data to a known coordinate system for farmlands, farm size measurement, tractor guidance needs to be conducted.
* **GPS with camera:** This will provide location information embedded in an image for easy geotagging.
* **Project Laptops:** These will be used by Facilitators, MIS Officers and Technical Officer GIS that will be saddled with supervisory responsibilities throughout the project.
* **Android Devices:** Android phones or tablets devices will be needed as a primary field data collection by relevant field officers.

**Field Officers** (**Facilitators, MIS Officers)**

These officers shall be responsible for primary data collection such as the spatial information of farmers, cultivated hectares, locations of markets for agricultural and livestock products, value chain actors’ locations, wet markets and so on. Data collected shall be submitted to the structured online platform for the development of online reports, story maps and the creation of geodatabase to be integrated into the central Management Information System.

**Internet Data Subscription**

Internet subscription shall be needed on each android device for facilitators, MIS Officers and Technical Officer GIS so as to login to the collector for GIS and make data collection to be live and monitored on GIS online platform. This shall also help to perform real time GIS operations.

4.6 **INDEPENDENT VERIFICATION OF RESULT AREAS**

The Federal Government shall engage the services of an Independent Verification Agency (IVA), which shall use series of Disbursement Linked Indicators (DLIs) to evaluate the achievements of targets agreed with the States at a regular interval (six months).

Justification: The justification for the use of Programme for Result (PforR) World Bank funding instrument for State level operations under NG-CARES is to enable the State actors implementing the Programme to be focused on achieving results and getting reimbursed (rewarded) at the agreed intervals.

Verification Protocols: The Programme verification of results/outputs will be done on the basis of DLIs achieved by each State. An IVA will assess the results achieved by the States every six months after effectiveness. For each DLI achieved, States will earn disbursement amount equal to the value of the DLIs achieved within an assessment period multiplied by the unit price of the DLI. Disbursements will be capped at the preselected total allocation for individual DLIs. States will not be able to earn more than the allocated amount per DLI even if they exceed the target set for individual DLIs for the duration of the Programme.

The responsibility to verify achievement of DLIs and any agreed prior results lies with the FCSU based in the FMBNP. The FCSU will work with a reputable, credible, and independent (private sector) verification agent to verify the achievement of results based on agreed terms of reference incorporating the verification protocols outlined in detail for each of the DLIs in table 8 and in annex 2. The IVA will assess achievement of the DLIs through interaction with the SCCUs and the implementing MDAs responsible for the activities in the three results areas in each State (CSDA, SCTU, Public Workfare Project Implementation Unit [PWFPIU], Fadama, Ministry of Agriculture, MSE/GEEP, among others).

IVA will not only check reports to confirm the achievement of results but may also carry out field visits and engage beneficiaries and service providers where necessary (as stated in the verification protocols and agreed in the manual) for compliance check. The verification missions will be carried out in six-monthly intervals and in accordance with the terms set forth in the PIM. The verification process will be supported by the State implementing units and the SCCU by making available all relevant data, reports, and documentation required for verification. The IVA will prepare and submit verification report to the FCSU and the World Bank. Upon validation of the report, the FCSU will notify the World Bank of DLIs achievement, supported by the relevant evidence and documentation.

Following the World Bank's review of the complete documentation, including additional information requested by the World Bank task team on verification and assessment of DLIs, the World Bank management will confirm the achievement of the DLI(s) and the level of Programme financing proceeds available for disbursement against each DLI for transfer to the State Special CARES account in the State consolidated fund account or Treasury. This procedure will be carried out at six-monthly intervals through the duration of the Programme. Also, a third-party monitoring team consisting mainly of civil society organizations and using agreed social accountability mechanism will be engaged by the FCSU to provide an independent validation of the process and procedure used for the delivery by the participating States. The report of the third party will be shared with the World Bank by the FCSU and will form a critical input in the monitoring of the implementation progress and the adherence to agreed operational process by the State delivery platforms.

Prior results and advances. Many of the participating States may be able to achieve some of the agreed DLIs before Programme effectiveness. The Programme will, upon effectiveness, recognize such prior results achieved starting from June 16, 2020 (Project Concept Note approval date) up to 25 percent of the eligible disbursement for the specific DLI selected by the States. The agreed DLIs for prior results will be subjected to the verification assessment protocol during the first assessment exercise. Furthermore, all the participating States will be eligible for advance financing to support upstream implementation of activities that require significant expenditures. An advance of up to 25 percent of eligible disbursements for DLIs may be requested after the Programme becomes effective to facilitate the achievement of the DLIs. Many of the participating States have indicated intention to request advance payments and disbursement for prior result achievements. It is confirmed that a combination of both payments cannot exceed 30 percent of the eligible disbursement. Given considerable risk of lapse loan associated with advances, justification for advance would be made at effectiveness and rigorous assessment done by the World Bank task team before disbursement is agreed. The recovery of the one-time non-revolving advances will follow the standard procedure as Stated in the financial operations manual

***Results Area 1:*** *Increased Social Transfers, Basic Services, and Livelihood Support for Poor and Vulnerable Households*

* The IVA will check and review the submissions on achievement of deliverables by the States, mainly in terms of (a) *results*, to confirm exact number of deliverables achieved and less but also on some *processes*, issues to confirm that the agreed procedure was followed, and safeguard guidelines were adhered to. In most cases, the processes and safeguard issues check will be based on samples and spot checks.
* For DLIs 1.1 and 1.3, the IVA will check records to confirm the number of beneficiaries that are enrolled and participating in the interventions (social transfers and livelihood grants). The IVA will also check that they are receiving the transfers, stipends or grants as agreed. To verify that agreed process are followed, the use of the agreed State Social Registry as the basis for selection of beneficiaries will be verified, as any beneficiary not selected from the registry and or in line with the agreed criteria (as specified in the PIM), will be declared as an invalid deliverable. Specifically, in the case of DLI 1.3, attendance in training organized for beneficiaries of livelihood grants is required.

***Results Area 2:*** *Increasing Food Security and Safe Functioning of Food Supply Chain*

* The DLIs 2.1, 2.2, and 2.3 require the IVA to respectively verify the number of farmers utilizing agricultural inputs, accessing agricultural infrastructure and utilizing agricultural assets. Since the farmers will be reached through their groups using Community Driven Development (CDD) processes, the verification procedure will draw from the strong peer monitoring features of farmer groups to generate and corroborate information on the number of farmers reached. Each farmer receiving project support will be required to sign against their name using templates prepared as part of the Project Operations Manual. The templates will include names, gender and number of the farmers as well as the specific support received. After each farmer has signed alongside their name, the leaders of farmer groups will counter-sign at the bottom of the forms to authenticate the records. The signed records will be collected by the Local FADAMA-CARES desk at the Local Government Level. The Local FADAMA-CARES desk will send paper records to the State Fadama Coordinating Office together with electronic copies. In addition, the Local FADAMA-CARES desk will send a paper cover letter summarizing the content of the records. Thecover letter will also be based on a template prepared as part of the Project Operations Manual. The IVA will review the paper records and create its own electronic records.
* In addition to the records on name, gender and number of farmers, the verification procedure for DLI 2.1 and 2.3 requires the IVA to visit a sample of heads of farmer groups to validate the records.
* In addition to the records on name, gender and number of farmers, the verification procedure for DLI 2.2 requires the IVA to review the works contracts issued, works completion reports certified by local FADAMA-CARES desk, and completion of safeguards screening checklists. Templates for these records will be prepared as part of the Project Operations Manual. The local FADAMA-CARES desk will be responsible to submit paper copies of the works contracts issued and original paper records of the certified works completion reports and completed safeguards screening checklists to the State Fadama Coordinating Office, together with electronic copies. The improvement/rehabilitation of some infrastructure might be carried out by the community itself using communal labor and not through a contractor. In cases where communal labor is used, the head of community will sign a template form describing the works carried out by the community and payments to the community, including type of work done, labor, materials, payment received, evidence of engaging in such work among others. The template form will be prepared as part of the Project Operations Manual. In addition, the IVA will visit a sample of the sites for agricultural infrastructure to confirm that agricultural infrastructure has been improved/rehabilitated as per works contracts. The IVA will verify Record of Environmental and social screening report conducted prior to commencement of infrastructures along with mitigation actions, timeline, responsible parties and budget in place, where needed.
* The verification procedure for DLI 2.4 requires the IVA to verify the number of wet markets with upgraded water and sanitation services with universal access. In particular, the IVA will review the works contracts issued, works completion reports certified by local Fadama- NG-CARES desk, and completion of Environmental and social safeguards screening report conducted prior to commencement of infrastructures along with mitigation actions, timeline, responsible parties and budget in place, where needed.
* Templates for these records will be prepared as part of the Project Operations Manual. The local FADAMA- NG-CARES desk will be responsible to submit paper copies of the works contracts issues and original paper records of the certified works completion reports and completed to the State Fadama Coordinating Office, together with electronic copies. In addition, the IVA will visit a sample of the wet markets to validate the records and confirm that water and sanitation services have been upgraded with universal access as per works contracts. Report of semiannual Environmental and Social audit conducted including status of remedial actions taken that are Stated in E&S screening report, additional remedial actions identified and action plan for implementation, if relevant

***Results Area 3: Facilitating Recovery and Enhancing Capabilities of Micro and Small Enterprises***

* For all DLIs of Results Area 3, the verification exercise will involve: a) *vetting criteria checks* – to confirm that benefitting firms meet the targeting and enumeration requirements; b) *results checks* – to confirm exact number of deliverables achieved; c) *inclusion check* – a confirmation of the number of beneficiary firms run by and employing women and youths; d) *systems and processes check* – to confirm that the agreed procedure was followed and safeguard guidelines were adhered to. In most cases the systems and processes check will be based on samples and spot checks.
* Specifically, for DLI 3.1 which is a financial market intervention, the IVA will check records for legible beneficiary firms to confirm that numbers of the legible beneficiaries receiving co-financing grants were well targeted and that grant sizes are within the 40 percent of the newly originated loans and is within the grant upper threshold. The IVA will verify from the registers that the origination dates of the (new) loans are within the specified timeline and that payments are made directly into bank accounts or mobile wallets of the beneficiaries. The IVA will also ensure that registers for legible beneficiary firms include BVN numbers for entrepreneurs (firms’ owners) so that deduplication exercises for beneficiaries can be launched in case required. IVA will ensure that the records are originated using a robust and up to date database based.
* For DLI 3.2, the IVA will check that the records that include registers that include the number of legible beneficiary firms (formal and informal) that are receiving the operational support grants directly into their verified bank accounts or mobile wallets as captured in the vetting documentation. The records should also indicate the purpose for which the grant was used per legible firm. The BVN and phone numbers for legible beneficiary entrepreneurs should be included in the registers (firms’ owners) in case a deduplication exercise is required. The records of legible beneficiary firms should also list membership of trade associations/microcredit institutions (for informal firms).

**Verification Procedure**

Details of the verification protocol and the templates to be used during the periodic exercise will be specified in the DLI Verification Protocol and Procedure Manual. The IVA will also verify Report of annual Environmental and Social audit conducted. Report of semiannual Environmental and Social audit conducted including status of remedial actions taken that are Stated in E&S screening report, additional remedial actions identified and action plan for implementation, if relevant

The delivery platform will collect the data, results, and relevant information from the communities, LGAs, beneficiaries, and service providers such as payment service agents in a timely and accurate manner and present to the SCCU for use by the IVA. The SCCU will also use such information along with that of other platforms to produce a State CARES M&E report to be submitted to the FCSU. The M&E units of the Delivery Platforms will also work closely with the IVA for validation and cross-checking of the results data submitted. The FCSU will be responsible for producing the quarterly and annual Programme performance report.

DLIs, Disbursement Timing, and Verification Protocol

| Results Area | DLI | Timing after Effectiveness | Verification Protocol |
| --- | --- | --- | --- |
| Results Area 1: Increased social transfers, basic services, and livelihood support to poor and vulnerable households | Number of beneficiaries receiving State Social Transfers | 6, 12, 18 months | IVA verifies:   * Number and proof of successful direct cash transfer payments to stated number of enrolled beneficiaries * Number and proof of beneficiary selection from agreed State Register and enrollment by gender and vulnerability profile * Sample of beneficiaries to confirm receipt of benefits |
| Number of beneficiaries supported with Livelihood Grants | 6, 12, 18 months | IVA verifies:   * Reports and number of successful grant transfer to beneficiaries * Number and proof of individual selection from agreed State Register and enrollment by gender * Report of training attendance/register * Sample of beneficiaries to confirm receipt of benefits/grants and livelihood activity |
| Results Area 2: Increasing food security and safe functioning of food supply chains | Number of farmers utilizing agricultural inputs and services from the Program | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:   * Registers of names, numbers and gender of farmers receiving crop and livestock inputs, including the specific types of inputs (e.g. varieties of improved seeds) and quantities received by each farmer * Registers of names, numbers and gender of farmers receiving mechanization services and extension and advisory services; * Counter-signed forms from leaders of farmer groups confirming that farmers are utilizing the inputs * In addition, the IVA will visit a sample of heads of farmer groups to validate the records |
| Number of farmers accessing improved agricultural infrastructure | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:   * Registers of names, numbers and gender of individual benefitting from the infrastructure * The number of works contracts issued * Record of Environmental and social screening report conducted prior to commencement of infrastructures along with mitigation actions, timeline, responsible parties and budget in place, where needed * Works completion reports certified by local FADAMA-CARES desk and State Fadama Coordinating Office * In addition, the IVA visits a sample of the sites to confirm that infrastructure has been rehabilitated/improved as per works contracts * Report of semi annual Environmental and Social audit conducted including status of remedial actions taken that are stated in E&S screening report, additional remedial actions identified and action plan for implementation, if relevant |
| Number of farmers utilizing agricultural assets (production and small-scale primary processing) provided by the Program | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:   * Register with names, number and gender of farmers receiving assets for each category (production and small-scale primary processing/preservation) * Counter-signed forms from leaders of farmer groups to confirm that farmers are utilizing the assets * In addition, the IVA will visit a sample of heads of farmer groups to validate the records |
| Results Area 3: Facilitating recovery and enhancing capabilities of small and medium enterprises | Number of firms receiving Operational Support Grants | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:  for eligible formal beneficiary firms:   * Registers for number of eligible formal beneficiary firms that received support grants direct to wage/salary payments into the bank accounts or digital wallets of employees * Registers for number of eligible formal and informal firms that received support grants covering payments to private security personnel and purchase of solar panels * Registers for eligible formal beneficiary firms that received support grants that covered documented verifiable operational costs   For informal firms; IVA reviews documentation and evidence that includes but not limited to:   * Registers for number of eligible informal firms that were biometrically enrolled to the CARES state’s transacting platform e.g. Bank Verification Number (BVN), mobile phone number of beneficiary informal firms, where digital data protection is in place |
|  |  |  |

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## **CHAPTER FIVE: GENDER, ENVIRONMENTAL AND SAFEGUARDS**

**5.1 GENDER AND VULNERABLE GROUP INVOLVEMENT IN NG-CARES**

Across the world, Government plays a key role in poverty reduction. In the case of Nigeria, the inability of successive governments to streamline and harness the enormous potentials for improved service delivery in all the existing structures of poverty eradication has resulted in persistent poverty. While there are groups of people who often hold a disadvantaged position in society, this does not imply that their capacity to contribute to society is diminished. Vulnerable does not equate incapable. The second theme is the importance of organization. For a multitude of reasons, from financial to psychological or political to social, joining with others who share a similar situation increases the likelihood of success. Therefore, without removing the barriers that prohibit empowerment and inclusion, people cannot reach their goals or potential. To be empowered means to have open access to opportunities and services, free of stigma, biases, and unfair legislation.

**GVGs include:**

1. Women (by virtue of gender)
2. Children (by virtue of age, loss of parents)
3. Adults in need of care and protection against significant harm or exploitation due to:
   * + 1. Mental or other disability
       2. Age or illness
       3. The Poor
       4. Persons with disabilities
4. Others, such as:
   * + 1. Indigenous Ethnic or religious minorities
       2. Victims of domestic violence
       3. Homeless/ people
       4. Drug addicts
       5. HIV/AIDS affected
       6. Refugees/Internally Displaced Persons (IDPs)
       7. Victims of Flooding
5. Commercial sex workers as well as those who may be vulnerable due to their sexual orientation
6. People who have undergone traumatic or adverse emotional events, etc.
7. Social Orphans / Social girls
8. Internal Displaced Persons (IDPs)

**5.2 GVG PROFILING**

GVG profiling takes its origin from the concept of social profiling which studies the role a person or group’s social status (real or presumed) plays in the granting or denial of access to economic, political, or social rights and benefits by state and non-state actors.

Common conditions, which may contribute to discrimination, prejudice and/or stigmatisation of GVGs include:

1. Real or perceived difference in behaviour relative to traditional norms

2. Long-standing societal attitudes

3. Intolerance by the majority

4. Dependence on assistance

5. Self-segregation.

In its generic usage, profiling is the attempt to understand a person or group based on general characteristics or on past behaviours. It is the practice or method of preparing a set of characteristics by which to identify individuals as belonging to a certain class or group (Source: www.yourdictionary.com).

**5.3 Gender and Vulnerable Groups in NG-CARES**

The Programme target is to support women who are mostly affected by the COVID 19 pandemic. The Programme is expected to make provisions for 40% women, 10% handicapped and 10% youth participation should be ensured across all DLIs.

The Programme will address gender gaps through the following actions:

1. Deploying women famer field facilitators and extension workers to help mobilize more women to be supported by the Programme. The Programme will increase the number of female facilitators to enable facilitation of women groups and female beneficiaries, 30% – 40% of facilitators engaged under the Programme should be female.
   1. Engagement of Gender Officers in all PIUs to ensure effective participation of women and other vulnerable groups in the Programme.
2. Mobilization of female Farmers Groups and Associations across communities especially in the North to engender participation of women in purdah and female headed households.
3. Ensure active participation of women in the decision-making regarding community/ group development projects.
4. Provision of female friendly assets that can be managed and maintained with ease for the women in processing activities or off-farm enterprises.
5. Targeting women farmers who express demand for improved seeds, especially for higher-value cereal crops to help them transition from planting low-value roots and tubers.
6. Mandating that the design of small-scale irrigation tertiary canals, tube wells, and boreholes allows for multiple uses of water by women to perform household activities such as washing/cooking etc.
7. Reducing drudgery of women through assets that increase their labour productivity in production and small-scale primary processing of food. In particular, assets for small-scale food processing would increase the incomes of women while reducing food loss and waste.
8. Ensuring that support to upgrade water and sanitation services in wet food markets is designed to meet the needs of women as they comprise the majority of market participants. In addition, cleaning and fumigation of the wet markets would also be performed by women to provide them more income earning opportunities.
9. Provision of Psycho-Social Support (PSS) to GVGs who have undergone trauma / stress due to the COVID I9 Pandemic
10. (J) Mainstreaming GVG and sexual exploitation and abuse / sexual harassment issues in all Programme planning, designs and implementation.
11. Efforts should be made to organize female individuals with identifiable skills for purposes of grouping. Such groups should then be facilitated and encouraged to produce a Group Development Plan (GDP) in order to benefit from the Programme especially DLI1.4.
12. State governments shall extend protection to the vulnerable members of the society who might be overlooked by traditional means-tested safety nets Programme, especially as they are vulnerable to economic shocks.

### 5.4 Gender and Vulnerable Households/Groups

The relationships between men and women are powerful forces in every culture. The way these relationships are defined creates differences in the roles and responsibilities of men and women. It also leads to inequalities in their access to, and control over, resources (who inherits land or can get credit from the bank) and decision-making powers (who has a voice and sits on community councils and committees). The combined effect of these differences and inequalities means that women and girls, and men and boys face different types and levels of exposure and vulnerability to natural hazard risks and disaster impacts including COVID-19.

Under this Programme the vulnerable groups shall be defined as the aged, persons with disabilities, chronically ill, and urban poor households. The Programme target is to support women and vulnerable persons who are mostly affected by the COVID-19 pandemic.

**5.5 Gender and Vulnerable Households Risks**

There are potential risks of exclusion of persons living with disability in the infrastructural investment. To mitigate this risk, all investment in the upgrading of sanitary infrastructures in wet markets or other facilities such as warehouses will need to be designed to ensure universal access to accommodate people with disabilities.

There are also SEA/SH risks which may be enhanced by some of the project’s interventions, particularly in light of the COVID-19 pandemic and the increased contextual vulnerabilities faced by women and children. The Programme will respond under Results Area 1 at the federal level by developing and adopting project regulations that will include provisions/ action plans to guide states on addressing GBV risks in connection with the project. These regulations will address development of GBV-related measures for results areas that present increased risks of GBV, such as cash transfers, livelihoods support, and infrastructure and construction projects. The regulations will address the integration of gender- and GBV-sensitive components into the project’s GRMs and will provide guidance to states on key GBV issues such as determining the availability of GBV response services, awareness raising and sensitization among communities and project workers, and any codes of conduct or other accountability mechanisms that may be advisable for infrastructure and construction. In addition, Psycho-Social Support (PSS)[[1]](#footnote-1) shall be mandated across all DLIs in all Result Areas.

The institutional arrangement will be designed to promote inclusion, transparency, accountability, and grassroots/citizen engagement to build confidence of beneficiaries in the system and process particularly the cash/grant transfer activity. Citizen engagement will be strengthened by (a) ensuring an intensive Programme of engagement with project stakeholders; (b) deepening the consultation process, which began during project preparation; and (c) monitoring social impact through annual stakeholder/ beneficiary satisfaction surveys. In addition, the project will establish robust Grievance Redress Mechanisms (GRMs) to ensure that complaint and feedback trigger corresponding prompt responses. This engagement will follow the Nigerian Center for Disease Control, relevant state protocol and the World Bank protocol on COVID-19 on consultation, and stakeholder’s engagement in World Bank operations.

**5.6 Introduction to Environment and Social Safeguards (ESS)**

Environmental and social safeguards are essential in preventing and mitigating undue harm to people and their environment in the development process. When identifying and designing a Programme, safeguards will help to assess the possible environmental and social risks and the impacts (positive and negative) associated with a development intervention.

The overall environmental and social impacts of the COVID-19 Action Recovery and Economic Stimulus Programme are likely to be positive as the Programme will protect livelihoods and food security of poor and vulnerable families and facilitate recovery of local economic activity in all participating states across Nigeria. The Programme will not finance any activity that would cause high or significant environmental and social risks and impacts. Given the scope of the Programme, the types and scale of individual investments, the geographic focus, minor adverse impacts on the environment or on affected people are anticipated. Under the NG-CARES project the following risk and impact identified are air, noise, water, soil and groundwater pollution, waste management, traffic, resource efficiency, biodiversity loss as a result of rehabilitation of secondary and tertiary irrigation canals; tertiary roads; agricultural warehouse; sanitary infrastructures in wet market are limited and can be managed in line with the PforR core principles and procedure. Activities under the Programme are not likely to have significant adverse impacts on the environment and/or on affected people. In addition, the Programme will not support activities listed under the Programme exclusion list.

The Programme will be financed using the both the World Bank’s PforR and IPF financing instruments and implementation would largely be at the state level. The PforR shall be used to finance RA 1,2 and 3 and in meeting with due diligence and World Bank requirements for PforR financing, the Bank has prepared an Environmental and Social System Assessment (ESSA). The ESSA examined the extent to which the federal and state government’s existing Environmental and Social risk management systems operate within an adequate legal and regulatory framework to guide E&S impact assessments, mitigation, management, and monitoring at the PforR Programme level and incorporate recognized elements of good practice in E&S assessment and management. The ESSA thereafter defines measures to strengthen the Nigerian E&S system and recommends measures that will be integrated into the overall Programme. The ESSA was undertaken to ensure consistency with six core principles and key planning elements of the PforR ESSA. During preparation, a scoping exercise was conducted to determine the applicability of each of the six PforR Environmental and Social Core Principles to the various Programme DLIs and results chain. The relevant risks within the proposed results areas under the PforR cover Environmental and Social issues and include the following:

* 1. Air, noise, water, soil, and groundwater pollution; waste management; traffic; resource efficiency; biodiversity loss as a result of rehabilitation of secondary and tertiary irrigation canals; tertiary roads; agricultural warehouse; and sanitary infrastructures in wet markets
  2. OHS issues—both COVID-19 and non-COVID-19
  3. Waste management, pest management, and GHG emissions as a result of increased agricultural activities and operation of MSEs
  4. Labor and OHS issues due to labor-related actions in agriculture, during LIPW and MSEs’ activities under the Programme
  5. Risk of exclusion of vulnerable and marginalized individuals/ groups/disability exclusion, elite capture, SEA/SH, capacity to capture beneficiaries, and so on
  6. Insecurity resulting from Banditry, kidnapping, insurgency etc.
  7. Possibility of GBV and IPV as Programmes that provide cash transfer and other social support can, in some circumstances, be associated with increases in GBV and IPV. Also, the project envisions a range of rehabilitation projects, labor-intensive activities, and enhancement of employment in MSEs and these are activities that can increase GBV risks due to changes in labor patterns and income, creation of new hot spots for vulnerability, and changing community dynamics.

**5.7 Addressing Anticipated Risk Rating of the Programme**

**5.7.1 Anticipated Environmental and Social Risks**

The anticipated adverse environmental effects of the investments provided under this Programme are not expected to be significant considering the small scale and relative scatter infrastructure. These investments are localized with specific footprint of planned infrastructural works. However, potential risk of inadequate waste management, use of pesticides/fertilizers and sedimentation issues from rehabilitation of secondary / tertiary drains exist.

The anticipated environmental and social risks of the Programme have been assessed and deemed to be substantial. The substantial assessment was based on the fact that there will be rehabilitation and upgrading of infrastructure and possible construction of new infrastructure during implementation of community micro projects. Although adverse E&S impacts are not envisaged under the circumstances, current weaknesses in the borrower’s system and lack of capacity to address the E&S impacts and contextual risks (climate change, insurgency, banditry, and farmers’-herders’ conflicts) may limit the PforR’s ability to achieve its E&S operational objectives. The Programme therefore will not finance any activity that would cause high or significant environmental and social risks and impacts.

Envisaged risks associated with Result Area 2 could include over-use of chemical fertilizers, pesticides, among others, leading to soil and groundwater contamination. In addition, risk associated with Occupational Health and Safety, Greenhouse gases and labor management including the use of child labor will be mitigated under the Programme. While the Programme does not involve any activities that would result in land acquisition or any adverse impact on customary ownership/access to natural resources, however, risks associated with voluntary land donation exist. Similarly, risk related to Sexual Exploitation (SEA) and Sexual Harassment (SH), and Disability exclusion exist. Small scale, localized, and reversible social risks/impacts related to informal settlers, community and workers’ health and safety and social conflicts will need to be managed.

**5.7.2 Addressing Anticipated Environmental and Social Risks**

As required under Programme for Result Financing (PforR), an Environmental and Social System Assessment (ESSA) was conducted for the Programme. The ESSA examined the extent to which the federal and state government’s existing Environmental and Social risk management systems operate within an adequate legal and regulatory framework to guide E&S impact assessments, mitigation, management, and monitoring at the PforR Programme level and incorporate recognized elements of good practice in E&S assessment and management.

The ESSA thereafter defines measures to strengthen the Nigerian E&S system and recommends measures that shall be integrated into the overall Programme. In addressing the identified environmental and social risk of the Programme, a Programme Action Plan (PAP) was developed and integrated into the Programme design. The PAP defines key actions, responsibilities, and timelines for implementing required actions to address E&S risks. Similarly, for the IPF component of the Programme an Environmental and Social Commitment Plan (ESCP) with agreed actions, timelines and responsibilities was also developed in collaboration with the client. All activities under the NG-CARES Programme (under the PforR and IPF component) will be subjected to the requirements and provision of the PAP and ESCP. Compliance to these provisions will be key to the Programme achieving its objectives. It is mandated by Nigerian EIA Act (CAP. E12 L.F.N. 2004) that before commencement of any civil work that would have significant impact on the environment, an Environmental Impact Assessment (EIA) shall be carried out. Such assessments could include Environmental and Social Impact Assessments (ESIAs), Environmental Management Plan (EMP), Environmental Audit (EA). It is also important that these assessments include social concerns as highlighted in the ESSAs. Importantly, an environmental and social screening sheet shall be developed, and screening shall be done on each subproject under RA 1, 2 and 3 prior to approval of any project using this screening sheet and reports on these screenings shall be conducted and submitted to the Bank bi-annually. Subsequently, qualified professionals shall be engaged to develop an E&S mitigation measures based on the outcome and recommendations of the screening exercise.

In carrying out assessments under the NG-CARES Programme, importance shall be given to gap filling measures identified in the disclosed Environmental and Social System Assessment (ESSA) particularly as such measures aim to improve on the quality of such assessment under the Nigerian environmental and social system. These measures will also ensure good practice, bring such assessments to international standards and ultimately protect the environment from undue harm.

All stakeholders shall be consulted with during preparation of E&S reports and prior to commencement of any infrastructural sub projects. All reasonable efforts must also be made to disclose/display them to public strategic points within the project’s communities / areas of influence so as to allow all stake holders to read and understand how they and their environment stand to be impacted by the project.

All environmental concerns at the states shall be supervised by the Environmental Safeguard officer at the DPs, while all social concern and gender/SEA/SH shall be supervised by the social safeguards officer and gender specialist respectively. This same structure shall apply to both the GRM Officer and the Gender Specialist.

In addition, the DPs should refer to the National Centre for Disease Control (NCDC) Guidelines for Employers and Businesses on COVID-19 in Nigeria. Considering that this Programme is a response to Covid-19 pandemic, the DPs shall ensure all relevant NCDC and world bank COVID 19 Guidelines are adhered to during implementation.

More specifically, the following measures shall be followed under the NG-CARES Programme to address environmental and social concerns.

1. Environmental and social screening should be carried out on all activities to ensure compliance with the ESSA and government regulations. The State’s Ministry of Environment should establish a framework (for example, appoint a focal person) to adequately work together with the Federal Ministry of Environment, on environmental assessment (EIA and environmental audit). The state should also ensure that environmental and social safeguards audit is conducted at the end of the project.
2. The environmental and social screening report should be conducted prior to construction/rehabilitation of infrastructures/sub-Programme activities along with mitigation actions, timeline, responsible parties, and budget in place, where needed. This of course will be done with due consultation involving all the stakeholders especially the Project Affected Persons (PAPs) and this will be followed by disclosure.
3. Grievance Redress Mechanisms shall be developed and disclosed to all stakeholders including beneficiaries. A grievance redress mechanism committee shall be formed by the beneficiaries under the DPs (Social Safeguard Office) supervision, the chairman and all the executive members will be selected by the beneficiaries at the community level. There are two main documents to be used at the DPs; (a) Complain Report Format (b) Complain Data Base (see the formats below), they are to be completed for record purposes and onward submission to the appropriate agencies as the case maybe and recorded in the federal CARES information database.
4. Results Area 2 being Agriculture in nature, will trigger the generation of agricultural waste and effluent/waste-water. The State must ensure a proper Waste Management Plan (WMP), following international good practices. There should be training on the principles of waste management including waste minimization. In addition, trainings should also focus on waste to wealth techniques by the DPs. This shall be further stepped down by the DPs to the beneficiaries as part of sensitization to further discourages bush burning, deforestation, as a procedure for land clearing.
5. The Result Area 2 is to carry out activities to increase food security and safe functioning of food supply chains. The initial assessment identified risks associated with Pest Management. The pest survey will be carried out at the different location across different crops. The pest survey will be developed for routine diagnoses, general, surveillance, specific survey, latent inflections,and pest eradication.
6. The NG-CARES Programme comes with the additional health risk associated with the COVID-19 pandemic and as such the risk of Occupational Health and Safety (OHS) both COVID and non-COVID applies to the Programme. The design will ensure the compliance to Community Health and Safety; lay-down procedures and guidelines on COVID-19 including Good International Industry Practice (GIIP) to mitigate risks of OHS in the Programme. In addition, the design will take into considerations availability of Personal Protective Equipment (PPE) both COVID and non-COVID to be distributed to the workers for their use.
7. Other than the energy sector, agricultural sector is one of the highest emitters of carbon. The State have to be actively involved in sensitizing the beneficiaries on the pollution prevention and GHG emission i.e. bush burning, excessive use of synthetic fertilizers and other agro-chemicals. Activities from Results Area 2 are expected to result in net greenhouse gas (GHG)emission. The states should promote the procurement of climate-friendly facilities such as energy saving cook stoves, instead of firewood to reduce emission of GHG, develop the use of nurseries (greening of environment) as livelihood options, and encourage the use of renewable energy such as solar powered facilities including energy saving bulbs. In addition, priority shall be given to the use of renewable energy technologies such as solar and wind particularly in cases where such technologies can eliminate or reduce emissions from generator sets.
8. The Programme will not fund any activities that will lead to large-scale land acquisition and/or physical displacement of people will also be excluded. However, considering the Programme will support varied livelihood support activities and minor infrastructural activities, there could be cases of small-scale land acquisition. The magnitude of such potential land acquisition and associated impact is expected to be moderate with no potential physical relocation. Therefore, all infrastructural sub projects under the Programme shall be screened for land acquisition and resettlement, and where land acquisition will take place, the acquisition process will be implemented in line with PforR core principles within government system; and gap filling measures as identified in the ESSA shall be incorporated into such processes. In addition, A Voluntary Land Donation (VLD) Protocol satisfactory to the Bank shall be developed for use by the states in addition to the screening of all infrastructural sub project.
9. All infrastructural investment and the upgrading of sanitary infrastructure in wet markets or other facilities shall be designed to ensure universal access[[2]](#footnote-2) to accommodate people with disabilities. In addressing access to facilities, at any point where stairs are constructed, a ramp shall be constructed as well to ease the movement of people with disabilities using wheelchairs. Other potential disability risks associated with the Programme and identified in the ESSA and included in the Programme Action Plan shall be incorporated into the Programme activities.
10. The States engagement will follow the Nigerian Center for Disease Control (NCDC), relevant State protocol and the World Bank protocol on COVID-19 on consultation and stakeholder’s engagement in World Bank operations. This will at a minimum include the provision of handwashing facilities, water, sanitizers at the entrances to common places including wet markets, warehouses etc.; and wearing of face mask at the entrance whenever in other common user facilities points.
11. The upgrading of the wet market sanitary condition should have a design that will provide toilets facilities in line with international good practice, with signs clearly displaying male, female and people with disabilities including adequate water supply, as well as proper waste disposal and waste collection points.
12. Labour Management including risk associated with Child labour have been identified as a risk under this project which include the use of child labour. The State is to refer to the following as mitigation measures; a) a policy on working condition and management of worker relationship - Labour Management Procedures (LMPs), b) measures for protecting the workforce and to prevent child Labour and forced Labour, c) a worker’s grievance will be integrated in the project GRM design to address workers’ complaint and concern.
13. Relevant states shall also carry out a security risk assessment and develop a security management plan as required.

**5.8 Monitoring and Evaluation of Environmental and Social Safeguards**

Supervision for environmental and social safeguard compliance will be managed through the DPs with support from the Federal platforms and FCSU. In addition to Bank requirements, the DPs will be responsible for ensuring the proper application of relevant national and state social and environmental requirements. Where necessary, the project design will also mainstream the use of technology for remote supervision and project monitoring.

Each DP will continue to staff an environmental specialist, a social specialist, a gender specialist as well as an engineer to assist with project supervision especially as the Programme involves inspection of civil works on the field. These engagements shall be throughout the duration of the Programme.

The implementation of agreed mitigation measures as proffered in the Environmental and Social Management Plans (ESMP) shall rest with the community implementing structure and shall be supervised by the DPs. The EMPs shall be included in bidding and contracting documents and shall be presented for approval of the DPs. These plans shall be reviewed, along with other contract documentation by the DPs.

**5.9 Grievances Redress Mechanism (GRM)**

Grievances are issues, concerns, problems or claims that individuals or community/groups want addressed and resolved within the project scope/ duration. Grievance’s mechanism is a locally based project specific and an extra-legal way to deal with and resolve complains and grievances faster which therefore enhances project performance standards in terms of social and resettlement management. It serves as cost effective way to address conflicts and grievances without pursuing legal actions.

The Programme shall develop a structured GRM for all states. The GRM shall be developed to leverage on the various existing delivery platform structures. States without an agency responsible for grievance redress and peaceful resolution of disputes should institute a legal framework and create an agency to facilitate grievance redress. In addition, a workers’ grievance shall be integrated in the project design in accordance with ESS2 Labor and Working Conditions. The process of grievance resolution shall ideally be in line with figure 6.1 below.

Information logged, documented, and archived.

**COMPLAINTS**

Different Modes of receiving complaints such as phone calls, SMS, Email, video, verbal (face to face), Letter, Complaint / Suggestion Box

Grievance taken to the next level of grievance resolution. The LGA and State. The Court of Law being the last course of action.

Confirmation that grievance is related to CSDP, Categorization of complaint, Investigation commences,

**ACTION PLAN**

**SATISFACTORY RESOLUTION**

**CLOSED**

Receive all complaints and acknowledge receipt.

**GRIEVANCE REDRESS CENTRE**

Response to complaints and Action taken.

PROCESSING CONCLUSION

**UNSATISFACTORY RESOLUTION**

**VERIFICATION**

**REGISTRATION**

**PROCESSING**

**IMPLEMENTATION & CASE CLOSING**

**1**

**2**

**3**

**4**

Process of handling a Grievance

Communities, households, and individuals shall be sensitized on the availability of this GRM and the contact information for grievance redress at the community, LGA, and state levels. Redress on specific issues surrounding targeting and payments may take different forms depending on the specific grievance submitted; possible redress could include information clarification, payment regularization, and registry update, among others.

Communities and individuals who believe that they are adversely affected as a result of a Bank supported PforR operation, as defined by the applicable policy and procedures, may submit complaints through the Programme’s existing Grievance Redress Mechanism (GRM).

In addition, complaints could be submitted to the WB’s Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address pertinent concerns. Affected communities and individuals may submit their complaint to the WB’s independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank’s corporate Grievance Redress Service (GRS), please visit http://www.worldbank.org/GRS. For information on how to submit complaints to the World Bank Inspection Panel, please visit http://www.inspectionpanel.org.

Grievances Redress Committee (GRC) is expected to be at various levels.

* Local/ Community level
* LGA level
* State Level (SA)
* Federal Level

The Programme shall prepare a GRM which can be adapted by the States. This GRM shall incorporate the basic principles of GRM which include simplicity, transparency, inclusivity, impartiality among others. It shall be the responsibility of the Social Safeguard Consultant engaged by the DPs to ensure the dissemination and operationalization of the GRM.

# **CHAPTER SIX: FUNDS FLOW AND FIDUCIARY MANAGEMENT**

## **6.1 Financial Management**

The objective of the Financial Management systems is to support the implementing units in deploying Programme resources to produce the required outputs and with attention to economy, efficiency and effectiveness. Specifically, the FM systems will be capable of producing timely, understandable, relevant and reliable financial information that will enable the implementing units to plan, coordinate, monitor and appraise the Programme’s overall progress towards the achievement of its objectives, as well as ensuring that funds provided will be used for the purposes intended.

## **6.2 Planning and Budgeting**

At Federal and State level budget preparation will follow the government procedures. Financial projections or forecasts for the life of the Programme (analyzed by year) will be prepared. On an annual basis, the FCSU and Platforms at federal level as well as SCCU with Implementing Agencies will prepare detailed annual workplan (AWPs) for technical and handholding support that would be financed through the IPF technical assistance component of the Programme which would be review and approve by the Federal CARES Technical Committee. The budget should include the figures for the year analyzed by quarter. The budget for each quarter will reflect the detailed specifications for Programme activities, schedules (including procurement plan), and expenditure on Programme activities scheduled respectively for the quarter. All annual cash budget will be sent to the TTL at least *two* months before the beginning of the Programme fiscal year. Planning and budgeting by the DPs and SCCU in the results areas under the Programme component will follow the government procedure.

Detailed procedures for planning and budgeting would be documented in the Financial Procedure Manual (FPM).

### 6.3 Internal Control and Internal Auditing

Internal control comprises the whole system of control, financial, or otherwise established by FCSU/NG-CARES and DPs/States CARES in order to:

1. carry out the Programme activities in an orderly and efficient manner;
2. (ii) ensure adherence to policies and procedures;
3. (iii) safeguard the assets of the Programme; and
4. (iv) Secure the completeness and accuracy of the financial and other records.

The key elements to ensure a sound internal control system will include:

* Internal control environment;
* Objective setting;
* Event identification ;
* Risk assessment;
* Risk response;
* Control activities;
* Information and communication; and
* Monitoring.

Programme activities will also be periodically reviewed by the Internal Audit Unit (IAU) of FCSU and States CARES DPs. At a minimum they will: (i) carry out periodic reviews of Programme activities, records, accounts and systems; (ii) ensure effectiveness of financial and accounting policies and procedures as well as compliance with internal control mechanisms; (iii) review SOEs; (iv) physically verify purchases and assets; and (v) carry out other functions as Stated in their approved charter.

### 6.4 Accounting

Programme funds will be accounted for on accrual basis, augmented with appropriate records and procedures to track commitments and to safeguard assets. In accomplishing this, a robust accounting software shall be in place in FCSU and the DPs at States level. Accounting records shall be maintained in applicable currencies (i.e. Naira and USD).

The Chart of Accounts will facilitate the preparation of relevant monthly, quarterly, and annual financial Statements, including information on the following:

* Total project/Programme expenditures;
* Total financial contribution from the IDA and government;
* Total expenditure on each project component/activity, and Programme intervention area; and
* Analysis of total expenditure for each DLI on the result Areas

Annual financial Statements will be prepared in accordance with relevant and applicable accounting policies.

### 6.5 Financial Reporting

Within the FCSU, the National Progamme Coordinator shall ensure that the Project Accountant (PA) for the IPF prepares **Interim Financial Reports** (IFR), i.e. quarterly and **Annual Financial Statements,** on a timely basis. In compliance with government reporting requirements, periodic/monthly returns will be made to the Federal and States Accountants General for incorporation in the government accounts as described in the FPM. These reports and financial Statements are outlined below. Calendar semester and Annual reports are to be submitted respectively to:

1. FCSU, FCTC, FCSC and SCSC
2. IDA – for the purpose of monitoring project implementation.

### Monthly Submissions:

**Monthly Reports:** *On a monthly basis, Project Accountant (PA) of FCSU, SCCU, and Implementing DPs shall prepare and submit the following reports to their respective Heads/Accounting Officers:*

* A Bank Reconciliation Statement for each bank account;
* A Monthly Statement of Cash Position for project funds from all sources, taking into consideration significant reconciling items;
* A Monthly Statement of Expenditures classified by project components, disbursement categories, and comparison with budgets, or a variance analysis; and
* A Statement of Sources and Uses of funds (by Credit Category/Activity showing IDA and Government Funds separately).

### Calendar Semester Submissions

**Quarterly Reports:** The following interim financial reports (IFRs) will be prepared by FCSU on a calendar semester basis and submitted to IDA for the IPF component:

* *Financial Reports*, which include a Statement showing for the period and cumulatively (project life or year to date) inflows by sources and outflows by main expenditure classifications; opening and closing cash balances of the Project; and supporting schedules comparing actual and budgeted expenditures. The reports will also include cash forecast for the following two quarters as well as analysis of disbursements against contracts.
* *SOE withdrawal schedule*, listing individual withdrawal applications relating to disbursements by the SOE method, by reference number, date and amount; and
* *Designated account Statement* *reconciliation*, showing deposits and replenishments received, payments supported by withdrawal applications, interest earned on the account and the balance at the end of the reporting period.

Each State Accountant General will prepare calendar semester unaudited interim financial report incorporating information required for the NG-CARES Programme and submit to the SCCU. SCCU will submit a copy of the semester IFR to SCSC. Also, it will forward a copy of the reports to NC/FCSU for submission to IDA and FCTC.

### Annual Submissions

**Annual Financial Statements.** The annual Project Financial Statements, which will be prepared by PA of FCSU will include the following:

* *A Statement of Sources and Uses of Funds* (by Credit Category and Activity showing IDA);
* *A Statement of Cash Position* for Project Funds from all sources;
* *Statements reconciling the balances* on the various bank accounts (including IDA *Designated* Account) to the bank balances shown on the Statement of Sources and Uses of Funds;
* *SOE Withdrawal Schedules* listing individual withdrawal applications relating to *disbursements* by the SOE Method, by reference number, date and amount;

States Accountants General will submit general purpose audited annual financial statements with the necessary information required for the NG-CARES Programme to the Federal Cares Support Unit.

### 6.6 Auditing

State Auditors-General will be responsible for the audit of the Programme within each State. The audit report issued for the GPFS of the State shall include or be accompanied by a special audit opinion on the CARES’ PEF disclosure note. The audited financial statements shall be submitted to the World Bank within nine months of the end of the government fiscal year.

The annual financial statements for the FCSU will be audited by an external audit firm based on Terms of Reference acceptable to IDA and the audited financial statements shall be submitted to the Bank within 9 months of the end of the government fiscal year.

The auditor will express an opinion on the Annual Financial Statements in compliance with International Standards on Auditing. In addition to the audit report, the external auditors will prepare a Management Letter giving observations and comments, and providing recommendations for improvements in accounting records, systems, controls and compliance with financial covenants in the Financing Agreement.

### 6.7 Funds Flow and Banking Arrangements

### IPF Component:

### The overall project funding will consist of IDA Credit. IDA will disburse the credit through a Designated Account (DA) opened and operated by the FCSU. IDA will sign a credit agreement with Federal Ministry of Finance (FMF) and the following accounts shall be maintained by FCSU:

### A DA in US Dollars to which the initial deposit and replenishments from IDA funds will be lodged (Federal);

### A Current (Federal draw-down) Account in Naira to which draw-downs from the DA will be credited as may be required for eligible expenditures at FCSU.

### Additionally, FCSU will maintain an IDA Ledger Loan Account in US Dollars/Naira/SDR to keep track of drawdowns from IDA credit. The account will show (a) deposits made by IDA, (b) direct payments by IDA, and (c) opening and closing balances.

All bank accounts will be reconciled with bank Statements on a monthly basis by the Financial Management Unit of the FCSU. A copy of each bank reconciliation Statement together with a copy of the relevant bank Statement will be reviewed monthly by the Project Accountant who shall be expeditiously investigated and identified differences noted and reconciled. Detailed banking arrangements, including control procedures over all bank transactions (e.g. cheque signatories, transfers, etc.).

All cash advances granted to Project staff must be retired by the staff concerned before new cash advances are granted. An Advances Register/Schedule will be maintained by the PA as a control measure to keep track of disbursements.

All expenditure commitments shall be authorized by the National Coordinator of FCSUs and no expenditure of Project funds shall be incurred or committed unless:

* funds are available and expended within approved Project budget;
* the proposed expenditure is an eligible expenditure under Financing Agreement;
* the expenditure to be incurred is in line with approved Project policies and procedures; and
* the Bank’s No Objection (NO) has been obtained for expenditure above the prior-review threshold or where applicable, in the case, of consultancy related expenditure.

### 6.7.1 IPF FUND FLOW

**Fund Flow Arrangement**

1. The FCSU will be headed by a National Programme Coordinator, supported by a core technical team as shown in figure 9. Additionally, the National Fadama Office and National GEEP/BOI Office will provide technical and operational support to the states for Results Areas 2 and 3 of the Programme, respectively. The FMHADMSD, through National Social Safety Nets Coordinating Office (NASSCO), NCTO and Social Protection Unit, will provide assistance as needed to the Result Area 1 Technical Unit in FCSU to support the delivery platforms at the State level. The NGF secretariat will coordinate on peer learning activities for all the participating states. The National FADAMA office, The National GEEP/BOI office and the NGF at the federal level will submit annual work plan and budgets for the technical support and peer learning work for integration into the overall budget and workplan of the FCSU. They would also provide progress report to the FCSU.
2. For the TA (IPF) component, the World Bank will disburse the funds to a US dollar designated account (DA) opened at the CBN. To mitigate the risk of delay in payments by the implementing entities, payments are made within 72 hours for eligible expenditures. The DA will be managed by the FCSU based on approved and costed AWPs, disburse funds through the Naira draw-down account (also held with the CBN) to finance eligible expenditures. Disbursements under the TA component will be made primarily as advances based on unaudited IFRs to be submitted on a quarterly basis. The DA ceiling will be based on six-month forecast expenditures and replenished quarterly for the same period.
3. This implementation arrangement includes implementing an enhanced accountability framework to mitigate the risk of misuse of funds for soft expenditures (especially travel, workshops, study tours).

**PFOR PROGRAM FUNDS FLOW DIAGRAM:**

SCCU/Min. of Budget & Planning (existing Account) – SCCU Expenditures

(E)

(E)

Naira Draw-down Account at the CBN Managed by FCSU

Delivery Unit (existing Account) – Programme Expenditures

States Consolidated Revenue Fund Subaccount

(D)

(C)

(B)

(A)

Special Fund Account (USD$) at the CBN Managed by FCSU

World Bank

FMoF/FCSU Programme Support Unit

**Decision on disbursement by** World Bank

1. FCSU Submits Withdrawal Application (WA) to the World Bank.
2. World Bank disburses to Special Fund Account held with the CBN for subsequent payment to beneficiary States.

1. From the Special Fund Account, Naira equivalent transferred to Draw-down Account.
2. From Naira Draw-down Account transfers are made to qualifying States. Transfers to States will be accomplished within 14 days of receipt of disbursements from the World Bank.
3. From the State Consolidated Revenue Fund Subaccount, States disburse to the Delivery Units and SCCU/Min. of Budget & Planning

### The proceeds of the IDA credit under the Programme results component will be disbursed to the Federal Governments Special Fund Account, a subaccount of the Treasury Single Account (TSA) held with the CBN—triggered by validated results under the six-monthly Programme assessment presented in a Programme progress review report. Upon achieving DLI-related results, a withdrawal application will be submitted to the World Bank, using the World Bank’s standard disbursement form through the e-disbursement functionality in the World Bank’s Client Connection system. Disbursements of performance-based financing (PBF) to performing States will be made from the draw down Account to a subaccount of the Consolidated Revenue Fund sub-accounts of the respective States to be opened for that purpose and from where disbursements will be made to the implementing agencies. To mitigate the risk of delay in the transfer of funds from the FCSU/FMFBNP to the States, it is agreed that States share of funds received in the TSA at the federal level are transferred to the States CRF subaccount within 14 working days of receipt of the funds in the Special Fund Account held at the CBN.

### 6.7.2 Disbursement Arrangements

(a) The Financial Management Department shall prepare a table of amount due for payment and a letter of instruction addressed to the CBN where the Project’s Designated Account is held to transfer the US Dollar equivalent of the Naira amount to the Naira Drawdown Account. The letter of instruction (disposal instruction) shall be approved and signed by the authorized signatories to the Designated Account.

(b). The Financial Management Department shall dispatch the letter of instruction to the bank and keep copy at the FCSU for the records. On receiving the letter of instruction, the bank shall acknowledge receipt by stamping, signing and returning the duplicate copy to the Project for retention at the Financial Management Department. Separate correspondence (banking) file shall be maintained for each Bank account being maintained by the Department. Before any disbursement is made from the Naira Drawdown Account, the approval of the Coordinator of FCSU shall be obtained and adequate directives for disbursement shall be given by the Financial Management Department.

(c). Disbursements shall have reference to the allocation of amounts of Credit to each Result Area and the percentage of expenditures for items to be financed in each Result Area with respect to specific State.

(d). A Naira Drawdown Account shall be opened and maintained for the Programme with the Central Bank of Nigeria.

Details of the Disbursement Arrangements, Withdrawal of Financing Proceeds, and Reporting on use of Financing Proceeds and Other Disbursement Instructions are documented in the Disbursement Letter.

**6.8 Minimum Value of Applications**

The Minimum Value of Applications for direct payment is as indicated in the Disbursement Letter.

Reporting on Use of loan Proceeds

Good quality and timely unaudited Interim Financial Reports shall be submitted on a calendar semester basis within 45 days of the end of the semester

Management of Accounts

Signatories to Account shall be in line with State Government protocols or the existing project regulations. A general guide is as stated below:

Category A:

Head of Delivery Platform/Unit - Principal

Management Staff/Director in the Planning Ministry - Alternate

Category B.

Head of Accounts - Principal

Assistant Project Accountant/Head of State PFMU - Alternate

The Principal signatory on each of the categories must co-sign all mandates/cheques, except in an extreme case of disability or documented absence. No two signatories in one category should co-sign a mandate/cheque.

### 6.9 Authorization and Approval Schedule – IPF Component:

The authorization and approval limits for various documentation and processes are set out below. The utilization of Programme component funds shall follow State Government Protocols.

|  |  |
| --- | --- |
| Documentation | Authorization and Approval |
| 1. Purchase orders | (a) Procurement below N 500,000 shall be made using the Local Purchase Order which shall be prepared by the Procurement Officer and approved by the Coordinator of the FCSU. For such payments above N2,500,000, the FCSU/Implementing Agencies management shall review and approve such expenditures.  (b) Procurement under N 250,000 can be made by cash Requisitions to be prepared by the Procurement Officer and approved by the FCSU Coordinator. The only exception to this shall be in relation to Workshops and trainings. |
| 1. Payment voucher | (a) Payments shall be recommended to the Project Accountant, for settlement after having been reviewed by the relevant HoD and authorized by the FPSU Coordinator. |
| 1. Petty cash | (a)The petty cash will be operated on an impress basis at a level of N300,000.00 All petty cash vouchers shall be recommended for payment by the relevant sectional head and authorized by the Head of Department. Approval of the petty cash voucher shall be by the FCSU Coordinator.  (b)Expenses up to a limit of N50,000 will be paid through the petty cash whilst those more than N50,000 will be paid using cheques through the main payment system. |
| 1. Cheques and other financial instruments | (a) All payments below US$50,000 equivalent to be approved by the Coordinator FCSU  (b) All payments from US$50,000 to US$100,000 to be approved by Management  (c) All payments from US$100,000 to US$250,000 shall be authorized by the Chairman of FCTC.  (d) All payments above US$250,000 equivalent shall be authorized by the Chairman of the FCSC. |

### 6.10 Supervision Plan

Supervision activities shall include review of calendar semester Interim Financial Reports (IFRs), review of annual audited financial Statements and management letter as well as timely follow-up of issues arising, participation in project supervision missions as appropriate; and updating the FM rating in the implementation Status Report (ISR).

### 6.11 Audit Arrangements

### Internal Audit

The Internal Audit Unit of FCSU will perform internal audit activities and also will carry out both the traditional internal or compliance audit and the non-financial or operational internal audit, but without adopting the prepayment audit system for the project. Regular internal audit reports will be submitted to the FCSU Coordinator -records and accounts will be reviewed and subjected to internal audit. The internal audit function will be performed by relevantly qualified staff. The designated PIA will have responsibility for the following internal audit functions:

* Reviewing and appraising the soundness, adequacy and application of accounting, financial, and other operating controls and promoting effective controls at reasonable cost.
* Determining the extent to which Project assets are accounted for and safeguarded from losses/abuse of all kinds.
* Ascertaining the reliability of management data developed within the project.
* Ensure and ascertain the extent of compliance, determine adherence with established institutional policies, plans, and procedures.
* Maintain records of all audit queries and compliance.
* Recommending operating improvements by making appropriate constructive suggestions and recommendations.
* The internal audit report shall be forwarded to the Coordinator monthly/quarterly/yearly or as may be required.

### PROCUREMENT

General Procurement Environment in Nigeria: Nigeria’s procurement environment is largely premised on the progress achieved in implementing a procurement reform Programme based on the recommendations of the 2000 Country Procurement Assessment Review (CPAR). The procurement arrangements for the PforR Programme will be carried out in line with each individual State’s public procurement system while the World Bank Procurement Regulation will govern the IPF component to be administered by the FCSU. As at March 2020, 31 out of the 36 States in the country already had acceptable procurement laws which are at different levels of operation. The procurement system at the States is similar to that at the federal which are both based on the UNCITRAL model with minor differences to cater for peculiar domestication at the State level.

**Procurement profile of the Programme**. There is adequate information on the extent and profile of procurable expenditure under the Programme. Procurable items are very low and will not be beyond the capacity of the proposed implementing agencies.

### Procurement Arrangement

1. The Procurement Regulations for IPF Borrowers, July 2016 as revised in 2017 and 2018 (Procurement Regulations) will govern and guide procurements for the TA component of the Programme. For each contract to be financed by the Credit, the different procurement methods or consultant selection methods, the need for pre-qualification, estimated costs, prior review requirements, and time frame will be agreed between the Borrower and IDA in the Procurement Plan.
2. The procurement plan will be developed annually by the Borrower and agreed to by the Bank and should be made available in the project’s database and in the Bank’s external website. This procurement plan should be updated, with relevant information such as status of implementation and timing of each milestone in the procurement process, by the project in agreement with the Bank.

3 Procurement Implementation will mainly be carried out by the existing platforms of delivery for each Result Area. In addition, the procurement management is decentralized at the State and local government levels and as such, the implementing agencies have authority to commit resources and implement their own procurement activities. In accordance with the States’ procurement laws, all new projects and Programmes undergo detailed analyses to understand their rationale, including economic, financial, E&S benefits and to reduce government reputational risks.

**Procurement Oversight**: The State’s Public Procurement Agencies have the statutory responsibilities to also carry out procurement post reviews and procurement audits to measure the performance of the procurement system and as such, will be required to provide oversight on all the Programme procurement activities.

**Procurement for Subprojects:** Major activity group in DLI 2.2 such as improvement/rehabilitation of existing tertiary irrigation canals and feeder roads and soil conservation measures for **Labour Intensive Agricultural Infrastructure** as well as **Food supply chains and mitigating food loss and waste in DLI 2.4 with**  major activities such are upgrading of water and sanitation infrastructure in existing wet markets, provision of fumigation services in the wet markets and provision of equipment for small-scale food processing and packaging to farmers and farmer groups will be implemented by the existing platform for Fadama.

The beneficiary community will be responsible for the procurement activities in **DLI.2.1** such as Agricultural inputs and services (seeds, fertilizers, extension advice, etc.) to be delivered as a package; **and DLI.2.3** such as agricultural assets for waste management (biogas units), equipment for on-farm small-scale irrigation, micro-power generation, food storage and preservation, fishponds, replacement of small ruminants, etc.; once they have received information from the provincial committee that their application for subproject financing has been approved. In practice, some preliminary actions, such as preparing invitations to bid, identifying suppliers can begin even earlier. The mode of procurement shall largely depend on the budget value of the contract that is contemplated. However, cognizance also shall be taken of the provincial practices and the capacity of the community to manage the process.

When the procurement of a subproject (input or asset) has been approved, the community could opt for one of the following procurement methods:  **LOCAL SHOPPING:**by sending an invitation to bid to a minimum of three Service Providers who have expressed interest and certified by the delivery platform **LOCAL BIDDING:**by placing a specific notice at the local or village level adopting the local practices for disseminating official announcements (e.g., local notice boards, district council, etc.) and using for this purpose a modified version of the general advertisement (see Attachment 1 (b)); at least 15 days should be allowed to prepare and submit bids; a date, time and place for the public bid opening coinciding with that for the deadline for bid submission should be indicated; **DIRECT CONTRACTING:**this is a direct negotiation with a local contractor familiar to the community in case a competitive method cannot be used or is not practical. The thresholds for the use of Local Shopping and Local Bidding will be in accordance with individual State’s Procurement Regulation.

The procedure for *local shopping* is that, the contract has to be awarded to the lowest evaluated bidder on the basis of criteria mentioned in the invitation sent to a minimum of 3 potential bidders.

**Procurement and Selection Methods.** Goods and works shall be procured through Competitive Bidding (CB), adopting relevant procurement methods as defined in the Development Credit Agreement (DCA) with details in the World Bank Procurement framework and procedures for goods, works and services.

Procurement method is determined on the basis of contract value, to allow for efficiency, effectiveness and economy. Procurement methods such as Open and Limited Competition, Request for Quotation or National Shopping, Community Participation, and Direct Contracting will be utilized.

Selection of consultants will follow Quality and cost Based Selection (QCBS), Selection Based on Least Cost (LCS), Selection Based on Consultant Qualification (CQ) and Selection of Individual Consultant (IC). Detailed description of these methods can be found in the Bank Procurement Framework under IBRD loans and IDA credits and ‘’Selection and Employment of consultants by World Bank borrowers’’. The various procurement procedures to be used, based on the procurement methodology, is contained in the procurement manual.

The Bank’s approved Standard Procurement Documents (SPD) for goods, works and Consultants Services will be used as appropriate. The standard Evaluation forms shall also be used for evaluation of bids and reporting during project implementation period.

For each contract to be financed by the Credit, the different procurement methods or consultancy services selection methods, estimated costs, prior review requirements, and time frame have been agreed between the Borrower and the Bank in the procurement plan.

Workshops, conference attendance, and study tours will be carried out on the basis of approved annual Programmes that would identify the general framework of training activities for the year, including the nature of training/study tour/workshops, the number of trainees, and cost estimates, to be reviewed and cleared by IDA. Selection of training institutions for workshops/training should be based on a competitive process using the Consultant’s Qualification or any other relevant method of selection.

**Bid Opening Committee:** Bids shall be opened on the bid-closing date in the presence of bidders or their representatives that chose to attend. A register for bids submission and attendance shall be provided. The Project Coordinator at FCSU/SCSU/PIU shall establish a bid opening committee for activities for each procurement exercise. The Project Coordinator or his nominee shall head the Committee, while the Procurement Officer shall serve as the Secretary.

**Bid Evaluation Committees:** The FCSU/SCCU/Community shall constitute an evaluation committee comprising of three (3) or more persons for the evaluation of bids received by the project at Federal, State and Community level. Evaluation committee must include beneficiary representative while, Contract award and Contract agreement shall be signed by the SFCO.

**Contract Notification and signing:** The FCSU Coordinator and the Procurement Specialist shall carry out notification and signing of contracts at federal level, the SCCU coordinator and procurement officer shall carry out notification and signing of contracts at State and community level.

**Receiving/Inspection of goods, works and services:** Upon acceptance of consultancy and training reports by a designated officer or completion/receipt of works /goods at federal or State level, the Engineer certify the works and the stores personnel inspects quantity and quality of goods in order to ensure conformity to the technical specification. Payments are made only on confirmation of the above.

If the reports of an assignment or goods/works are rejected, the consultant or the contractor shall promptly be notified.

However, if they are accepted, the goods receipt notes shall be issued for goods received and certificate of completion shall be issued for completed works while an acceptance report or memo is prepared for a consultancy service.

**Verification of Contract Performance:** A team made up of the Procurement Officer, Project Accountant, Internal Auditor, Stores Officer and the relevant technical specialist shall make verification of contract performance at the FCSU/SCSU/PIU. They shall recommend the outcome of their verification exercise to the Coordinator on whether to effect payment or not.

**Monitoring & Reporting:** Contracts shall be monitored, and reports prepared on monthly and quarterly basis at Federal and State level to prevent unnecessary delays in contract executions. Reports shall be prepared to show procurement of goods, works and services already completed, those in-progress and those to be undertaken.

**Procurement Risk Assessment**.

Draft annual procurement plans are used to formulate the budget. As a rule, projects are designed before inclusion in the annual budgets. The procurement plans are finalized after the appropriation law is enacted in January and disclosed in the State Procurement Agencies’ website, although the finalization of procurement plan may be delayed if there is slippage in the passage of the appropriation bill by the legislature, which may affect procurement implementation.

**Procurement Activities.** Procurement activities that are within the NG-CARES Programme boundary across the results areas include **Works** - (a) upgrading of the sanitary infrastructure in markets; (b) improvement in existing agriculture infrastructure for canals, feeder roads, and warehouses; and (c) rehabilitation of classroom blocks and primary health care centers; **Goods** - (a) acquisition of solar panels, (b) procurement of farm assets and equipment, and (c) procurement of ICT equipment; **Consulting Services** - (a) provision of extension services and training and (b) technical assistance and training on digital payment system.

**Operating Cost:** The operating costs shall include salaries for contracted staff (Specialists, Assistants and Support) salaries, employment benefits, travel expenditures and other travel-related allowances; equipment rental and maintenance; vehicle operation, maintenance and repair; office rental and maintenance, materials and supplies; and utilities and communication expenses; and bank charges.

**Prior review Thresholds**. The approved procurement thresholds and corresponding procurement methods vary across the States, depending on their economic capacity and level of development of their procurement system. The applicable procurement thresholds and methods for the IPF TA component are as shown below:

|  |  |  |  |
| --- | --- | --- | --- |
| Procurement Threshold | | | |
| Category | **Threshold in USD (000)** | **Methods** | **Remarks** |
| Goods, IT and Non-Consulting Services | 5,000 or more  Less than 5,000  100 or less | ICB  NCB  RFQ or National Shopping | All  Above 2,000  None |
| Consultants (Firms)   * Consulting Services * Engineering and Construction Supervision | Less than 300  500 or less | Shortlist of National Consultants  Shortlist of National Consultants | None  None |
| Consultants (Individuals) | 100 or more  Less than 100 | IC  IC | All  None |

No procurementactivity under the Programme is expected to fall within the ICB threshold**.**

**Post Review/Integrated Fiduciary Review.** For compliance with the bank’s procurement procedures, the bank will carry out sample post review of contracts that are below the prior review threshold. Such review (ex-post and procurement audit) of contracts below the threshold will be subject to the risk rating of the post-review contracts in the project. Procurement post-reviews will be done on annual basis depending on the number of post-review contracts.

**CHAPTER 7: COMMUNICATION STRATEGY**

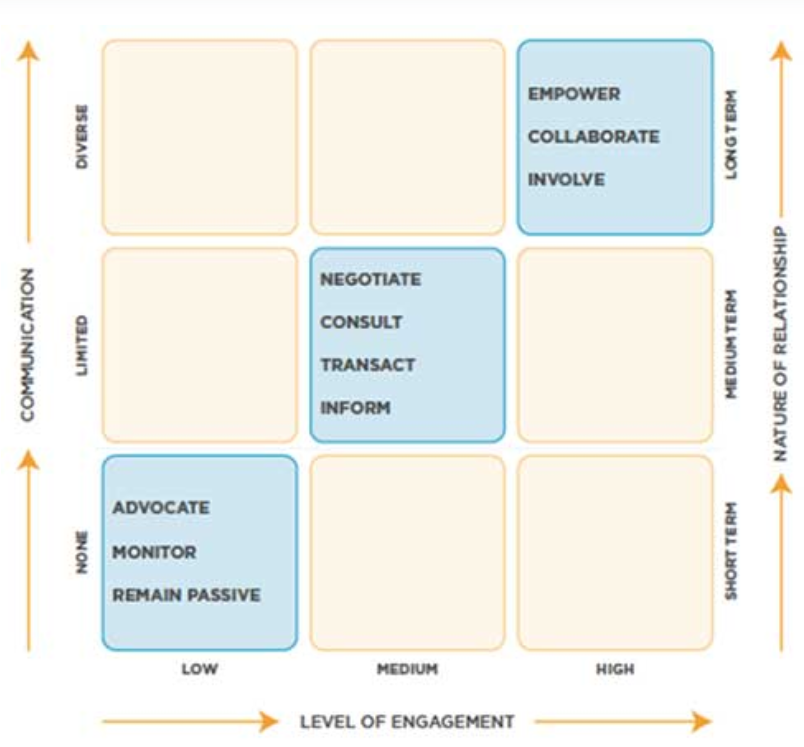
The general objective of the Communications (Comms) Strategy is to provide communication and sensitization support to all groups and actors as well as the beneficiaries involved in the implementation of the Programme. The Comms Strategy is planned to promote:

1. Appropriate visibility of the Programme activities with messages and calls for action.
2. Catalyze beneficiaries into engaging with other stakeholders including donors, NGOs, and other interested parties, and
3. Promotes understanding, buy in and ownership of the NG-CARES.

The communication strategy is designed and implemented as a two-way stream that allows the channeling of communities’ voices through beneficiary assessment and feedback mechanisms to ensure that their concerns and queries are accessed and well addressed in an effective and timely manner. The communication strategy shall aim at managing beneficiaries’ expectations with regard to the overall Programme objectives. The messages shall be consistent and clear to the target audience and this will be key in proactive managing beneficiaries’ expectations and promote their ownership.

1. The message should be passed through appropriate and effective channels to the beneficiaries and stakeholders.
2. The Information about the availability of a suggestion box shall be communicated as part of the Programme’s regular interaction with local stakeholders. Placement of Programme-related information and printed materials in dedicated/designated locations that also provide visitors and readers with an opportunity to leave their comments/suggestions in a feedback register.
3. Develop and launch NG-CARES Programme website to promote various information and updates on the overall Programme, impact assessment and impact management process, procurement, employment opportunities, as well as on Programme’s engagement activities with the public.
4. A link to the Programme website shall be specified on all the printed materials distributed to the stakeholders.

Level of Engagement of stakeholders in NG CARES



One of the keys to the success of the NG-CARES Programme is the level of Stakeholders engagement, its successes and sustainability. Persistent Stakeholders engagement is very important in the implementation of the NG CARES. The three major Stakeholders are as follows:

1. Affected Parties (Beneficiaries, PAPs, etc.)
2. Implementing Agencies (e.g., MDAs, DPs)
3. Interested Parties (local population who can benefit indirectly, etc.)

NG CARES has diverse Stakeholders and hence the need for a comprehensive a Stakeholders Engagement plan which shall include methods of engagement and identification. It identifies information and types of interaction to be conducted in each phase of the project, considers and addresses stakeholders’ communication and physical accessibility challenges, and includes any other stakeholder engagement required.

The Stakeholder Engagement will involve the following steps:

* stakeholder identification and analysis;
* proper documentation of all stakeholders’ plans on how the engagement with stakeholder will take place;
* disclosure of information;
* consultation with stakeholders;
* addressing and responding to grievances, and
* Reporting to stakeholders.

Contents of the suggestion box shall be checked by the designated Programme staff on a regular basis to ensure timely collection of input and response/action, as necessary. The primary channels for the Communication Strategy and visibility include e‐mails, press releases, presentation material (leaflets, TV spots‐ jingles, depending on availability of means) various media channels (radio, TV, newspapers, journals, websites, blogs), information materials (in both soft and hard formats), publications (e.g. articles in journals), educational kits, events such as conferences, seminars or press conferences and a website.

The external communication component will develop such outputs as:

1. Portal/website: A high‐quality, user‐friendly internet portal/website aiming to disseminate the Programme progress, activities and lessons. The Portal shall be administered by the FCSU.
2. Information/communication materials will be developed in both soft and hard formats (kits, leaflets, brochures, etc.) targeted to the selected audiences and they will be disseminated through different channels of communication and in local languages.
3. Press releases and press conferences will be conducted to disseminate progress information of important milestones and achievements.
4. Facilitation of “ad hoc” audio-visual campaign for wide media dissemination, targeting beneficiaries who might be literacy challenged.

The key messages will be divided into the overarching message, to be used in general communication, and the specific messages will be used to communicate DLI activities at various locations. It is necessary to ensure a harmonized recognition of familiarity with the activities across the State and implementing partners, in order to ensure that a common overall identity referencing the Programme is created and maintained.

The specific objectives of the Comms Strategy are the following:

1. To identify appropriate target audiences and define specific communication objectives for each of these groups.
2. To identify, develop and sustain effective channels of communication, both internal and external, which will serve the exchange of information among all key stakeholders and enhance the coordination mechanism ensuring that the overall communication and visibility goal is successfully reached.
3. To develop and ensure consistent and timely delivery of communication outputs for reaching the specific target groups.
4. To develop a comprehensive Comms Plan, as well as work plans on a yearly basis, for all the Projects activities based on the above objectives ensuring the effective communication during and beyond the lifetime of the project.
5. To put in place effective monitoring and reviewing arrangements for the implementation of the Comms Strategy and the Communication Work Plan.
6. To support/facilitate the replication component of the Programme – both across the existing municipalities and potentially new municipalities and its corresponding activities. The Programme’s components and activities will span several sectors: solid waste collection, water sanitation, roads and bridges, conflict prevention and post-conflict reconstruction, participation/civic engagement, and social inclusion.

There will be both internal and external Comms strategies. The purpose of the internal Comms strategy is to respond to the need for effective communication within the various structures of the Programme, ensuring the adequate flow of information among the stakeholders: DPs, MDAs, SCCU; FCSU and other stakeholders. It is crucial for all management structures and partners to understand that the key element for the success of the Comms Strategy activities is the collective, corporative/collaborative and timely effort on the part of everyone involved.

The Communication objectives include:

1. Build trust for the project among communities in a way that greatly reduces any trust deficit arising from previous pandemic response interventions and mistrust for social intervention Programme which is relatively new to Nigeria.
2. Drive strong participation among communities identified for the NG-CARES Programme.
3. Build knowledge of the Programme as the Government of Nigeria’s response towards addressing loss of income caused by the economic impacts of COVID-19.
4. Limit errors and/or grievance by creating strong knowledge across targeted communities on the targeting processes adopted by the various DPs.
5. Support a rapid resolution grievance redress system with clear complaint channels**.**

**AUDIENCE**

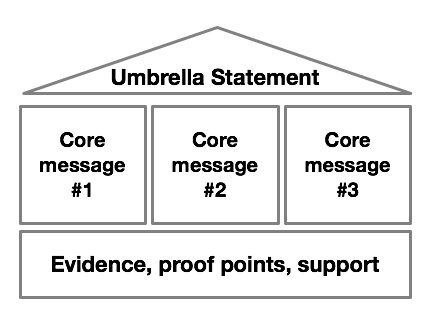
The primary audience of the communication plan for addressing the COVID 19 pandemic are critical institutions at the National and State levels (establishments), Community Development Associations, NGOS/CSOs, small income earners/business operators and the media are targeted with relevant messages.

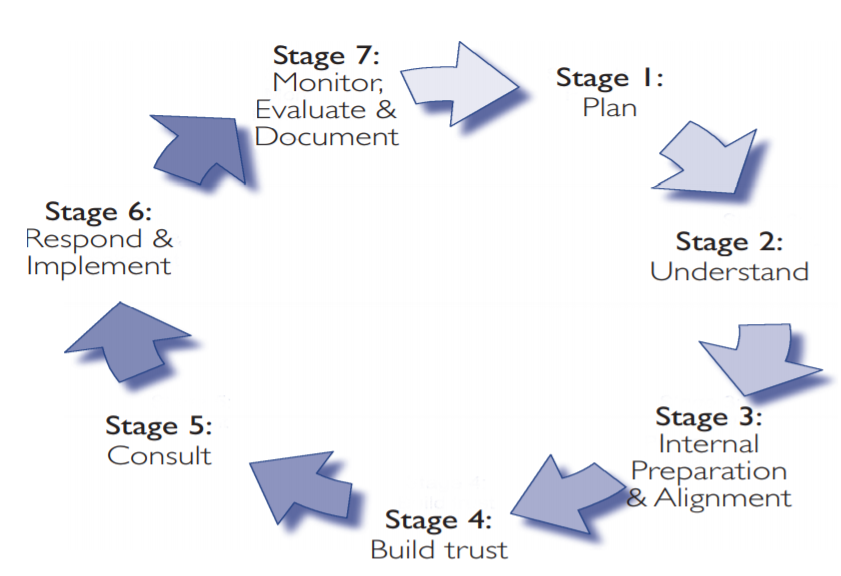
**MESSAGING:**

At the heart of the Comms Strategy is “messaging” which is the content of the communication. Message House is an effective tool for keeping communication simple and focused



Important questions for preparing a message

Message House



The Process Flow of Stakeholder Engagement

CAPACITY BUILDING

* Advocacy/Sensitization
* Preparing briefs for policymakers, web pages for the general public, guides for technical staff, reports or videos to local stakeholders (e.g. village committees) and project participants.
* The Programme will fund capacity building for officers in charge of communication activities.
* Workshop on website and social media development, coordinate meetings online and create printed materials
* To establish and assist with service or Programme delivery
* Strategic planning/project implementation.
* Result assessment workshop

**COMMUNICATION ACTIVITIES / CHANNELS**

Activities proposed to achieve this objective will commence immediately and run through the different milestones.

1. Radio jingles in Pidgin, Hausa, Yoruba and Igbo and regional lingua-franca to create awareness and a call to action on the project.
2. Printed Information, Education and Communication (IEC) materials, (e.g. posters and leaflet, factsheets and FAQs) in local languages with clear illustrations of the objectives and processes of each DPs and grievance redress methods.
3. Visits to community champions and gatekeepers for sensitization talks and interviews.
4. TV and radio interviews /press briefings with press in implementing States.
5. Production of a high end (multiple language) cartoon animation video that clearly explains the impact of Covid-19 and how the various DPs are set up to help respond and provide succour.
6. Design of social media infographics focusing on the targeted households, targeting mechanism, numbers covered and other processes.
7. Newspaper articles, editorials, advertorials opinion articles in national dailies on the government’s strategic objective to address cases of income loss linked to the COVID-19 pandemic
8. Community outreach through community leaders, household heads, religious leaders, town criers, fliers and town hall meeting adhering to the NCDC and State applicable COVID-19 protocols
9. There will be a central dedicated toll-free telephone line managed by FCSU.
10. Conduct social media campaign on (Facebook, Twitter, YouTube, WhatsApp etc).

***APPENDIX 1***

*DLIs, Disbursement Timing, and Verification Protocol*

| Results Area | DLI | Timing after Effectiveness | Verification Protocol |
| --- | --- | --- | --- |
| Results Area 1: Increased social transfers, basic services, and livelihood support to poor and vulnerable households | Number of beneficiaries receiving State Social Transfers | 6, 12, 18 months | IVA verifies:   * Number and proof of successful direct social transfer payments to stated number of enrolled beneficiaries. * Number and proof of beneficiary selection from agreed State Register and enrollment by gender and vulnerability profile * Sample of beneficiaries to confirm receipt of benefits |
| Number of beneficiaries engaged and deployed into LIPW activities in social services and receiving stipends | 6, 12, 18 months | IVA verifies:   * Number and proof of successful direct stipends payments to enrolled beneficiaries. * Number and proof of individual selection from agreed State Register and enrollment by gender and vulnerability profile * Sample Records of attendance and participation in public works with Personal Protective Equipment (PPEs), Occupation Health and Safety (OHS) and National and Good International Industrial Practice (GIIP) labour practices confirmed in place. * Sample of work sites to confirm beneficiaries and work done |
| Number of beneficiaries supported with Livelihood Grants | 6, 12, 18 months | IVA verifies:   * Reports and number of successful grant transfer to beneficiaries. * Number and proof of individual selection from agreed State Register and enrollment by gender * Report of training attendance/register * Sample of beneficiaries to confirm receipt of benefits/grants and livelihood activity |
| Number of direct beneficiaries of completed and functional Community and Basic Service Infrastructure micro projects | 6, 12, 18 months | IVA verifies:   * Record of number of CDPs/GrDPs appraisal by the appraisal team and approved by CSDA management team and funded as agreed in PIM. * Records of number and profile of benefiting members of the community and or vulnerable groups that are utilizing micro-projects in the CDP or GrDP with sample visit to community and vulnerable groups. * Record of environmental and social screening report conducted prior to commencement of micro project along with mitigation actions, timeline, responsible parties and budget in place, where needed. * Record of voluntary land donation protocol developed with screening checklist. * Report of semiannual Environmental and Social audit conducted including status of remedial actions taken that are stated in environmental and social (E&S) screening report, additional remedial actions identified and action plan for implementation, if relevant |
| Results Area 2: Increasing food security and safe functioning of food supply chains | Number of farmers utilizing agricultural inputs and services from the Programme | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:   * Registers of names, numbers and gender of farmers receiving crop and livestock inputs, including the specific types of inputs (e.g., varieties of improved seeds) and quantities received by each farmer. * Registers of names, numbers and gender of farmers receiving mechanization services and extension and advisory services. * Counter-signed forms from leaders of farmer groups confirming that farmers are utilizing the inputs. * In addition, the IVA shall visit a sample of heads of farmer groups to validate the records |
| Number of farmers accessing improved agricultural infrastructure | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:   * Registers of names, numbers and gender of individual benefitting from the infrastructure * The number of works contracts issued. * Record of Environmental and social screening report conducted prior to commencement of infrastructures along with mitigation actions, timeline, responsible parties and budget in place, where needed. * Works completion reports certified by Local Fadama desk and State Fadama Coordinating Office. * In addition, the IVA visits a sample of the sites to confirm that infrastructure has been rehabilitated/improved as per works contracts. * Report of semi-annual Environmental and Social audit conducted including status of remedial actions taken that are stated in E&S screening report, additional remedial actions identified and action plan for implementation, if relevant. |
| Number of farmers utilizing agricultural assets (production and small-scale primary processing) provided by the Programme | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:   * Register with names, number and gender of farmers receiving assets for each category (production and small-scale primary processing/preservation) * Counter-signed forms from leaders of farmer groups to confirm that farmers are utilizing the assets. * In addition, the IVA shall visit a sample of heads of farmer groups to validate the records |
| Results Area 3: Facilitating recovery and enhancing capabilities of small and medium enterprises | Number of firms receiving MSE Matching Grants to support new loans originated after June 16, 2020 | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:   * Registers for number of new loans by financial intermediaries including loan agreement or new loan records issued by financial intermediaries to eligible beneficiary firms. * Registers for numbers of transfers of 40 percent of new loans to bank accounts / digital wallets of eligible beneficiary firms |
| Number of firms receiving Operational Support Grants | 6, 12, 18 months | IVA reviews the following records to verify DLI achievements:  for eligible formal beneficiary firms:   * Registers for number of eligible formal beneficiary firms that received support grants direct to wage/salary payments into the bank accounts or digital wallets of employees. * Registers for number of eligible formal and informal firms that received support grants covering payments to private security personnel and purchase of solar panels. * Registers for eligible formal beneficiary firms that received support grants that covered documented verifiable operational costs.   For informal firms, IVA reviews documentation and evidence that includes but not limited to:   * Registers for number of eligible informal firms that were biometrically enrolled to the CARES state’s transacting platform e.g., Bank Verification Number (BVN), mobile phone number of beneficiary informal firms, where digital data protection is in place |

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| --- |
| **NG CARES**  **PROGRAM ACTION PLAN** |
|  |

***APPENDIX 2***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Action Description** | **Source** | **DLI#** | **Responsibility** | **Timing** | | **Completion Measurement** |
| See Table below | Other |  | NA | Due Date | 31-Dec-2020 | See Table below |

.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S/N** | **Action Description** | **Due Date** | **Responsible Party** | **Completion Measurement** |
| **1** | **Establishment and resourcing of State CARES Coordinating Unit in the Ministry of Budget and Planning for oversight and coordination of the multiple delivery platforms** | Prior to Program effectiveness | State Governors and Minister of the FCT | Covenant and eligibility criteria |
| **2** | **A formal capacity building program to strengthen the skills of the M&E staff at State Delivery Units, Coordinating Units and Federal CARES support Unit 0n the data collection, indicators specification and reporting system for the CARES** | Prior to Program implementation and every 6 months. | Federal CARES Support Unit and World Bank as part of the IPF workplan | Training Module and reported in M&E framework and Implementation Support Supervision Report of World Bank Task team |
| **3** | **States submit audited financial statements with the necessary information required for the CARES Program audit** | FY 2020 by September 2021, FY 2021 by September 2022 and FY 2022 by September 2023 | States Accountant General | States submit the audited financial statements to the Federal Cares Support Unit. |
| **4** | **Audit of list of beneficiaries and payment to the beneficiaries in the intervention areas of the CARES Program conducted by the States Auditors General audit at the end of every calendar quarter** | 30 days after the relevant calendar quarter | States Auditor General | States Auditor General submit their report to the States CARES Coordination Unit and the Federal CARES Support Unit |
| **5** | **Undertake procurement and contract performance audit of CARES Implementing Agencies** | FY 2020 by September 2021, FY 2021 by September 2022 and FY 2022 by September 2023 | State Procurement Agencies | States submit the audited procurement and contract performance report to the Federal Cares Support Unit |
| **6** | **States Accountants General prepare calendar semester unaudited interim financial reports** | 30 days after the end of the relevant calendar semester | State Accountants General | States Accountants General submit their report to the States CARES Coordination Unit and the Federal CARES Support Unit |
| **7** | **Conduct environmental and social screening of program activities and monitoring of progress on environmental and social compliance.** | Environmental screening before Program activities | Federal CARES Support Unit; State CARES Coordinating Unit and Implementing Agencies | Submit Quarterly to the Bank Completed report with recommendations about E&S issues, including the progress of the implementation of actions indicated in this table to the Bank |
| **8** | **Strengthen (formalize and document) existing GRM in CSDP, SCTU, FADAMA State Job Creation Unit/ MSE Support Units and GEEP to make it more robust and build trust** | January 2021 | Federal CARES Support Unit; State CARES Coordinating Unit and Implementing Agencies and State Legal Unit/Ministry of Justice | Revised GRM with clear reporting channel. |
| **9** | **Where relevant program / sub-program activities will happen, states to set up community level (through relevant traditional rulers/ institution) conflict resolution committee to address conflict related to program activities.** | Prior to implementation of sub-Program activities | State CARES coordination Unit, CSDA, Ministry of Local Government and Chieftaincy, | List and contacts of committee members and Memorandum of inauguration, minutes of committee meetings. |
| **10** | **All CSDAs to develop, adopt and implement a Voluntary Land Donation(VLD) framework/protocol in line with World Bank Guideline to screen all land selected for micro projects (All donated land must be free of economic, social and physical encumbrances).** | March 2021 | CSDAs, State Ministry of Land, Urban and Physical Development and Ministry of Local Government and Chieftaincy Affairs | Developed and submit voluntary Land donation framework/protocol with screening checklist satisfactory to the Bank. |
| **11** | **Ensure Engagement of Environmental/OHS specialist, social specialist, officer, GBV/ Gender, GRM officer, in the PIU at the federal and state level (for states without environment and social specialist in the implementing agencies). To be maintained throughout the life of the program implementation** | Prior to Effectiveness | Federal CARES support unit and state Cares Coordinating Units | Inclusion of the listed specialist in the team and maintained throughout the Program implementation. |
| **12** | **Community management committees including representatives from different categories of persons in the community including community leaders, youths, women groups and PWD’s should be set to manage the implementation of community micro projects.** | During preparation of the Community or Group Development Plan under DLI 1.4. (Result Area 1) | State CSDA or PIU for DLI1.4 | Approved Community Development Plan or Group Development Plan with list of committee members, Minutes community meetings on selection and design and implementation of micro projects. |
| **13** | **States without a GBV response team should quickly set up and publicize its Response Team for response to issues of SEA/SH and support it with robust public enlightenment program.** | At least 90days after effectiveness of CARES | States Ministry of Women Affairs and Ministry of Justice | Document setting out referral pathway and available service provider by the relevant MDA |
| **14** | **Conduct half yearly reviews and annual environmental and social audit** | Half yearly and annually, as relevant, throughout Program implementation | FCSU / State CARES Coordinating Unit (SCCU) | Submit semi-annual reviews and annual E&S audits to the Bank |
| **15** | **Conduct security need assessment** | Before commencement of implementation in each State | All States and FCT (especially North-west and North East,) | Development and Agreement on security action plan |
| **16** | **Adoption of fund release policy for improved predictability of resource flows to MDAs implementing CARES program.** | Not later than Program effectiveness | Ministry of Budget  and Planning/Finance | MDAs BERs showing cumulative budget  releases against appropriations |
| **17** | **Protocol for reporting, management and investigating of fraud and corruption allegations operationalized in MDAs implementing CARES program.** | Not later than Program effectiveness | FCSU/State CARES Coordination Unit | Report on fraud and corruption allegations included in Program implementation progress report |

NG- CARES Programme State Revised Action Plan

**Eligibility Actions: to be completed and Submitted for Eligibility and Disbursement**

***APPENDIX 2***

***APPENDIX 3***

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| --- |
| **FUNDS RELEASE** **POLICY** |
| NG CARES Funds Release Policy |
| XXXXState Ministry of Finance |

|  |  |
| --- | --- |
| Issuing Authority | XXXX State Government (XXSG) |
| Supersedes | Any other earlier dated policy |
| Version | 001 |
| Ratified by |  |
| Date Ratified |  |
| Author(s) | Ministry of Finance, Ministry of Budget/Economic Planning |
| Responsible Officer (s) | Commissioner of Finance, Commissioner of Budget/Economic Planning |
| Date Issued |  |
| Review Date |  |
| Users | All Staff Members in the Ministry of Finance, Ministry of Budget/Economic Planning |
| To be read in conjunction with: | All Extant Laws, Instructions and Rules |
| Published by: | Ministry of Finance |
| Effective Date |  |

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Policy Purpose and Scope

This document establishes the Funds Release Policy for the Ministries, Departments and Agencies (MDAs) implementing the NG CARES program.

Objectives

The objectives of the XXSG NG CARES Funds Release Policy include:

- to influence availability of funds to MDAs implementing NG CARES program

- improved predictability and availability of funds to MDAs implementing NG CARES program for better planning and program execution

- expedited processing of funding requests and availability of funds to MDAs implementing NG CARES program

Definition of Terms

* **Consolidated Revenue Fund (CRF):** This is the fund where all government revenue accrues whether from taxes, Federal Government allocation or other sources. All government expenditures are made from this fund except for exceptional items that are made from contingency or special accounts that are meant for the purposes stated. All expenditures from this fund is made as appropriated by the State House of Assembly.
* **State:** Means XXXX State of Nigeria created by virtue of section 3 of the 1999 Constitution of the Federal Republic of Nigeria (as amended).
* **XXXX State Government (XXSG):** Meansthe executive arm of XXXX State Government.
* **XXXX State House of Assembly (XXHA):** Means the legislative arm of government created by virtue of section 90 of the 1999 Constitution of the Federal Republic of Nigeria (as amended).
* **MDAs:** Means Ministries, Departments and Agencies of XXXX State.

Guidelines for Funds Availability

MINISTRIES, DEPARTMENTS AND AGENCIES (MDAs) IMPLEMENTING NG CARES

* It is the policy of XXSG to release funds to MDAs implementing NG CARES program from the subaccount of CRF wherein NG CARES program funds are held.
* Funds will be made available to the MDAs implementing NG CARES program based on the year’s approved budget.
* Expenditures of the MDAs implementing NG CARES program must be in line with their approved budget.
* Funding requests by the MDAs implementing NG CARES program will be processed following expedited approach.
* Chairman of the NG CARES State Steering Committee will be expected to play a pivotal role in the prompt release of funds to MDAs implementing NG CARES program.
* Funds are available for utilisation only through the approved operational accounts.
* Monthly returns of all fund’s utilisation must be made to the office of the Accountant General with supporting documentation.

Monthly returns of expenditures will be made by the MDAs implementing NG CARES program to the Final Accounts Unit of the Office of the Accountant General within the first week of the new month.

**Approved**

**HE Governor**

***APPENDIX 4***

**NG CARES Protocol for Reporting on Fraud and Corruption**

1. The Borrower, acting through the ICPC (or other relevant agency), shall be responsible for carrying out any criminal and administrative investigations of all material and credible allegations of fraud and corruption under the Program, keeping the Bank abreast of their progress and findings, and make public their conclusions/results.
2. The FCSU, in consultation with the entities implementing the CARES, shall provide the Borrower and the Bank, at the end of each calendar semester, with a report on allegations of fraud and corruption under the Program received and registered during such period, as well as the progress of and outcomes from any related investigations and any actions taken. A template for reporting is appended to this Protocol. If there are no such allegations, investigations or actions to report during any reporting period, the report shall so state. Reciprocally, if the Bank finds evidence of corrupt practices, the Bank shall, to the extent consistent with Bank policy, refer the case to the ICPC (or other relevant agency) through the FCSC Secretariat for investigation under the relevant criminal and civil laws.
3. In the event that the Bank decides to conduct an administrative review into allegations or other indications of fraud and corruption in connection with the Program – the Borrower shall cooperate fully with the representatives of the Bank and take all appropriate and timely measures to ensure full cooperation of relevant persons and entities subject to government jurisdiction in such investigation, including (but not limited to) the CSDA/SCTU/PWF Units, FADAMA/Ministry of Agriculture and MSE platform/Ministry of Commerce/GEEP, and their officers and employees and agents, in each case, allowing the Bank to meet with such relevant persons/entities and to inspect all of their relevant accounts, records and other documents and have them audited by, or on behalf of, the Bank. If the Bank were to find evidence of corrupt or other sanctionable practices, the Bank will refer the case to the ICPC (or other relevant agency) through the FCSC Secretariat for investigation under the relevant criminal and civil laws.
4. The Borrower shall ensure that any person or entity debarred or suspended by the Bank is not awarded a contract under, or otherwise allowed to participate in, the Program during such period of debarment or suspension by the Bank.

**Template for Reporting on Handling of Allegations of Fraud and Corruption**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Location | Date Allegation Received | Complainant | Alleged Perpetrator/Subjects of the allegation(s) | Description of Allegation(s) | Stage of Handling of Allegation [*Initial Review, Investigation, Referral, Prosecution, etc.]* | Description of Progress in Investigation | Outcome of Investigation | Remedial Actions taken |
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***APPENDIX 5***

**VOLUNTARY LAND DONATION**

Voluntary land donation is defined as the ceding of a property by an owner who is: a) fully informed; and b) can exercise free will, i.e. can refuse to sell or to donate. ―Fully informed means that the owner has complete information regarding the proposed activity and its impacts, its land requirements and its alternate activity sites, as well as his or her rights to compensation. The owner has also been provided with sufficient time to consider his or her disposition of the property, and the owner has knowingly rejected the right to renege on his or her initial decision. ―Free will means that the owner can reject the possibility of giving up his or her land.

**Below are some requirements for the regularization of Voluntary Land Donation**

Determining the appropriateness of VLD in the circumstances of the project is vital as it will prevent grievances on land donations.

After the collection of information related to land and assets which will be affected by sub-project implementation, the responsible official, with assistance from the related persons, will prepare a land survey map and a schedule of land acquisition.

1. During the verification of voluntary donations. The following conditions will be confirmed by the Committee including the Village Chief.

(a) Confirmation that affected people agree to donate land or asset, based on a face to face meeting;

(b) No one would lose more than 10% of the total productive assets;

(c) The total land holding of the affected person should be 200 m2 or more; and

(d) No physical relocation necessary

2. Initial Village Consultation: Under the village head leadership, a consultation process will be launched to invite different interested parties, including land owners to discuss and ratify the appropriateness of the voluntary basis of land donation.

3. Establishing informed consent: The Village Chief, in coordination with relevant officials of the SA, LGDO and the LGRC verifies the informed consent or power of choice by the people who would donate land or an asset. In particular, the following will be verified and documented in the voluntary donation report:

(a) What the land is going to be used for, by whom and for how long;

(b) That they will be deprived of the ownership or right to use the land, and what this really means;

(c) That they have a right to refuse to donate the land;

(d) Whether there are alternatives to using this land;

(e) What they will need to do to donate the land (e.g., execute documents, get spousal consents, pay taxes etc);

(f) The effect of the donation on their family, and what they can do if they (or their family or heirs) want the land back;

4. Verification of ownership and identification of land users will involve

(a) The owner or owners of the land;

(b) The users of the land, or any parties that occupy the land (either physically or through ownership of an asset or conduct of livelihood or business activities on the land);

(c) Any competing claims of ownership or use;

(d) Structures and assets on the land; and

e) Any encumbrances on the land.

5. It is important to: (i) identify the right that is being transferred (an ownership right, a use right, a right of way, etc.); and (ii) check whether the transferee actually has the right he/she claims to have.

6. Public consultations and disclosure. The decision to donate must be taken on the basis of a full understanding of the sub-projects and the consequences of agreeing to donate the land. Meaning the disclosure should be made in the local community for a period of 2 weeks

7. The right to refuse must be a legitimate right, unconditional, and the potential transferee must be capable of exercising it in the local community and political context and well understood

8. Ensure Proper documentation.

9.  Ensure that the agreement/documentation:

* Refers to all the previous consultations that took place;
* Sets out the terms of the transfer;
* Attach an accurate map of the land being donated (boundary + coordinates);
* Sets out who will bear the costs of the transfer (e.g., notarial fees, taxes, title issues) and documenting the residual land rights;
* Ensure that all necessary parties sign the documents, including obtaining consent from spouses and children over a certain age;
* Signing should be done by two witnesses who are community leaders but not the direct beneficiaries of the investment activity to ensure that the land was voluntarily donated without any form of duress.
* Ensure that the transfer and title is registered or recorded;

**NB: All CSDP offices must maintain a file containing information and documents on all of the above processes**

# **ANNEX**

**SAMPLE CONSENT FORM FOR VOLUNTARY LAND DONATION**

I/We: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ male household head \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ female household head, and/or person(s) exercising customary rights over land with

GPS Coordinates \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ North and \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ East and covering an area of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ square kilometers (or other appropriate measurement)

which is located in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Community/Village of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ LGA of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State.

Hereby declare that I/we/the group are the owners/users of the land required for (description): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

I/we are voluntarily donating the use of land and or/ land-based assets (land area, type of assets /trees/crops etc) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ for the purpose of: (specify activity) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

We agree to this purpose from (date) \_\_\_\_\_\_\_\_\_\_\_ for as long as the purpose is served or until (specify end date, typically the life expectancy of the facility) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

I/we make this donation of My/Our own free will. I/We are waiving My/Our right to compensation of any kind for the specified duration of the activity. I/We affirm that we have been fully and freely consulted and informed about the activity prior to agreement, have not been subject to any form of coercion, understand that I/we have the right to refuse, and to seek redress for any grievance concerning this transaction.

***NAME & SIGNATORIES FOR THIS VLD CONSENT/AGREEMENT***

|  |  |  |
| --- | --- | --- |
| **Household Head** | **Spouse of Household Head** | **Village Chief** |
|  |  |  |
| **CPMC Member** | **Witness 1** | **Witness 2** |
|  |  |  |
|  | **CDA Member** |  |
|  |

***APPENDIX 6***

**QUALIFICATION, EXPERIENCE & SCOPE AS GUIDE FOR THE STATE**

The required staff are expected to have the following qualification and experience:

1. ***National Programme Coordinator:***

***Qualification***: at least a masters’ degree in Resources Management, Agricultural Economics, Resource Economics, Business Management or related discipline with at least 15 years of relevant post-qualification experience, out of which 7 years must be on Donor assisted Project. Higher degrees and experience in the management of natural resources and/or rural development World Bank/donor assisted projects will be an added advantage. Computer literacy and good knowledge of Project Management software is essential.

**Duties:**

* be responsible for the overall coordination of NG-CARES nationwide;
* manage the activities and personnel of the FCSU;
* provide implementation assistance to the State Agencies as may be agreed from time to time by the Federal CARES Technical Committee.
* develop yearly work plan and financial budgets for the Federal Component of the NG-CARES;
* harmonize and integrate the support activities of the Federal Ministries, Departments and Agencies and the NGF with that of the FCSU for technical assistance to the States;
* manage project funds and resources in line with Bank’s guidelines and procedures;
* conduct periodic monitoring and evaluation visits to implementing States and communities across all the Result Areas;
* ensure that the Project is focused to achieve the goals stated in the annual work Programme overall Programme Development Objective;
* prepare and deliver all required Programme reports and yearly audited accounts to the Chairman of FCTC, relevant government agencies and the World Bank and as may be required;
* Serve as Secretariat of the Federal CARES Technical Committee.
* Reports to the Chairman of the Federal CARES Technical Committee.
* Carry out any other duties as may be assigned through the Chairman of the FCTC by the Federal CARES Steering Committee.

1. ***Head Operations:***

**Qualification:** At least a masters’ degree in Rural Economics, Economics/Agricultural Economics, Rural Development, Natural Science, Project Management and other relevant fields with at least twelve years of post-qualification experience in research, policy formulation and analysis, 5 out of which must be in Donor assisted project. Possession of higher degrees, experience with computer packages and foreign funded projects will be an added advantage.

**Duties:**

* Lead the provision of technical assistance for all the Result Areas, particularly RA 1
* Lead the review and supervision of support to the NG-CARES Programme
* Liaise with Federal MDAs providing support to State Delivery Platforms for synergy;
* be responsible for formulating TORs and supervise delivery by service providers as they relate to Operations activities;
* Undertake the revision of Operations Manual for RA 1 as may be necessary
* Supervise the activities of the other officers including environmental, social and Gender specialist
* Provide supervision in the development of security needs assessment and implementation of security action plans for federal and state teams;
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Technical Experts Result Area 1 (3No, 1 each for social transfer &livelihoods support; public work fare; and basic social services)**

**Qualification:** At least a Masters’ degree in Rural Economics, Economics/Agricultural Economics, Rural Development, Engineering, Project Management with at least ten years of post-qualification experience in research, policy formulation and analysis out of which must be in Donor assisted project. Possession of higher degrees, experience with computer packages and foreign funded projects will be an added advantage.

**Duties**

* assist in providing technical support to State Delivery Platforms on Result Area 1 (Cash Transfer, Labour Intensive Public Workfare, Livelihoods Support Grant and Basic Social Services;
* Liaise with Federal MDAs providing support to State Delivery Platforms for synergy;
* Undertake revision of Operations Manual Level as may be necessary;
* Report to Head of Operations
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Gender/GBV/Vulnerability Specialist**

* **Qualification:** At least a Masters’ degree in Psychology, Sociology, Gender Studies, Development Studies, Agric. Extension and any other relevant Social Sciences, with at least ten years of post-qualification experience 5 of which must have been spent in donor assisted project. Must have Knowledge of gender issues in development, particularly GBV/SH, including relevant international human rights standards.

Computer literacy and Experience in GBV /SEA/SH, Gender/Vulnerable Mainstreaming and Safety Nets will be an added advantage.

**Duties:**

* Ensure the integration of vulnerable groups and gender sensitive policies and action plans in the NG-CARES Programme
* Assess the capacity and training needs of the planned Programme organization/implementers on gender integration and mainstreaming
* Analyze policy, legal and cultural aspects hindering women participation in the project or uptake of project outputs (e.g. new knowledge, improved practices, technologies, etc.) and stimulate strategic approaches to improve participation;
* Develop approaches based on national and international standards and good practices on combating GBV, SEA and SH effectively.
* assist project team to design and incorporate appropriate vulnerable groups (including gender) issues into project activities
* stimulate strategic approaches in the subject practice area taking into account needs of location and equal opportunities to all beneficiaries, especially the Gender and Vulnerable Groups (GVG) to exploit all-encompassing public goods
* Review all safeguards documents prepared by consultants to ensure that the SEA/SH risks are correctly identified, and mitigation and management measures are appropriately devised;
* facilitate in complementing mainstreaming strategy with targeted intervention to promote social inclusiveness
* liaise with the technical committee and other relevant offices to identify policy and research needs emerging from NG-CARES project, especially as it relates to inclusiveness in facilitation and implementation;
* develop innovative opportunities for integrating social safety nets in project implementation;
* promote the adoption of risk-based approaches that aim to identify key project-related risks of GBV/SEA/SH and contribute to putting into place measures to prevent or minimize at a minimum the risks.
* prepare monthly, quarterly and annual reports of the department
* prepare and cost yearly work plan for mainstreaming gender and vulnerable groups’ activities into the N CARES Programmemes;
* develop, maintain and disseminate a comprehensive knowledge base on vulnerable group perspectives to promote staff awareness in the area and provide information as may be required for different purposes;
* Revise and ensure that the Standardized Procurement Documents outline the key SEA/SH requirements including the Bidder’s Code of Conduct (CoC), Contracting NGO CoC and other relevant documents;
* maintain links with and update knowledge of other relevant agencies’ Programmemes on mainstreaming vulnerable groups into development agenda
* influence processes through adoption of good practices learned from inter-agency collaboration
* Provide support to the SCCU in collaboration with state GBV sub sector working groups in the identification of GBV Service Providers (including NGOs, CSOs, women groups) with support from the State Ministries of Women Affairs.
* Coordinate activities with the relevant desk offices of the Ministry of Women Affairs at the Federal and State levels to develop measures to address Programme GBV risk.
* Support the FCSU and participating States/implementing platform/ state GBV susceptor working group to reassess the SEA/SH risks as Programme implementation progresses and ensure that the mitigation strategy is updated for newly identified risks;
* Using a survivor-centric approach as the main guiding principle, strengthen the GRM of the Programme with SEA/SH sensitive reporting channel to ensure its effectiveness in the recording, processing and referring complaints to Service Providers, while engaging with project beneficiary communities as well as systems to protect them from SEA;

1. **Senior Environmental Safeguard Specialist – (1No)**

**Qualification:** A Master’s degree or higher in environmental sciences, environmental engineering, environmental studies, Social Sciences or Land Management with at least at least ten years’ experience in environmental safeguard assessment and management, project implementation and capacity building out of which 5 years should be in a donor assisted Programme.

**Duties:**

* Support the states to implement national guidelines, tools and notes for use in the project based on relevant environmental policies
* Report to the Head of Operations
* Organize local-level capacity building and interaction Programmemes on environmental screening and environmental awareness as well as organize national level consultations with major stakeholders;
* Coordinate and guide consultants engaged to prepare specific subproject Environmental and instruments (ESIA/ESMPs/ RAPs/ARAPs) for subproject.
* Visit and assess various sites under the project to monitor the progress of environmental improvement activities and compliance with the World Bank Environmental and Social Framework;
* Produce monthly, quarterly and annual reports in a manner understood by all stakeholders; and
* Any other responsibility assigned by the National Coordinator

1. **Senior Social Safeguard Specialist – (1No)**

**Qualification:** A minimum of Master’s degree in Social Sciences, Psychology, development Studies, Land Management and other relevant discipline with at least 10years’experience in social safeguard assessment and management, project implementation and capacity building out of which 5 years must in a Donor assisted project .

**Duties:**

* Report to the Head of Operations
* Organize local-level capacity building and interaction Programmemes on contemporary issues to be tracked by social safeguards
* create social awareness as well as organize national level consultations with major stakeholders;
* Monitor and report on the social performance of the Programme and the implementation of the Programme Action Plan as documented in the ESSA
* Support the Programme (including participating states) in the development, adoption and implementation of the voluntary land donation protocol.
* Prepare tools and notes for use in the project based on relevant social policies, acts and regulations/ directives of the Government of Nigeria and the World Bank’s Environmental and Social Framework; and the ESSA;
* Provide leadership / build capacity of staff of delivery platforms in the states to carry out social screening of microprojects activities as provided by the ESSA, PAP and VLD.
* Support the Programme in the development of guidelines and manuals for mainstreaming stakeholder engagement process, environmental and OHS issues (including training on use of PPE and adherence to basic safety protocols) into the implementation of the Programme.
* Coordinate and guide consultant to be engaged to prepare specific Social safeguards instruments (ESMPs/ RAPs/ARAPs) for microproject.
* Visit and assess various sites under the project to monitor the progress of social improvement activities and compliance with the World Bank’s Environmental and Social Framework
* Assess the adequacy of implementation of safeguards mitigation measures and the capacity of the institutions and agencies responsible for social safeguards, as they relate to the project.
* Provide technical and problem-solving support and selective training to individuals and stakeholders responsible for implementation of safeguard processes and mitigation measures;
* Evaluate social risks associated with Programme activities including GBV /SEA/SH related risk;
* Train SA staff on how to identify necessary social requirements for the projects;
* Produce monthly, quarterly and annual reports in a manner understood by non-technical people for effective dissemination purpose;
* Develop internal social guidelines for the preparation, implementation, monitoring and reporting of various instruments;
* Review from a social safeguard point of view-safeguards screening report, ESMPs/GBV mitigation actions, OHS and other social safeguards documents prepared by the project to ensure compliance with relevant policies of the Government of Nigeria and the World Bank’s Environmental and Social Framework;
* Coordinate field visits to ascertain if the grievance redress mechanisms established for the project is operationalized and functioning appropriately and the individual projects are implemented in a socially sustainable manner;
* Develop in liaison with FCSU MIS Specialist an information management system/database on social safeguard aspects, including a system to track the project’s relevant documents and records;
* Facilitate the implementation of the project’s Grievances Redress Mechanism (GRM) by monitoring the status of grievances, maintaining documentation, and reporting the progress through monitoring reports;
* Responsible for the evaluation processes (social aspects) for consultant(s) and contractor(s) for the Project;
* Prepare and submit timely and regular progress reports indicating full compliance with relevant social requirements at different stages of Programme implementation;
* Coordinate the development of security needs assessment, terms of reference and implementation of security action plans;
* Other activities as may be assigned by the National Coordinator
  + 1. **Senior GRM Officer**
* **Qualification:** A minimum of first degree in Social Sciences, Psychology, development Studies or other relevant discipline with at least 5 years’ experience in alternative dispute resolution practice in Bank / donor supported project with proven experience in governance, voice and accountability issues.

**Duties**

* Report to head of operation
* Ensures proper coordination in GRM implementation between National and State Implementing entities / platforms.
* Provides technical guidance for GRM implementation including field visit to .
* Receive summary reports and summary sheets on GRM implementation from all participating states / implementing platforms
* Responsible for resolving escalated issues from participating states and implementing platforms.
* Ensures the Review of information from State GRM emails, phone calls and Text Messages and follow up on resolution / feedback complainant through participating state GRM focal person;
* Ensures that GRM strategies is included in the State Work Plan
* Provides Technical guidance to participating states in the GRM implementation
* Ensures that escalated grievances are tracked, resolved, feedback provided, and resolution documented.
* Coordinate Grievance uptake channels ensuring they are adequately resourced at all levels
* Provide support in the Roll out of GRM approach in implementing States.
* Receive and document reports on GRM activities and implementation from participating states.
* Develop GRM Standard Operating Procedure documents for the NG-CARES Programme
* Generate performance indicators for GRM
* Keep record of escalated grievance at National level
* Operate dedicated phone for grievance
* Publicize GRM channels, structure in collaboration with the Programme communication team to ensure awareness of GRM at the federal and participating state level.
* Provide monthly/quarterly report on Grievances to the National level.

1. **Head, Monitoring and Evaluation**

**Qualification:** At least a masters’ degree in Economics, Agricultural Economics, Agricultural Extension, Rural Sociology or related fields, with at least twelve years of post-qualification experience, 5 years of which must have spent as an M&E Expert in a donor-funded rural development Project. Possession of higher degree is a necessary requirement. A good knowledge of computer applications e.g. MS Project, MS EXCEL, MS, ACCESS is essential.

**Duties:**

* be responsible for overseeing the monitoring and evaluation of the NG-CARES;
* develop Programme M&E framework, which is web-based, to guide tracking of Programme activities within the context of its objective;
* lead in the development of M&E Manual, studies and surveys;
* develop formats that would capture appropriate data for the tracking of performance and financial disbursement amongst others;
* organize periodic (quarterly) monitoring and evaluation visits to States and meetings with State NG-CARES Agencies to review performance vis a vis targets;
* facilitate mid-term and end-of-period review to assess overall performance/ impact of the Programme on targeted and unintended beneficiaries;
* provide a feedback to stakeholders through preparation of quarterly and annual reports on FCSU and entire Programme;
* provide technical guidance for related studies on the Programme;
* be responsible for formulating TORs and supervise delivery by service providers as they relate to M&E activities;
* facilitate and supervise the activities of third-party monitors;
* assists the NPC in the preparation of work plan and budget.
* organize and conduct monitoring and evaluation (PME) workshops and training for project officers;
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Monitoring and Evaluation Experts (3 Nos)**

**Qualification:** At least a masters’ degree in Agriculture, Forestry, Agricultural Economics, Agricultural Extension, Rural Sociology or related fields, with at least ten years of post-qualification experience, 4 of which must have been spent as an M&E Expert in a donor-funded rural development Project. A good knowledge of computer applications is essential.

**Duties:**

* Report to the Head, M & E in monitoring and evaluation of states;
* provide input, related to the assigned states, for the implementation of a Programme M&E framework;
* ensure compliance of states on the use of the approved formats for capturing appropriate data;
* assist in organizing periodic (quarterly) monitoring and evaluation visits to states and meetings with State NG-CARES agencies to review performance vis a vis targets;
* ensure regular collection and analysis of Programme assessment data for his cluster of states;
* assist in capacity strengthening of key player of NG-CARES at various Levels (Federal, State, LGA);
* assist in facilitating mid-term and end-of-period review;
* prepare and submit to the Head, M&E monthly, quarterly and annual reports on activities the States;
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Head of Management Information System:**

**Qualification:** At least a master’ degree in Computer Science, Electronics/Electrical Engineering or related fields with at least twelve years of experience in computer system management, 5 of which must be in the design and Programmeming of information management system in a Donor assisted rural development-related organization. Hardware systems maintenance skills are required. Possession of higher degree and professional certification are added advantage.

**Duties:**

* be responsible for overall information system management for the project;
* advise on hardware network design and hardware (technical specifications) acquisition;
* establish information management system that is user friendly, GIS and web-based;
* maintain the data base for information documentation;
* design and install data management applications on the systems at FCSU;
* analyse the entire project data for use by management in guiding decision;
* ensure appropriate linkages between data application;
* work with the states to ensure consistency and comparability of information formats for collection and dissemination of data;
* Upscale the current system of data collection to modern and speedy linkage & integration of data / information need of the project stakeholder in a more user-friendly and efficient manner.
* Coordination of data entry and file uploads into systems to be used by the production clusters on a regular basis.
* Regularly provide technical backstopping to users of the MIS at all levels.
* Work closely with the GIS expert in providing advice to the management for the development of a GIS-based MIS
* Coordinate management of electronic data pertaining to the production clusters, including soft copies of letters, reports, and numerical data. This may involve conversion of data and reports in hard copy to electronic form, as well as their storage in an organized filing  system.
* maintain Internet linkages and supplier relationship to ensure on-line communications between the NG-CARES and all states operating within the Programme;
* establish and regularly update GIS poverty maps for all states benefiting from the NG-CARES intervention;
* prepare and submit monthly, quarterly and annual report of performance
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Management Information System Expert:**

**Qualification:** At least a masters’ degree in Computer Science, Electronics/Electrical Engineering or related fields with at least ten years of experience in computer system management, especially in the design and Programmeming of information management system in a rural development-related organization. Candidate must be familiar with STATA, PL/SQL, Hardware systems maintenance skills are required. Possession of higher degree and professional certification are added advantage.

**Duties:**

* be responsible for overall information system management for the project;
* advise on hardware network design and hardware (technical specifications) acquisition;
* establish information management system that is user friendly and web-based;
* maintain the data base for information documentation;
* design and install data management applications on the systems at FCSU;
* analyse the entire project data for use by management in guiding decision;
* ensure appropriate linkages between data application;
* work with the states to ensure consistency and comparability of information formats for collection and dissemination of data;
* upscale the current system of data collection to modern and speedy linkage & integration of data / information need of the project stakeholder in a more user-friendly and efficient manner.
* Coordination of data entry and file uploads into systems to be used by the production clusters on a regular basis.
* Regularly provide technical backstopping to users of the MIS at all levels.
* Coordinate management of electronic data pertaining to the production clusters, including soft copies of letters, reports, and numerical data. This may involve conversion of data and reports in hard copy to electronic form, as well as their storage in an organized filing system.
* maintain Internet linkages and supplier relationship to ensure on-line communications between the NG-CARES and all states operating within the Programme;
* establish and regularly update GIS poverty maps for all states benefiting from the NG-CARES intervention;
* prepare and submit monthly, quarterly and annual report of performance
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Senior Procurement Specialist:**

**Qualification:** At least a first degree in Economics/Agricultural Economics, Business Management/Business Administration, Purchasing and Supply Engineering or related fields, with at least twelve (12) years of relevant post-qualification experience in procurement, 5 (five) out of which must be with World Bank and/or other donor-assisted projects. Knowledge on community contracting would be added advantage. A good ability to use computer applications especially MS WORD, EXCEL, ACCESS and MS Project are necessary. Knowledge of the World Bank Procurement Framework (including the use of STEP) is mandatory.

**Duties:**

* be responsible for procurement at FCSU including procurement planning, design, implementation, management and training;
* be responsible for the preparation of procurement documents (inclusive technical specifications) for the acquisition of goods and services;
* evaluation and selection of consultants and suppliers within agreed procurement regulations and processes;
* effectively manage all contracts and ensure that deliveries (quality/quantity/time) are in line with contract provisions:
* ensure appropriate sanctions are applied on defaulting contractors;
* provide technical assistance on procurement to SAs who may require such supports;
* provide assistance to financial officers on contractual disbursement;
* prepare and submit procurement status reports on a quarterly basis as part of financial monitoring report;
* prepare evaluation reports for all evaluation of goods and services;
* maintain comprehensive and up to date information on all procurement at the FCSU;
* facilitates the establishment of procurement data base for use on the project;
* Ensure that procurement plans are implemented as scheduled.

1. **Procurement Officer:**

**Qualification:** A first degree or HND in Marketing, Purchasing and Supply or Business Administration with 7 years post-graduation experience, 4 (four) of which must be in procurement in a World Bank or Donor assisted project. Computer literacy and understanding of community contracting would be an added advantage.

**Duties:**

* responsible for the maintenance of procurement data base on correct and current prices of required goods and services;
* responsible for the collection of bidding documents;
* responsible for the issuance of Job Order, Local Purchase Order (LPO) as may be directed by the Procurement Specialist;
* responsible for market price analysis;
* Assist the Procurement Specialist in making local and/or direct purchase of goods and services for the FCSU.

1. **Senior Information and Communication Specialist**

**Qualification:** A masters’ degree in Communication Arts, Information Science, Agricultural Extension, Rural Sociology or related fields, with at least twelve years of relevant experience in developing communication, advocacy, sensitization and information management strategies in rural development Projects, five of which should be in a donor-assisted Programme. Experience with CDD principles in a World Bank/Donor assisted project . , computer literacy and/or membership of a professional body will be an added advantage.

**Duties:**

* Lead overall information management and public relations of the FCSU
* Lead the implementation of the Stakeholders Engagement Plan
* be responsible for advocacy, sensitization and communication activities of FCSU;
* design communication strategies to improve stakeholder buy-in and support
* prepare budget estimates and annual work plan for communication at FCSU;
* maintain links with and update knowledge of other agencies’ Programmemes on advocacy, sensitization, awareness and communication;
* be responsible for preparing periodic reports on progress in advocacy, mobilisation and awareness, measured against the targets of annual work plans and legal funding requirements (e.g., IDA/donor requirements);
* responsible for developing a communication strategy and other materials;
* coordinate media tour and related events for FCSC and other stakeholders at National level;
* monitoring and coordination of Information, Education and Communication activities.
* Proficient with traditional media and digital communication tools
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Information and Communication Officer**

**Qualification:** A first degree in Communication Arts, Information Science, Agricultural Extension, Rural Sociology or related fields, with at least five years of relevant experience in developing communication, advocacy, sensitization and information management strategies in rural development Projects three of which must be in donor assisted projects. Experience with CDD principles in a World Bank/Donor assisted project, computer literacy and/or membership of a professional body will be an added advantage.

**Duties:**

* Assist in the advocacy, sensitization and communication activities of FCSU;
* Assist in the design of communication strategies to improve stakeholders’ buy-in and support
* Assist in the preparation of budget estimates and annual work plan for communication at FCSU;
* Assist in maintaining links with and update knowledge of other agencies’ Programme on advocacy, sensitization, awareness and communication;
* Assist in preparing periodic reports on progress in advocacy, mobilisation and awareness, measured against the targets of annual work plans and legal funding requirements (e.g. IDA/donor requirements);
* Assist in communication strategy and other materials;
* coordinate media and related events for FCSC and other stakeholders at National level;
* Monitoring and coordination of Information, Education and Communication activities.
* Carry out any other duties as may be assigned by the National Coordinator.

1. **Senior Project Internal Auditor (1 No)**

To be seconded from Accountant General

1. **Project Internal Auditor (1 No)**

To be seconded from Accountant General

1. **Head of Administration–**

**Qualification:** At least a degree or equivalent in Public Administration or any other Social Sciences and Humanities with at least ten (10) years relevant post-qualification experience. Knowledge of MS computer packages is essential. Experience in personnel, office management is necessary.

**Duties:**

* Report to the National Coordinator
* responsible for management of all personnel matters such as annual leave, training, discipline, recruitment, protocol, welfare and general services;
* serve as secretary to all meetings of the FCSU including Management, General and Ad hoc committees;
* responsible for supervising all junior staff including clerical staff, drivers, cleaners, security and interns, NYSC among others;
* responsible for ensuring appropriate record keeping, filing and documentation of all FCSU mails and correspondences;
* managing office assets, including vehicles, plans, office premises, etc.
* responsible for maintenance of equipment, furniture and goods in FCSU;
* responsible for collection and processing of utility bills for the FCSU;
* coordinate and collate monthly, quarterly and annual reports of FCSU activities; and
* other activities as may be assigned by the National Coordinator

1. **Administrative Officer**

**Qualification:** At least first degree or equivalent in Public Administration or any other Social Sciences and Humanities with at least Seven (7) years relevant post-qualification experience. Knowledge of MS computer packages is essential. Experience in personnel, office management is necessary.

**Duties:**

* assist the Head of Admin on all personnel matters such as annual leave, training, discipline, recruitment, welfare and general services;
* serve as secretary to all meetings of the FCSU including Management, General and Ad hoc committees;
* responsible for supervising all junior staff including clerical staff, drivers, cleaners, security and interns, NYSC among others;
* responsible for ensuring appropriate record keeping, filing and documentation of all FCSU mails and correspondences;
* Managing office assets, including vehicles, plans, office premises, etc.
* responsible for maintenance of equipment, furniture and goods in FCSU;
* responsible for collection and processing of utility bills for the FCSU;
* coordinate and collate monthly, quarterly and annual reports of FCSU activities; and
* Other activities as may be assigned by the National Coordinator.

1. **SKILLS REQUIREMENT**

The key staff are expected to possess the following skills to perform the function: -

* Have good knowledge in use of MS Office applications;
* Leadership quality and ability to work in team;
* High integrity and ability to exercise judgement;
* Effective organizational skills and time management.

Sat on Federal CARES Technical Committee

Sat on Federal CARES Support Unit

Sat on Federal CARES Steering Committee

Projects

Project Assistant

Directorate, Finance & Administration

Directorate, Strategy & Research

Director General

Policy Unit

Agric

**CARES Core Staff**

Back stop support

**LEGEND**

NGF-CARES Project Manager

Health

Education

Economy

Figure : NGF-CARES Organogram

1. Psycho-Social Support (PSS): refers to the dynamic relationship between psychological aspects of our experience (that is, our thoughts, emotions, and behaviors) and our wider social experience (that is, our relationships, family and community networks, social values, and cultural practices), where one influences the other [↑](#footnote-ref-1)
2. Universal Access: The concept of universal access means unimpeded access for people of all ages and abilities in different situations and under various circumstances, as set out in Good International Industry Practice (GIIP) [↑](#footnote-ref-2)